



TDHCA ROMA Case Management Workflow and Guide

ROMA Case Management Workflow and Guide

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Introduction

CSBG is not a program, it's Community Action!

The Community Services Block Grant (CSBG) provides a broad range of services designed to eliminate poverty and foster self-sufficiency. The Texas CSBG Case Management Guide was created to provide case management based on best practices throughout the State of Texas.

In 1998 the CSBG Act was amended, mandating the implementation of a performance-based management system across the entire Community Services Network – and that system was identified as Results-Oriented Management and Accountability or ROMA. The objective is to provide a resource that aligns with ROMA for training new CSBG staff at the eligible entity level.

In July 2022, a workgroup was convened that included seven representatives from the Texas Network Eligible Entities and the Department. The work of creating a guide for case management began and the goal was to align the guide, forms, tools and processes to the Results Oriented Management and Accountability (ROMA.)

CSBG Case Management Forms, which are required by the Texas Administrative Code (TAC) Title 10, Part 1, Chapter 6, Subchapters B [TAC RULE §6.207](#) are available on the [TDHCA website](#) for eligible entity use. If an eligible entity has their own forms, the content must align with the department forms and the [TAC Title 10, Part 1, Chapter 6](#), Subchapters A and B.

The intent of this guide is to align the work/forms/tools with ROMA and provide guidance for training both seasoned and new Eligibility Entity Staff.

Definitions

Case Management: an eligible entity service provided on an ongoing basis, with services to assist the Customer in obtaining employment and achieving self-sufficiency.

- **Self-Sufficiency:** ability to meet basic needs without outside aid and providing for one's own needs.
- **TOP:** transition out of poverty after 90-days of consecutively over 125% FPL in HH income received.

Coaching: to educate and encourage by instruction and demonstration.

Customer: the individual(s) taking part in case management and working to obtain education and employment that will allow the household to achieve self-sufficiency and transition out of poverty.

Equitable: dealing fairly and impartially with all Customers.

Eligible Entity: the agency who is designated as the community action agency and receives CSBG funds.

Emergency Services: to meet the *immediate* need of the Customer (i.e., rental assistance, utilities, food and gas/bus pass).

Empowered: having the knowledge, confidence, means, or ability to do things or make decisions for oneself.

FNPIs: Family-level national performance indicators, sometimes referred to as outcomes, and defined in the CSBG Annual Report Instruction Manuals, Module 4 – Individual and Family Level.

Federal Poverty Limits (FPL): annually set by US Health and Human Services (USHHS).

Household (HH): all members of the Customer's nuclear household, including multigenerational or extended family members, and all children.

- **Multigenerational:** relating to several generations living within the household.
- **Extended:** a family that extends beyond the nuclear family, including aunts, uncles, and other relatives, who all live nearby or in one household.

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Implicit Bias: a form of bias that occurs automatically and unintentionally, that affects judgments, decisions, and behaviors.

SRVs: Services provided, sometimes referred to as outputs.

Texas Administrative Code (TAC): is a compilation of all state eligible entity rules in Texas.

Trauma: is the emotional response that often results from living through a distressing event. Experiencing a traumatic event can harm a person's sense of safety, sense of self, and ability to regulate emotions and navigate relationships. Common examples of trauma include accidents, assault, family violence, witnessing something terrible happen, severe weather events, chronic illness, poverty and racism.

Case Management (CM)

Case management is a service provided equitably to all Customers who are eligible to receive CSBG services. Self-sufficiency to Transition out of Poverty is the goal that the Eligibility Entity Staff and Customer will work towards together. Working with a self-sufficiency Customer will be done on an ongoing basis until the Customer is able to achieve TOP or chooses to no longer participate.

Case Management focuses on the needs of the Customers, removing the barriers they face and allows the Customer to live a self-sufficient life.

Customers who may be in need of case management should be:

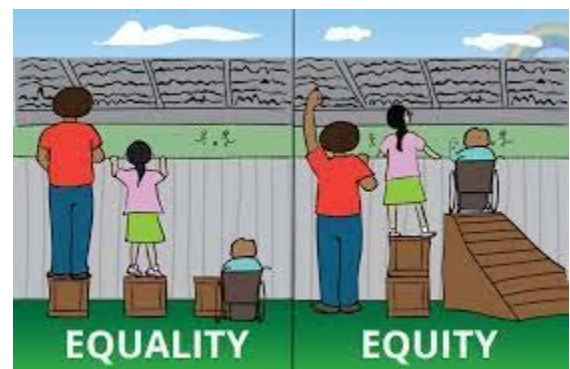
- identified
- most in need of services and are willing to be a full partner
- have services identified and coordinated
- empowered and encouraged as it relates to their personal strengths, interests and self-image

TAC RULE §6.207 (i) Case Management.

Integrated case management is to have resources that support a Customer within their environment. As partners, the Customer and staff work together to tailor services provided specific to the Customer's living situation and support a vulnerable individual by working together to remove the obstacles/barriers to achieving self-sufficiency.

Do's and Don'ts:

- Review the Customer's file prior to meeting with them, if possible.
- Provide a safe, restful environment for the Customer to speak freely.
- Consider your tone, inflection and body language.
- Ensure you have enough time to meet with the Customer.
- Write less, listen more.
- Do not assume everyone needs the same thing.
- Build trust.
- Empower the Customer to help them transition from services they currently receive.
- Do not judge.
- Keep the Customer's information confidential.
- Be kind.



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Assessment

ROMA	Step in ROMA Cycle	Case Work	SRVs/FNPIs	Timeframe
Assessment	Eligibility Determination	<p>Eligibility Intake entered into Customer software with a completed, signed and dated application. Collect 30-days prior income from the date of the signed application or a signed DIS. Using the income calculator, determine whether Customer is eligible for CSBG services. To ensure you calculate income correctly, see <i>Income Eligibility</i> and <i>Income Calculator</i> vides located here:</p> <p>https://www.tdhca.state.tx.us/community-affairs/videos.htm</p> <p>If YES, move to next step in ROMA Cycle</p> <p>If NO, provide Notice of Denial and Appeal Rights with referrals to service providers</p>	SRV 7b	1 st Appointment
	Self-Sufficiency Outcomes Matrix/ Self-Sufficiency Customer Questionnaire	Based on the application, Customer responses at intake, and the completion of the Self-Sufficiency Customer Questionnaire, complete the Self-Sufficiency Outcomes Matrix Determine in what areas the Customer has fallen below the Prevention Line and document in case notes.		1 st Appointment
	Case Management Screening Questions	Complete Case Management Screening Questions with Customer Assess whether to enroll in case management or provide referrals to service providers Place completed form in file and include in case notes		1 st Appointment
	Case Notes	All case notes should tell the story of the Customer from intake through the end of service delivery and to achievement of TOP or case closure. If it's not written down, it didn't happen. Intake case notes should be the most extensive case notes explaining barriers, reason/need for services.		Ongoing and upon completion of 90 consecutive days of income above 125% FPIG
Is this Customer an Emergency Services Customer? Then provide the necessary services to alleviate the emergency and close the file.				
<p><i>NOTE: Once the immediate emergency needs of the Customer are met, they may not be ready to sign a CM agreement. Plant a seed about CM and the services, then give them time to breathe and the space to once again feel safe, before addressing CM with them. Consider waiting 2-4 weeks after meeting there emergency need before contacting the Customer.</i></p>				
<p>Is the Customer a case management candidate?</p> <ul style="list-style-type: none"> • If YES, move on to next step in ROMA Cycle. • If NO, provide emergency services to meet the needs of the Customer and close case file with referrals to service providers, if needed 				

