Systems Transformation in Child Welfare: Lessons Learned about Managing Performance during the Privatization of Case Management Services in Philadelphia, PA

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DISSERTATION

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DEDICATION

It takes a Village to raise a child

~African Proverb

I dedicate this dissertation to my amazing village. To the ones that serve as the foundation from which I stand and grow. While I was not a child in age or in life when I entered this program, I needed all the nurturing, and support of a child to make it through.

To my husband Tony, and our four beautiful children (Imani, Duece, Bella and Michael), this journey simply would not have been possible without your daily sacrifices and/or constant forgiveness and support. *I love you and thank you.* **We did It!**

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LIST OF KEYWORDS/ABBREVIATIONS

ACEs	Adverse Childhood Experiences
BSC	Balanced Scorecard
CDC	Center for Disease Control & Prevention
CUA	Community Umbrella Agencies
DHS	Philadelphia Department of Human Services
IOC	Improving Outcomes for Children
PEC	Participatory Evaluation Committee
PM	Performance Management
PMS	Performance Management System
PSDA	Plan, Do, Study, Act model
QI	Quality Improvement
WHO	World Health Organization

SUMMARY

Child abuse and neglect remains a top public health concern in the United States. While there are national standards for the child welfare sector, performance for entities upholding these standards continue to struggle and outcomes for youth lag. One example includes helping children achieve permanency, a term used to help kids find stable permanent families and thus, transition out of the foster care system. Unfortunately, in 2013, there were 400,000 children in the system which increased in 2015 to 428,000 children in the system [1]. The long-term effects of child abuse and neglect are devastating to individuals, families and our society as a whole. As the number of adverse childhood experiences (ACEs) increase, so does the risk for poor physical and mental health outcomes as cited by the Center for Disease Control & Prevention (CDC) [2].

By the late 1900s with the passage of the Child Abuse Prevention and Treatment Act federal oversight of state-based child protection services was mandated [3]. The shift to public funding was accompanied with increased public scrutiny and bureaucracy, followed by increased expectations of better performance management (PM) with the passage of the Federal government Performance and Results Act of 1993 [4,5]. As states assumed authority to administer their own child welfare systems, oversight of the overall system's performance became more and more complex with procedures varying widely across states. Local municipalities, like Philadelphia, PA have begun to decentralize core services to try and address continued subpar service outcomes. In 2014, Philadelphia implemented the Improving Outcomes for Children model which included the subcontracting of core case management services to local community-based organizations referred to as Community Umbrella Agencies or CUAs.

This exploratory study sought to better understand the current performance management system being used to promote improved performance as well as organizational and leadership

factors that influence performance within select CUAs. More specifically, this research used a developmental evaluation single-case study design to answer five research questions. Key high-level research findings include:

- The Philadelphia CUA Performance Management System as it is currently designed is effective, although improvements in the shared data management system is important to further increase CUA performance.

- Relationship management, and more specifically engagement and empowerment strategies, are key to achieving and sustaining improved performance in a decentralized system whereby semi-autonomous control is granted to subcontractors.

- Strategic management, opposed to strategic planning alone, supports improved performance because it helps to ensure ongoing analysis and alignment between public and private partners as both have different environments and infrastructures to exist within.

- Mutually beneficial performance management capability is a critical component to large scale systems changes. Moving beyond performance measurement to performance management should be a collective priority.

- A focus on learning is of the utmost importance to improving and sustaining performance in large complex systems change efforts. Learning at all levels is required in order to build an adaptive system that will meet the ever-changing needs of youth, families and communities.

The findings from this research have the potential to reach beyond the child welfare system and extend into other systems utilizing case management services. Any large-scale public system seeking to decentralize core services to private organizations can benefit from the findings discussed in this dissertation.