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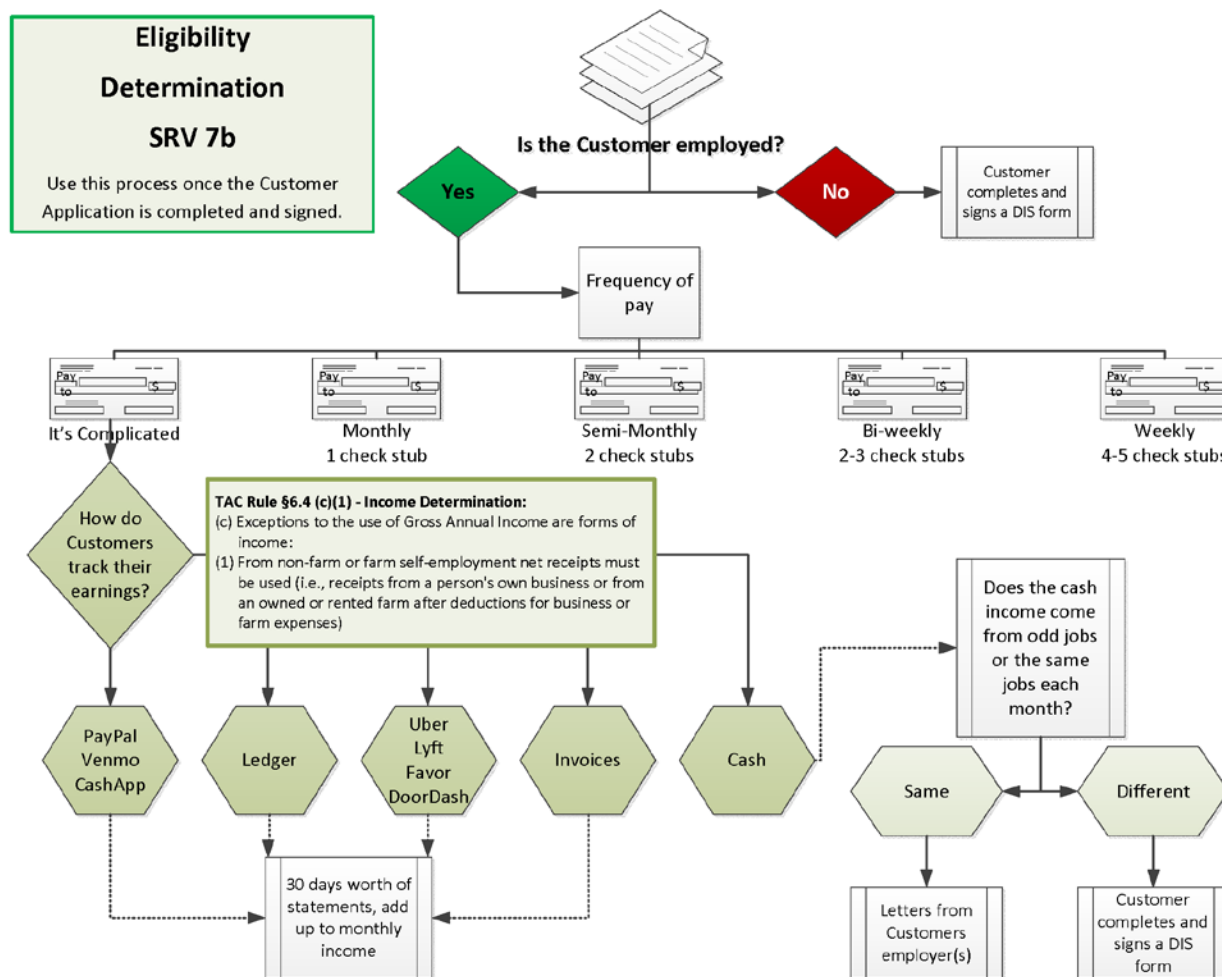
Eligibility Determination

Once the Customer has submitted a completed, signed and dated application, and provided 30-days income prior to the date of the application, staff can begin the process of determining eligibility for services. **Note:** if there is no income, Customer completes the Declaration of Income (DIS) form.

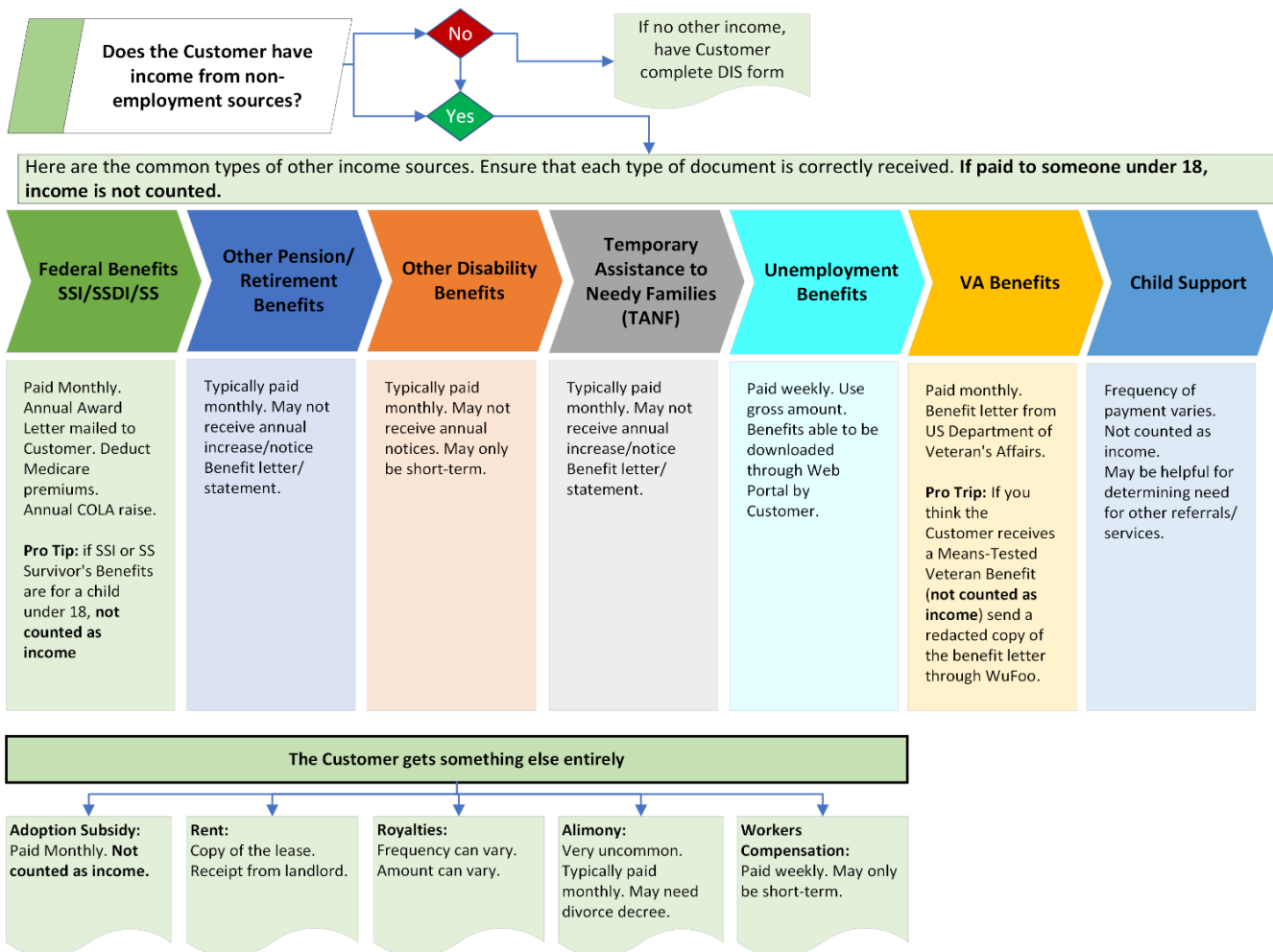
NOTE: If the Customer is going to be referred to DOE-WAP, the DIS will need to be notarized.

Using the [Income Calculator](#), located on the department’s website, calculate the Customer’s income and determine eligibility. There are video resources located [here](#) to show how to use the income calculator and determine eligibility. After watching the videos, should you have further questions, reach out to the department for assistance.

Every Customer will be served with SRV 7b and counted on the monthly performance report (MPR), whether they received services or were denied services, a determination was made, so count your work.



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Self-Sufficiency Outcomes Matrix/Customer Questionnaire

The Self-Sufficiency Outcomes Matrix is a tool to track a household's stability level in five (5) domains and to determine which areas need additional support. The information in the Self-Sufficiency Customer Questionnaire or a detailed application should be used by Eligibility Entity Staff, along with clear communication with the Customer, to complete the Outcomes Matrix.

When completing the Outcomes Matrix, the staff is to circle the description(s) in each domain that best captures the Customer's stability level and document in case notes. The Outcomes Matrix is to be completed at the time a Customer applies for services and should be updated when the Customer achieves self-sufficiency and TOP.

The Outcomes Matrix has **five domains** to assess a household's level of stability:

1. Employment
2. Education
3. Income/Asset Building
4. Housing
5. Health/Social/Behavioral

The Outcomes Matrix has **five benchmarks** to classify the Household's status in each of the five self-sufficiency domains. Three benchmarks above the Prevention Line and two benchmarks below the **Prevention Line**. Those domains that are below the Prevention Line, classified as Vulnerable and/or In-Crisis, should be the domains to

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focus on initially; however, Stable and Safe should not be ignored as the Customer could be at-risk in those domains should their living situation deteriorate.

Each domain is rated in one of the five benchmarks:

- **Thriving:** The household does not need services in this area.
- **Safe:** The Household is stable, but the situation could deteriorate further if not maintained. This area does not have to be addressed at this time.
- **Stable:** The Household has a few barriers; however, the situation does at times deteriorate into an at-risk situation on a short-term basis.

Prevention Line

- **Vulnerable:** The Household is in a situation which needs intervention or it will likely deteriorate and become a crisis.
- **In-Crisis:** The household is in-crisis and needs immediate attention.

As the Customer interview takes place, Eligibility Entity Staff will document the Household's level of stability in each domain. Once the Outcomes Matrix is completed, the results, along with an assessment of a Customer's willingness to work at improving their situation, can be used to determine if the Customer is a good candidate to enroll in the eligible entity case management program with the goal of achieving self-sufficiency. The initial Outcomes Matrix can be used by the Eligibility Entity Staff and Customer to develop Service Plan with goals to address one or more domains.

For Customers in a case management program, working to achieve self-sufficiency or improve their status in particular domains, the Eligible Entity Staff and Customer should regularly assess the Customer's status in each domain and record the Household's progress moving up the Outcomes Matrix. As the Outcomes Matrix is updated, the Service Plan should also be updated.

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Sample Customer Outcomes Matrix