I. BACKGROUND AND PROBLEM STATEMENT

a. Study Objectives

The objective of this study is to explore performance management within the ever-changing landscape of child welfare. More specifically, this research aims to examine the more recent trend of shifting centralized case management services to a more complex decentralized semi-autonomous structure whereby government and private organizations collaborate to deliver services. The research will delve deeper into Philadelphia's subcontracted child welfare case management service model and explore the factors that promote and/or inhibit performance and achievement of desired outcomes. Focus was given to understanding characteristics of the current performance management system and exploring organizational infrastructure and leadership factors that influence performance. Lastly, research findings helped produce recommendations that promote optimal systemic performance for improved child welfare outcomes in Philadelphia, PA.

b. Background and Context

Child abuse and neglect remains a top public health concern, particularly as reported abuse continues to escalate across the nation. While there are national standards for the child welfare sector, performance for entities upholding these standards continue to struggle; and although strategies like Philadelphia's decentralized case management model with a shared performance management system are becoming more popular, outcomes for youth lag. For instance, helping children achieve permanency, a term used to help kids find stable permanent families, remains troubling as witnessed with the increase of children in the foster care system from 2013, when there were 400,000 children to 2015 with 428,000 children [6]. Furthermore, the long-term effects of child abuse and neglect are devastating to individuals, families and our society as a whole. As the number of adverse childhood experiences (ACEs) increase, so does the risk for poor outcomes

related to injury, mental health, maternal health, infectious disease, chronic disease, risky behaviors and decreased educational, occupation, and income opportunities, all of which are persistent public health concerns as cited by the Center for Disease Control & Prevention (CDC) [7]. In fact, research shows a strong connection between child abuse and the risk of chronic, life-threatening conditions such as diabetes, cancer and heart disease [8]. The inevitable trauma experienced by abused children forces them to endure highly stressful and often unbearable environments causing a host of psychological and emotional conditions ranging from dissociation to depression and mental illness [9].

Performance in Child Welfare- In the early 1900s, community-based organizations served as the primary service provider for child maltreatment; however, by the late 1900s with the passage of the Child Abuse Prevention and Treatment Act federal oversight of state-based child protection services was mandated [10]. The shift to public funding was accompanied with increased public scrutiny and bureaucracy, followed by increased expectations of better performance management (PM) with the passage of the Federal government Performance and Results Act of 1993 [11,12]. As states assumed authority to administer their own child welfare systems, oversight of the overall system's performance became more and more complex with procedures varying widely across states. Regardless of the administrative complexities, all states are still required to work towards three overarching national goals according to the Administration for Children and Families:

- **"Safety**: All children have the right to live in an environment free from abuse and neglect."
- **"Permanency**: Children need a family and a permanent place to call home."
- **"Child and Family Well**-**Being:** Children deserve nurturing environments in which their physical, emotional, educational and social needs are met" [13].

In 1998, the Children's Bureau articulated the following tenants to support the national goals and still serve as the foundation of child welfare practice today:

- **"A safe and permanent home and family is the best place for children to grow up.** Every child has a right to adequate care and supervision and to be free from abuse, neglect, and exploitation. It is the responsibility of parents to see that their children's physical, mental, emotional, educational, and medical needs are adequately met. Child protective services (CPS) agencies should intervene only when parents request assistance or fail to keep their children safe and meet their basic needs."

- **"Most parents want to be good parents and, when adequately supported, have the strength and capacity to care for their children and to keep them safe.** Most children are best cared for in their own families. Therefore, CPS agencies focus on building family strengths and providing parents with the assistance needed to keep their children safe so that the family may stay together."

- **"When parents cannot or will not fulfill their responsibilities to protect their children, CPS agencies have the legal mandate to intervene directly on behalf of the children.** Interventions should be designed to help parents protect their children and should be as unobtrusive as possible. CPS agencies must make reasonable efforts to develop a safety plan to keep children with their families whenever possible, although they may petition for juvenile or family court intervention and placement when children cannot be kept safely within their own homes."

- **"CPS agencies are held accountable for achieving the outcomes of child safety, permanency, and family well-being.** To do so, CPS agencies must engage families in identifying and achieving family-level outcomes, goals, and tasks that reduce the risk of further maltreatment and mitigate the effects of maltreatment that has already occurred."

- **"Families who need assistance from CPS agencies are diverse in terms of structure, culture, race, religion, economic status, beliefs, values, and lifestyles.** CPS agencies and practitioners must be responsive to and respectful of these differences."

- **"CPS efforts are most likely to succeed when clients are involved and actively participate in the process.** CPS caseworkers need to work in ways that encourage clients to fully participate in assessment, case planning, and other critical decision-making processes in CPS intervention."

- **"When children are placed in foster care because their safety cannot be assured, CPS agencies should develop a permanency plan as soon as possible.** In most cases, the preferred permanency plan is to reunify children with their families. All children need continuity in their lives, so CPS agencies must immediately work with the family to change the behaviors and conditions that led to the maltreatment and necessitated that the child be removed from the home."