Red = Customer application and interview
 Green = Customer achieves TOP

Self-Sufficiency Outcomes Matrix												
Bench mark	Employment		Education? Early Childhood				Income/ Asset Bldg.		Housing		Health/ Social/ Behavioral	
	Outcomes	FNPI	Job Skills/Certs Outcomes	FNPIs	GED/College Outcomes	FNPI	Outcomes	FNPI	Outcomes	FNPI	Outcomes	FNPI
Thriving	FT employed at living wage or higher, with benefits	1e, 1f, 1g, 1h, 3	Certification or license from a 2-3 year program	2h	Post-secondary degree: Masters or Doctorate	2i	Purchased a home	3e.1, 3f-g	Own Home	3e.1	Live independently; Health insurance with low co-pay; in good health; foods of choice	
			Certification or license from a training program of 3 years or longer		Post secondary degree: Bachelors		Has savings to purchase an asset	3e	Housing of choice			
Safe	FT employed above minimum wage	1b, 1c, 1h.1, 1h.2	Certification or license from a training program of 2 years	2h	Post-secondary degree: Associates	2i	Increases savings/IDA	3d	Living in non-subsidized house		Maintain independence with some private or other health insurance; in good health; adequate food sources	5a, 5b, 5f, 5g, 5h
					Post-High School credits, vocational or tech training	2h	Opens a savings account or IDA	3c	Living in non-subsidized rental			
Stable	FT employed at minimum wage with benefits	1b, 1c, 1h.3	Certification or license from a less than 1 year program	2h	High School Diploma	2g	Able to maintain capacity to meet basic needs for 90 days	3a, 3b	Safe, secure housing: Section 8, subsidized housing, public	4b, 4c, 4d, 4g, 4h	Dependent on subsidized medical care or health insurance; managed health; federal food benefits (SNAP)	5a, 5b, 5h
	FT employed w/o benefits	1b, 1c			GED/ABE certification			Safe, secure living with others				
PREVENTION LINE												
Vulnerable	PT employed at minimum wage with benefits	1b, 1h.3	Has limited marketable skills		Reading, writing, basic math skills present and no HS diploma or GED	2f	Unable to meet basic living expenses		Inefficient, unhealthy home	4e, 4f	Limited access to healthcare; chronic medical issues; frequently needs food assistance	
	PT employed at minimum wage w/o benefits	1b					Poor credit		Safe, secure transitional housing			
In-Crisis	Unemployed with work history or skills		Has no marketable skills		Reading, writing, basic math skills absent and no HS diploma		Unable to meet basic living expenses, poor credit		Temporarily living with others	4a	No access to healthcare; untreated chronic medical issues; need food-primarily obtained thru food pantries	
	Unemployed with no work history or skills						No income and poor credit		Shelter			
Services	SRV 7a-o		SRV 1a-1q, SRV 7s		SRV 2r-z; SRV 2aa, 2bb		SRV 3a		SRV 4b-h		SRV 5a-5i.2	

The Customer is in Safe and Thriving benchmarks as they have completed the case management program with the agency and achieved TOP.

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Case Management Screening Questions



When considering a Customer for case management, ask why – often – to determine whether the Customer is willing to do the work, and engage with the Eligibility Entity Staff on a regular basis. Remember, it's not always what you say, but how you say it, that can have impact and open dialogue with the Customer.

Do not forget to listen then hear your Customer. Make sure you W.A.I.T. and listen closely to what is being said, understand what was said then determine what areas have not been covered and pursue further communication. As the process continues, then determine which type of Customer has applied. Emergency services only or case management candidate.



Able to Work: Willing

- These are TOP Customers



Able to Work: Unwilling

- These are not TOP Customers and handled similar to vulnerable



Unable to Work (Vulnerable)

- Stabilize
- Don't discount these Customers...they might be a great TOP candidate.

Ask open ended questions that cannot be answered with a simple “yes or no” or just a few words. Ask questions similar to “can you tell me about your favorite job?” Let the Customer explain in their way, be patient, and let the Customer know that you are listening. If you aren't clear on what is being shared, ask them to explain further. Summarize what you heard, ask the Customer if you have documented it all, and allow them to add anything missed.

Sample questions:

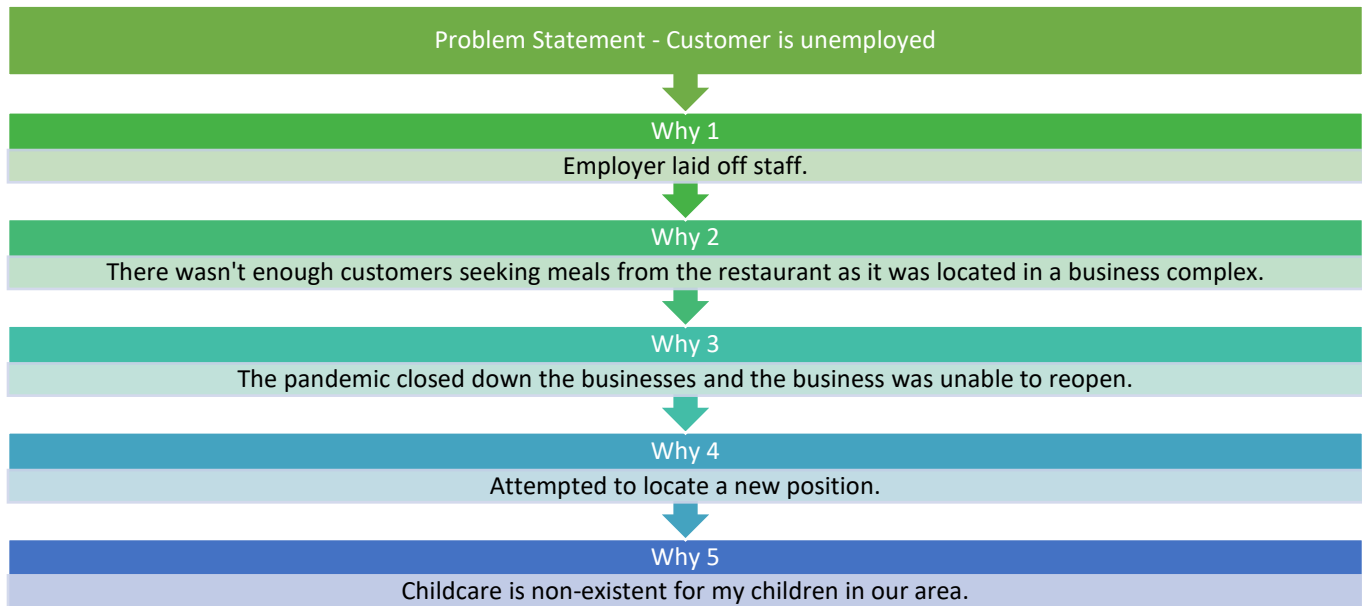
1. Who are you, where are you now, where do you want to go, and how should we work together to get you there?
2. What is your idea of a perfect life?
3. What do you want your life to look like?
4. Do you have any plans to get to your perfect life?
5. Are you willing to come up with a plan to get to your perfect life?
6. Are you willing to take the steps to get to your perfect life?
7. What strengths do you possess that can help you reach some of your goals?
8. What has been your experience and success at establishing goals (education, employment, and self-improvement) and meeting them in the past? What were some of the goals that you accomplished?
9. Do you have specific goals that you would like to achieve in order to become more self-sufficient? What are those goals? What actions would you be willing to take to meet those goals?
10. Do you think that you are ready to work on a plan and take the steps necessary to achieve some of these goals?
11. What barriers, if any, make it difficult to achieve your goals? How do you think you can overcome these barriers?

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The 5 Why's Exercise:

Discovering the root cause of the barrier the Customer is coping with while trying to become self-sufficient is critical. Use the 5 Why's and start with the problem statement, "I'm not employed", to discover the root cause.

The 5 Why's Example:¹



Assessment Case Notes

PRO TIP If it's not written down, you can't prove it happened!

1. CM case notes not only allow you to know how the Customer is doing, and what progress they have made, but also keep you ethically and legally in check.
 - Customers can always have access to their files and notes.
2. Balancing subjective thoughts with objective facts is the art of good case notes:
 - *Subjective*: Customer is annoying and hates me, they came in upset because I won't pay their overdue rent of \$10,000 and refused to listen to me. They clearly have an issue with authority and hearing the word no! I hate working with them.
 - *Objective*: Customer desires for the eligible entity to pay their overdue rental balance of \$10,000. Agency is unable to assist.
 - *Balanced/Harmonious*: Customer is seeking assistance with their overdue balance of \$10,000. At this time, the eligible entity is unable to assist with that amount. Customer and Eligibility Entity Staff discussed other options that may be available to the Customer, including various religious organizations, arranging a payment plan, or calling on friends and family to help. Customer illustrated anxiety and frustration at the situation, saying "I never seem to get any help anywhere." Customer left session with a series of numbers to call and referrals for other programs. Agency staff will follow-up with the Customer in a few days.
3. Listen: Actively listening is the first step to building a strong relationship with your Customer, and it's the first step to really understanding them and their needs.

¹ The technique was originally developed by Sakichi Toyoda and was used within the Toyota Motor Corporation during the evolution of its manufacturing methodologies. It is a critical component of problem-solving training, delivered as part of the induction into the Toyota Production System.

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Information to include:

- ✓ Reason for Referral
- ✓ Demographics/HH Members
- ✓ Education/Employment/Income
- ✓ Financial Situation
- ✓ Support System
- ✓ Barriers:
 - Physical/Mental Health
 - Substance Use/Abuse
 - Criminal History
- ✓ Strengths/Needs
- ✓ Full Name & Title

Sample Case Notes - Narrative Form:

(HH number), Customer was referred to the Eligibility Entity Staff for (job search assistance, support completing a training, etc.). Customer is a (age and pertinent demographics) individual, who (current financial standing). In addition, Customer is receiving (any state/federal assistance), but/and (initial perception of budget).

Customer stated that they have (support system overview), who they feel (assistance support system can give). Customer indicated that they (any health or mental health issues), but (management/coping strategies utilized). Customer indicates/denies any substance use/abuse history (describe as needed). Additionally, Customer indicated/denied any criminal history (describe as needed).

Customer and Eligibility Entity Staff were able to identify the following strengths (list/explain), and the following needs (list/explain), which will be expanded upon as case management services continue.

CM Agreement was completed. Customer has agreed to meet (frequency) and to engage fully in case management services.

Plan: (what will be addressed next meeting) – Name, title

Data Reported

Enter all Customer information into Customer software system, choose SRV 7b and enter all demographics for all individuals in the household.

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Planning

ROMA	Step in ROMA Cycle	Case Work	SRVs/FNPIs	Timeframe
Planning	CM Agreement / Release of Information (RI)	Obtain Customer signature on the CM Agreement/RI form and document in case notes then place in Customer file. Enroll Customer(s), not household , in SRV 7a for case management.	SRV 7a	1 st Appointment
	Financial Well-Being Survey (FWS) Optional, but recommended for each TOP Customer	Complete FWS with Customer	FNPI 3h	2 nd Appointment
		Note completion of FWS in case notes and enroll in FNPI 3h		
		https://www.consumerfinance.gov/data-research/research-reports/financial-well-being-scale/		
		Other helpful financial booklets for Customers: https://www.consumerfinance.gov/consumer-tools/educator-tools/your-money-your-goals/		
	CM Service Plan (SP)	Case notes should indicate the Service Plan was completed with the Customer and the date completed then placed in Customer file	FNPIs/SRVs	2 nd appointment (within the 1st month) then ongoing
		<ul style="list-style-type: none"> Document planned goals, agreed upon by the Agency staff and Customer, along with steps and a timeline to achieve goals 		
		<ul style="list-style-type: none"> Goal-setting is the process of working with the Customer to set and reach small, incremental, short-term steps towards those larger goals/milestones (i.e., obtain employment, complete vocational training, buy a home) 		
		^ Enter goals as enrollment in FNPIs/SRVs		
	Is the Customer still a case management candidate? <ul style="list-style-type: none"> If YES, move on to next step. If NO, terminate Case Management and provide the Customer with the Termination Letter and referrals to service providers. Close case file and document in case notes. 			

Case Management (CM) Agreement / Release of Information (ROI)

If the eligible entity chooses not to use the department form, create an eligible entity Case Management Agreement form. Include what the eligible entity expectations are for the Customer and what the eligible entity is willing to do to assist the Customer, including setting fiscal limits, if needed. Obtain the Customer’s signature, along with the Eligible Entity Staff signature on the form prior to placing it in the case file. Obtain the Customer signature on a Release of Information Form for future use, if needed.

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Financial Well-Being Survey (Optional)

Complete the Financial Well-Being Survey with the Customer at initial meeting. Note the completion of the survey in the case notes and enroll the Customer in **FNPI 3h**. An additional survey will be done once the Customer has achieved TOP. <https://www.consumerfinance.gov/data-research/research-reports/financial-well-being-scale/>

For additional financial booklets for Customers, free of charge, check out this website for the various topics of interest. <https://www.consumerfinance.gov/consumer-tools/educator-tools/your-money-your-goals/>



Customers coming in for assistance may not have the skill set to budget, do not assume they do. Consider how to assist them with financial coaching or utilizing the basic workbooks from CFPB above to assist them on their journey to self-sufficiency and financial wellness.

CM Service Plan

1. Service Plans are a living document. They should grow and evolve with the Customer. It is their plan. The Customer's needs are unique to them and must drive the focus of each goal.
2. Goal areas should be identified based on the needs assessment and Outcomes Matrix.
 - a. Assessment or Outcomes Matrix criteria that indicate "Vulnerable" or "In-Crisis" should have corresponding goals and be a priority on the Service Plan.
3. Progress Notes should indicate progress, regress, or completion of goals.
4. Provide Customer a copy of Service Plan upon completion or consider a certificate of completion created for them and provide it to them upon completion. Again, it's their plan!
 - Service Plans should be updated every 90 days and have a "first-person" tone. Try to put as much of the Customers wording into their Service Plan as this encourages their ownership of the plan.
 - Include a review of the Service Plan within monthly case notes to encourage follow-up about identified goals.

Keep goals SMART-ish

Try to ensure your Customer feels a sense of achievement and keep barriers to a minimum, but if they want to shoot for the stars, let them (within reason)!



- a. **S** = Specific. Set goals for the Customer and for yourself
- b. **M** = Measurable. Identify the FNPIs/SRVs
- c. **A** = Attainable. Establish incremental steps for each goal
 - Avoid saying "get a job" and not provide a breakdown on how to achieve that goal. i.e., does the Customer need job skills, a GED, learn to write a resume, etc.?
- d. **R** = Relevant. Note referrals, contact and dates in case notes
 - Avoid saying "met with Customer" and explain what occurred during the meeting and what are next steps for the Customer or what needs did they have.
- e. **T** = Timely. Set dates and timeframes for each step to be completed.