- **"To best protect a child's overall well-being, CPS agencies should assure that children move to permanency as quickly as possible.** Therefore, as agencies develop plans to support reunification, they should also develop alternative plans for achieving permanency once a child enters the CPS system" [14].

These above-mentioned tenants are important to highlight because they are the ideals from which all practice is developed and measured, and for which compliance is driven in child welfare. They also imply the intensity of the workload that child welfare practitioners struggle to uphold. The tension between compliance and practice has created an environment that is less than favorable for workers which ultimately compromises their performance [15,20]. If achieving the outcomes associated with the tenants outlined above is to occur, then a closer examination of the environment that the employees whom are responsible for producing those outcomes is critical, including a closer look at the drivers that weaken the workforce altogether [20].

One well documented driver of poor employee performance in child welfare is the overworked and underpaid conundrum, which continues to create obstacles that handicap the workforce and its ability to perform [15]. High rates of staff turnover is one of those obstacles and is unfortunately, a common trend in child welfare. Turnover not only negatively affects the

organization (e.g. fiscal costs for overtime, hiring/training etc.) but also the children and families served (e.g. loss of case-based knowledge, continuity of care, and timeliness of permanency). In fact, the Casey Family Foundation states that "annual turnover rates below 10-12 percent are considered optimal or healthy, yet for the past 15 years, child welfare turnover rates have been estimated at 20-40 percent" [16,17]. Turnover also contributes to another burden plaguing the industry- high caseloads, which in turn leads to high stress and staff burnout; again, feeding high turnover and driving poor outcomes [18].

The incredibly complex nature of child welfare whereby each case is unique and requires tailored supports with often unpredictable meandering pathways that demand ongoing flexibility and adaptability is further compounded with staff turnover. When there is a lack of consistency in staffing, the feedback loop between performance and quality suffers [20]. High turnover cripples this loop because of the disruption in learning and subsequent knowledge transfer as well as communication critical to in-depth problem solving, solution building and performance [11].

Performance as a Wicked Problem- Dr. Ida Drury of University of Colorado Denver refers to child welfare performance as a wicked problem for several reasons: (1) there is no definitive formulation, the public demands accountability from individuals that are facing larger social ills of which one system simply cannot fix. (2) There is no stopping rule. The boundaries of casework are murky and depend on a proxy to triage with limited resources and as such, some choices inevitably result in tragic consequences for which the public is quick to blame. (3) There are no true of false solutions but rather good and bad. Caseworkers are often called upon to make decision in ambiguous situations with competing facts in the face of deep human tragedy. (4) Performance measures may not capture the uniqueness or flexibility required to help a youth or family. (5) Symptoms are often symptoms of other problems. Child welfare is more often circular because the

issues that families present with rarely follow a linear trajectory. (6) There is no appetite to learn by trial-and-error and thus every attempt counts significantly. Unfortunately, there are no precise predictions [11].

An added component to the wicked problem of child welfare performance is the punitive and highly criticized sectoral and organizational cultures that exist. Managing a child welfare system at any level is a very high profile and visible position(s) because regardless of how well the system is or is not performing there is constant public disapproval and frustration; ultimately rendering very poor public value and intense political scrutiny. Under these circumstances, Mark H. Moore, a seminal figure in the field of public management, posits that "the tasks of bureaucratic operational managers is not to increase the size of the organization, institutionalize current policies, insulate their organizations from the demands of politics, or perfect the administrative systems that guide their organizations. Instead, their task is to make their organizations more valuable, in the short and long run" [19]. For operational managers to reach this goal, a reengineering of the system and the institutions within the system, must take place.

*Role of Performance Management-*A critical component to that systems transformation is a deeper dive into performance management and its role in addressing this wicked problem. In child welfare, performance hinges on the actions and knowledge of its staff and leadership, and thus clearly defined roles, expectations, learning opportunities and communication channels are essential to improving and sustaining performance [11]. Performance management or a systematic way of collecting, measuring, monitoring and reporting performance facilitates learning which allows organizations to better understand their strengths and weaknesses and serves an important role in bringing about change in knowledge and subsequent behavior [11]. The level of clarity that comes from ongoing management of performance aides in the organization's ability to develop

realistic strategies, embrace innovation and create focused roadmaps for improvement [19]. To this end, developing a system that supports ongoing learning, coordination, clarity and cohesion will better help individuals and institutions that must navigate the complexities and opaque boundaries of child welfare tackle the wicked problem of poor performance [11,15,19].