1. Customer files should tell the Customer/HH story to ensure that anyone can step in and assist the Customer to meet their needs when a case manager is unavailable.
2. Progress notes are your road map. Notes are the mortar to the bricks (Assessment, Outcomes Matrix, and Service Plan.)

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3. Appropriate scope of work.
 - a. Do not document or indicate that the Eligible Entity can do anything outside of what is agreed on at an eligible entity level.
 - b. Use language like “refer” and “defer” in your Service Plan in conjunction with appropriate contact information (see Service Plan example.)
 - c. When possible, also include a referral in the Customer software.

Planning Case Notes:

Follow-up the case notes using **SOAP**:



- **S**(ubjective): reason why Customer is attending meeting
- **O**(bjective): any changes to living arrangements or life experiences
- **A**(ssessment): progress towards service plan goals
- **P**(lan): next step towards goals

Narrative Form:

- (HH number), Customer and Eligibility Entity Staff met for a (weekly/bi-weekly/monthly) meeting to discuss progress towards service plan goals. Customer indicated that (include any changes since the last meeting) and (emotions/thoughts about changes). Customer and Eligibility Entity Staff spoke about (progress of goals, barriers that were addressed, etc.), and (next goal) was outlined. In preparation for the next meeting, (outline what is next and what Customer and social worker will do).
- Plan: (what is next) – Name, title

Sample:

- HH – 2, Customer and Eligibility Entity Staff met for a weekly meeting to discuss progress towards service plan goals. Customer indicated that she is starting to have an increase in anxiety since her seasonal position is ending around mid-May. Customer stated that “can’t seem to stop thinking about what to do next” and “how to make ends meet once this job ends.” Agency staff and Customer discussed how she has handled anxiety in the past, and what worked well for her. Customer identified that she was better able to handle her anxiety when she did daily meditation, which she hasn’t done since her child was born. Agency staff and Customer identified where and how she can start incorporating that into her week. Agency staff also referred Customer to the Headspace YouTube page for other options.
- Customer has agreed to start her meditation again and will look through Goodwill and Workforce Solutions for job listings that may be applicable for her. Agency staff will also investigate other job search portals, and review the updates that Customer made to her LinkedIn.
- Plan: Customer will continue with case management services at this time, including emotional support and researching potential job openings for next meeting.

Data Reported

Once a Customer has signed the CM Agreement, choose **SRV 7a** for the individual(s) you are working with to obtain their education/employment. If you have provided services already, review what has been reported and what is missing in the software, then choose SRVs and FNPIs so they are reported on the monthly performance report.

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Implementation

ROMA	Step in ROMA Cycle	Case Work	SRVs/FNPIs	Timeframe
Implementation	Delivery of Services	Update the SP at each Customer contact	FNPIs/SRVs	Ongoing and as needed
		Document Customer progress at completing steps and achieving goals. Case management follow-up should occur, at a minimum, every 30 days, either through a meeting, phone call or email.		
		Update FNPIs as outcomes are achieved to show milestones		
		Case notes should indicate the services provided, any outcomes achieved and FNPIs/SRVs selected in Customer software		
	Customer Participation	Customer actively participates in obtaining employment/education/job skills training.	FNPI 1b or 1e	Ongoing Note the start date of employment to achieve results. Note the TOP date when achieved 90 days of income above 125% FPIG
		When the Customer obtains employment/certificate/degree, update all outcomes to show achieved results		
		Ensure all support documentation is in the case file (i.e., Supporting Documents (invoices, grades, paystubs, etc.	FNPI 1c or 1f	
		Update employment outcomes and enroll Customer to maintain employment for 90 days		
	Case Notes	Case should follow the intake, meetings, goals met and next steps.		Ongoing and upon completion of 90 consecutive days of income above 125% FPIG
	Is the Customer still a case management candidate? <ul style="list-style-type: none"> • If YES, move on to next step. • If NO, terminate Case Management and provide the Customer with the Termination Letter and referrals to service providers. Close case file and document in case notes. 			

Delivery of Services

Delivery of services is a major part of case management and to be effective, services must go beyond providing referrals and monthly follow-up with the Customer. It requires coordination of services with other service providers in the community, and advocating for services on behalf of the Customer, when needed.

Delivery of services, refers to the linkage between the Customer and what is available in the community as resources to meet the Customer’s needs. Linkages should be established and maintained between the Eligibility Entity Staff and community service providers that serve Customers in your service area. Referrals should be provided to service providers that are able to meet the needs of the Customer when the eligible entity is unable to.

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Building a strong working relationship with other community service providers can help prevent duplication of services. Remember that any service coordination or advocacy on behalf of the Customer should be noted in the case notes.

Every Customer is different and every Customer's needs are different. As the Customer/Staff relationship grows, be assessing what assistance the Customer continues to need or will need in the future to allow them to become self-sufficient and maintain that self-sufficiency long-term.

Sample Services Matrix:

Consider creating a matrix of services that will be provided to the Customer. Choose SRVs/FNPIs specific to the track a Customer will be taking and be consistent in reporting each data point.

CDL Track Matrix for Services						
Tuition (SRV 2bb/ FNPI 2h)	Transportation (SRV 7d)	Add'l Trainings/ License (SRV 2aa)	Supports for Training (SRV 2aa)	Incentives for Goals Met (SRV 5hh)	Rent (SRV 4c/ FNPI 4e)	Food (SRV 5hh or 5jj)
\$6,000	Repairs: up to \$1,000 per year Oil change: \$50 Gas: \$50 gas card	\$300	Books: \$250 Uniforms: \$500 Steel-toed boots: \$275	\$50 per incentive, not to exceed \$250 per year	\$1,000 x 2 per year	As needed or \$200 per month. Add \$75 for each HH member.

Sample Employment Cheat Sheet:

Create a cheat sheet for SRVs/FNPIs for each track of training/education or when working towards obtaining employment and achieving TOP that will be provided to each Customer on that specific track. Choose specific SRVs/FNPIs for the track and be consistent in reporting each data point for each Customer to ensure a good story is told with data.