Systems Transformation- Creating a performance management system is a complex concept as it requires in-depth organizational/systems assessments and leadership investments. Essentially, systems must be flexible and adaptive enough to make the changes needed to address performance [19]- a difficult feat for large traumatized systems like child welfare. This notion is supported by Dr. Sandra Bloom, a leading architect of the well-known Sanctuary Model, an organizational change model that focuses on improving the delivery of trauma-based services within mental health and social service systems.

Dr. Bloom's theory suggests that organizations are like individuals and suffer from trauma due to unrelenting stress, loss and system fragmentation. The premise of this argument is anchored in the recognition that organizations are not machines but rather living entities that present with just as many complexities as the humans that they are comprised of and/or the humans they serve [20]. Dr. Bloom's Sanctuary Model also highlights the negative impacts of a fear-based organization and/or system. Child welfare is one of those social service sectors whereby "harm to even one child is one child too many", as stated by a Pennsylvania political leader and child welfare reform advocate. In this environment, there is already a persistent state of stress and fear for workers due to the nature of the work and the responsibility that comes along with ensuring a child's safety and well-being; this is in addition to being overworked, undertrained and underpaid.

Additional stressors are added from the cumbersome, and often changing administrative functions necessary to comply with shifting regulations. Without the nimbleness needed to adapt

and adapt quickly, fear of the unknown and uncertainty begins to take hold of the staff and the organization and ultimately the system. Fear of disciplinary actions like write-ups, job loss and lawsuits are examples of things that staff and organizations in child welfare endure, especially in an environment that shifts regularly. Should that fear be encountered repeatedly, it becomes pervasive and through psychological phenomenon like groupthink and groupmind, or the collective consciousness of a group over an individual, fear is able to spread throughout the organization and negatively impact its systems, operations and overall performance [20]. Social splitting, lawsuits, labor unrest, bad decision-making, low morale, absenteeism, wide-spread dissatisfaction, high turnover and lack of innovation are all signs of a chronic fear-based workplace.[21] Unfortunately, this systems-wide fear can be paralyzing. In child welfare, this fear contributes to poor performance by preventing the natural process of systems evolution through organizational experimentation, and learning [20].

Learning is critical to performance in any system and thus, establishing an organizational culture of learning is associated with higher performance and continuous adaptability [22]. It is not often that we overtly think of human services organizations as complex, open, and adaptive systems/businesses that need to think strategically about competitive advantages, but they are and we do. To this end, Yoo, Brooks & Patti argue that the organizational context in child welfare has largely been ignored, especially as it relates to service effectiveness or performance [23]. However, as the sector continues to become more outcomes-driven, and community needs become more and more complex while funding continues to shrink, it is indeed a necessary mental model for human service leaders to strongly consider as any systems transformation and/or cultural shift must be embraced and led by them first [20,22].

Philadelphia's CUA System- One way that child welfare systems are trying to improve performance is to decentralize core functions allowing government entities closer oversight of private organizations that are delivering the services. This semi-autonomous relationship is the case with Philadelphia, Pennsylvania's child welfare system. In 2014, Philadelphia County took the initiative to decentralize the core function of case management to private agencies referred to as Community Umbrella Agencies (CUAs). Currently, there are six agencies and ten CUA districts, meaning multiple agencies hold two or more CUA contracts. It is important to note that Philadelphia is a city of neighborhoods, and thus, the thrust to decentralize in this manner was supported by the culture of the city itself and was modeled loosely on the Florida child welfare system, which also decentralized core services to a network of community-based service organizations in 2005.[24] Public-private partnerships are not new to child welfare. In fact, more and more privatization of public services has been noted since the 1990s [25]. The literature has referred to the mass privatization of these services as the "hollow state" or a time "in which the traditional scenario of public agencies implementing all public policies and programs is exchanged for contractually bonded networks of public not-for-profit organizations, which are jointly responsible for the implementation of publicly financed services" [26].