Employment – Domain 1	FNPI	SRVs
Has the Customer signed a case management agreement and needs to obtain employment? MIT Living Wage Calculator: https://livingwage.mit.edu/ Use the living wage calculator for the specific county the Customer lives in and/or is looking to obtain employment in		7a
Employment up to a living wage?	1b	1a-1q
If obtained a job, enter the start date and enroll to maintain the job for 90 days.	1c	
Employment at a living wage or higher?	1e	1a-1q
If obtained a job, enter the start date and enroll to maintain the job for 90 days.	1f	
Did the Customer apply for assistance and already have a job?	1h	1a-1q
How are you assisting the Customer to achieve an: <input type="checkbox"/> increase in salary <input type="checkbox"/> increase in hours worked <input type="checkbox"/> increase in employment benefits	1h.1 1h.2 1h.3	1a-1q

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SRV 1g	Workshops	Does the eligible entity have a partner where a Customer can attend career counseling workshops?
SRV 1i	Coaching	Are you coaching the Customer monthly in their job search? Synonyms for the word Coach: to counsel, mentor, show, guide, lead and tutor
SRV 1j	Resume Development	Search the internet for resume samples and work with the Customer to find the best fit for their skills/experience
SRV 1k	Interview Skills Training	Consider using a recorded virtual call, or if in-person, a mobile phone camera to record the Customer. Ask questions, while recording them, and show the Customer the video so they can see how they appear to the person asking the questions. Discuss the experience.
SRV 1l	Job Referrals	Do you have a current list of employers to refer Customers to? If not, consider how to develop a list so Customers with barriers to employment have a starting place with a referral to an organization the eligible entity has built a relationship with.

Customer Participation

Customers who actively participate in their case management are more likely to be successful in achieving goals. Why is that important? If the Customer is engaged, they are moving towards achieving their goal and if they are successful, you are successful too. If the Customer is involved in the planning process, setting then prioritizing goals, and choosing what services will best meet their needs, this will encourage good decision-making long-term and after achieving TOP.

[Keep goals SMART-ish](#) and encourage the Customer in achieving each step for each goal. Their participation is ongoing and should be noted in the case notes on a monthly basis.

Implementation Case Notes

Follow-up the case notes using [SOAP](#):



- **S**(ubjective): reason why Customer is attending meeting
- **O**(bjective): any changes to living arrangements or life experiences
- **A**(ssessment): progress towards service plan goals
- **P**(lan): next step towards goals

Data Reported

Be consistent in services provided and expected outcomes for Customers based on the track of services the eligible entity will be providing, (I.e., forklift driver, CDL, barber school/cosmetology, CNAs, etc.) Consider standardization when reporting data in the Customer software and when telling the data story for each Customer.

Example: each Customer will receive resume assistance, interview assistance, coaching, etc. The more consistent services are provided, the more the eligible entity provides them well.

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Sample Data Sheet:

Employment: CDL Track	If Customer is eligible for TOP: Select SRV 7a - Case Management	Then sign-up Customer for case management for CDL Track
	If Customer enrolls in CDL Training School. Select SRV 1a - Vocational Training. Select SRVs 2aa, - post-secondary education supports or 2bb - financial aid assistance (if providing)	Then enroll Customer to obtain vocational skills certificate. Select FNPI 2h - obtained a certificate
	If Customer obtains CDL Certificate. Select from SRVs 1g-1q.	Then enroll Customer to obtain employment. Select either FNPI 1b (obtain up to a living wage) or 1e (obtain at a living wage or higher), based on living wage calculator/HH size
	If Customer obtains employment. Select from SRVs 1g-1q for further services provided.	Then enroll Customer to maintain employment for 90 days. Select either FNPI 1c or 1f - to maintain employment for 90 days
	Additional services provided:	(i.e., rental assistance, utility assistance, gas cards, food cards, educational supplies based on the matrix of services the eligible entity agrees to provide or customer need)

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Achievement of Results

ROMA	Step in ROMA Cycle	Case Work	SRVs/FNPIs	Timeframe
Achievement of Results	FNPIs/SRVs	<p>Review all case notes in the Customer file</p> <p>Record all SRVs provided and any FNPIs for outcomes enrolled and possibly achieved</p>	SRVs/FNPIs	Monthly, ongoing and upon completion of 90 consecutive days of income above 125% FPIG
	Income Tracker	<p>Calculate TOP income every 30-60-90 days from start of job using the Income Tracker and collect all check stubs in HH for each 30 day period.</p> <p>Review Income Calculations for Transitioning Out of Poverty video located here: https://www.tdhca.state.tx.us/community-affairs/csbg/videos.htm</p>		Monthly verification of completion of 30-60-90 consecutive days of income above 125% FPIG
		<p>If the Customer does not TOP in the first 30-day period, the 30-day count starts again. If the Customer does not TOP in the second 30-day period, the 30-day count starts again.</p> <p>NOTE: Customer may not have achieved TOP, and you may have to continue working with Customer on obtaining employment that does not have them underemployed.</p>		
		Update Matrix		
	Second Financial Well-Being Survey (FWS)	<p>Complete 2nd Financial Well-Being Survey with Customer</p> <p>Note completion in Customer case notes</p> <p>If 2nd score improved, complete the 3h outcome</p>	FNPI 3h	Upon completion of 90 consecutive days of income above 125% FPIG

FNPIs/SRVs

Family-level National Performance Indicators (FNPIs) and Services (SRVs) are a requirement of receiving CSBG funds. The Government Performance and Results Act Modernization Act of 2010 (GPRA) required the federal government to improve performance management across all of its programs and the new NPIs and demographics were the result of the requirement. The guide to what can be counted is located [here](#) – check back often to ensure you are using the most current guidance for Module 4 – Individual and Family Level.

Ensure a review of all case notes is performed, looking for services provided and possible outcomes the Customer has achieved. Verify that the Customer was counted in each domain and in your Customer tracking software. If there are missing FNPIs/SRVs that relate to the Customer/Household, enter the information to ensure you report the data story of this Customer accurately.

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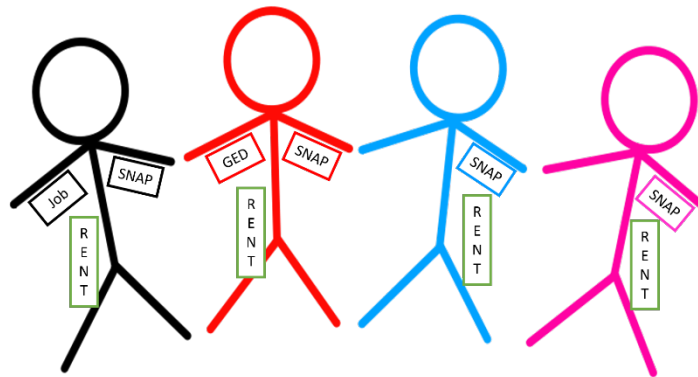
If it isn't reported, you can't prove it happened! If services were provided, but they were not reported, it didn't happen. If the Customer achieved outcomes, but they were not reported, it didn't happen.

Reminder that the more demographics for a Customer/Household the better the Customer data story is told. Unknown is to be used only when you were unable to capture the information from the Customer or the funding source does not permit the asking of the question.

Services are outputs. Some are simply a service (SRV) and others results in an outcome (FNPI). There are no outcomes without services to support them, **except FNPI 3h**.

- Outputs: stabilize and provide emergency assistance for the Customer.
- Outcomes: create a change such as obtaining employment or improving employment when underemployed, an increase in skills/knowledge, avoiding eviction/foreclosure/homelessness, improved health and nutrition. Outcomes relate to increased independence and can assist Customers in achieving self-sufficiency.

How to count FNPIs/SRVs:



Domain 1 – Employment, Domain 2 – Education, Domain 3 – Income/Asset Bldg., Domain 5 – Health, Social/Behavioral **only participants** are counted. Domain 4 – Housing count all members of the household.

Review the monthly performance report (MPR)

Aligning the SRVs reported by domain behind the FNPIs reported domains as follows:

Domains	FNPIs	SRVs
Employment	3	11
Education	4 and 5	12 and 13
Income/Asset Bldg.	6	13 and 14
Housing	7	14 and 15
Health/Social	8	15, 16, and 17
Civic	9	17
FNPI 7a	10	18

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Using the MPR Review Worksheet, complete to see if your data story is consistent or if there are any variances as shown in this example:

SRV 7a	Page 18	21		
People working towards TOP	Page 28	24	(3)	
SRV 7b	Page 18	3967		
Individuals in demographics	Page 19	4849	(882)	
People who have achieved TOP	Page 28	0		
SRV 4i	Page 14	68		
SRV 4k	Page 14	305		
SRV 6c	Page 17	12		
Board	Page 28	12		
	CEAP		CSBG SRVs	
CEAP	Monthly	Cumulative	Cumulative	Variance
HC/SRV 4k	70	242	68	(174)
UA/SRV 4i	237	2635	305	(2330)
				(2504)

Under reporting in SRV 7a by 3 individuals.

Under reporting in SRV 7b by 882 individuals.

Under reporting in SRV 4i/4k by 2,502 individuals.

Income Tracker

To TOP a Customer, the eligible entity is required to track 90-days income from the date the Customer begins their employment until the Customer has achieved income above 125% FPL for 90 consecutive days. To learn more about how to count the clock on the 90-days, please review the video titled *Income Calculations for Transitioning Out of Poverty* located here: <https://www.tdhca.state.tx.us/community-affairs/csbgs/videos.htm>

For those Customers that are not complying with providing paystubs, consider incentivizing income tracking for TOP by using the following:

- At 30-days employment, provide a \$30 gift card
- At 60-days employment, provide a \$60 gift card
- At 90-days employment, provide a \$90 gift card



Consider adding this incentive to the Case Management Agreement, so the Customer is able to see this upfront and are more willing to comply or be creative and come up with an incentive to encourage the Customer to comply and achieve TOP.

Update Self-Sufficiency Outcomes Matrix

Review the Customer's status, in each domain, to see where the Customer is on the Self-Sufficiency Outcomes Matrix and if additional assistance is required for the Customer/Household to maintain their status at a level of safe to thriving long-term. If they are not going to be able to maintain self-sufficiency, seek ways to assist the Customer long-term through the remainder of the calendar year or seek ways to increase their employment whether in higher wages, or additional hours.

2nd Financial Well-Being Survey

Complete a 2nd Financial Well-Being Survey with the Customer prior to the achievement of TOP. Note the completion of the survey in the case notes and provide the date for actual results to be achieved by the Customer in FNPI 3h. Note any changes in the Customer's case notes. <https://www.consumerfinance.gov/data-research/research-reports/financial-well-being-scale/>

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Evaluation

ROMA	Step in ROMA Cycle	Case Work	SRVs/FNPIs	Timeframe
Evaluation	Customer Satisfaction Survey (CSS)	Send Customer CSS with instructions to complete and return form to eligible entity		Upon completion of 90 consecutive days of income above 125% FPIG
		Note that CSS was sent to Customer in case notes		
	SWOT	Perform a SWOT of case management and case files annually. Determine the effectiveness of its case management services and identify strategies for improvement, including identification of reasons for Customer terminations and strategies to limit their occurrence.		
	Customer File Closure	Complete CM File Closure form and place it in the file		Typically after TOP
Enter reason for CM Case Closure in case notes			*If continuing CM after TOP - update service plan	

Customer Satisfaction Survey

TAC RULE §6.207 (3) (M) required an eligible entity obtain a Customer satisfaction survey from their Customers that will be used to share with the board of directors, to analyze and see whether the needs of the community are being met

Strengths, Weaknesses, Opportunities, Threats (SWOT)

TAC RULE §6.207 (3) (N) requires an annual review of the eligible entity’s case management effectiveness and to identify strategies for improvement, including identification of reasons for Customer terminations and strategies to limit their occurrence. Documentation that this review has been completed should be maintained for any eligible entity CSBG compliance review. Possible questions to ask:

- How many Customers did I work with?
- How many gained skills/education?
- How many got a job?
- How many TOP?
- How many dropped out?
- What makes me an effective case manager?
- What skills or training could help me improve?
- What programs and/or services netted the best results?
- What are the greatest barriers to helping Customers achieve self-sufficiency?

Another effective tool is the SWOT. Consider completing a SWOT annually, as an eligible entity, or even as an individual who works with Customers to ensure you are giving yourself and the Customer the best opportunity to succeed.

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Customer File Closure

Case management requires that services be terminated when the Customer no longer needs the services coordinated by case management. There may be other reasons for bringing a Customer's case to closure including, the Customer:

- has achieved self-sufficiency and TOP,
- declines services,
- cannot be located or,
- a pattern of non-compliance/non-participation on the part of the Customer.

Documentation required for case closure should include:

- reason for case closure
- date of case closure
- acknowledgment of services the Customer may still be receiving from the eligible entity

Preparing the Customer for case closure is an important step as they are achieving self-sufficiency and a gradual decrease in services occurs. Types of recognition could include certificates of case management completion, incentives for completion, and letters of congratulations or other creative ways of recognizing the Customers accomplishment.

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Appendix: Sample Forms

- [Eligibility Determination Tool \(PDF\)](https://www.tdhca.state.tx.us/community-affairs/csbg/guidance.htm) located on <https://www.tdhca.state.tx.us/community-affairs/csbg/guidance.htm>
- Located on <https://www.tdhca.state.tx.us/community-affairs/csbg/additional-requirements.htm> under the ROMA Case Management Guide:
 - Sample Data Sheets
 - Sample Matrix
 - MPR Review Worksheet