Like many other municipalities, Philadelphia has chosen to utilize a scorecard methodology to assess the overall performance of CUAs. The utilization of scorecards as management tools are rooted in corporate literature and are based on the balanced scorecard (BSC) as originally proposed by Kaplan and Norton [27]. The BSC is "a multidimensional performance measurement and management framework originally organized hierarchically with four performance perspectives (finance, customers, internal processes and learning and growth) aimed at balancing financial and non-financial, short-term and long-term, as well as qualitative and

quantitative success measures" [28]. Despite the fact that the this methodology was developed in for-profit arenas, municipalities have demonstrated success in improving quality of services by enhancing managerial and employee's ability to focus on identified indicators [29]. Philadelphia decided to add a ranking system whereby CUAs are ranked against one another annually, and those results are made accessible for all stakeholders. In a decentralized public-private system, it is important to recognize that the governmental (or public) partners remain ultimately responsible for overall systems performance and improvements as they are the entity that has the ultimate decision-making power and public accountability. The governmental partners in Philadelphia took the lead on developing the performance management initiative that will be explored in this research.

Challenges to Performance Management- There are inherent complexities associated with managing organizational performance. These complexities are magnified in situations where power dynamics straddle separate organizations and accountability is diffused among many due to a division of labor- leaving many confused, frustrated and unsure of how to meander an already complex web of policies, protocols and systems, which is the case in many decentralized child welfare systems. Confusion and frustration are major contributors to the decreased public value inherent in child welfare. Bryson contends that improving the strategic management of an organization will lead to improved operations and outputs, and consequently, improved public value. In Bryson's book entitled *Strategic Planning for Public and Nonprofit Organizations,* he speaks of the necessity for strategic planning and the value associated with a strategic plan including the following potential benefits:

(1) "strategic thinking, acting and learning",
(2) "organizational decision-making",
(3) "organizational effectiveness, responsiveness, resilience and sustainability",

(4) "enhanced organizational legitimacy among stakeholders",

(5) "enhanced effectiveness of broader societal systems because most public problems (e.g. child welfare) stretch beyond organizational boundaries", and

(6) "improved benefits to all involved including employees, policymakers, and constituents" [30].

Bryson hones in on the strategic plan as an important tool for defining and communicating a shared vision and future of an organization, which is essential to addressing and managing organizational performance. Within the same vein, Peter Senge, a leading scholar in systems thinking, also talks about the importance of shared vision as it relates to improved performance within complex systems, among other key important disciplines that impacts an organization's ability to perform including personal mastery, mental models, team learning, and a the fifth discipline that integrates the other four, systems thinking [31].

c.   Problem Statement and Study Questions

The child welfare system is arguably one of the most important yet most paralyzed systems in local government. With decades of countless mandates and minimal advances, children in the system continue to endure unbearable trauma, and as a result, public scrutiny of the system's performance continues to rise. This push to improve services and accountability has driven public entities to privatize many child welfare functions, like case management. Unfortunately, there is a lack of clear evidence that describes how moving from a centralized case management system to a more complex decentralized system is occurring, and what exactly is or isn't working to increase performance [32]. To this end, a performance management system that can measure, monitor and report this progress is critical. There is a need to better understand these activities and the factors that promote or inhibit performance and achievement of desired outcomes. Utilizing a performance management frame to better understand the strengths and weaknesses of this service model means potentially improving a system that can help keep children and youth safe from abuse and neglect,

while adding to the performance management knowledge base of other case management disciplines.

As such, this dissertation examined the existing performance management system in Philadelphia's newly designed CUA case management system to learn about the factors that influenced overall performance as it relates to managing the complexities of a semi-autonomous relationship between private organizations and local government.

<u>Research questions</u>

1. *What are the characteristics of the current performance management system (PMS) for Philadelphia's child welfare CUA case management services?*

2. *What organizational factors influence performance among CUA case management service providers?*

3. *How are leadership factors influencing performance among CUA case management service providers?*

4. *What are the opportunities to enhance the current performance management system for CUA case management service providers?*
   a. What supports are needed for CUA leadership and CUA organizations to demonstrate performance within the current PMS?

5. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*

d. Leadership Implications and Relevance

On a macro-level, systems transformation to improve performance within a large complex system such as child welfare requires strong leadership; especially as private organizations enter the world of public accountability. Understanding the necessary systematic components, the inherent vulnerability, the delicate balance of learning and innovation with high stakes political and public value is not an option but a mandate. Leading organizational change of this magnitude requires clear vision, alignment of organizational mission and values, a strong commitment to

ongoing learning and adaptability as well as the ability to mobilize others in an effort to obtain and retain a workforce that is loyal and dedicated to achieving desired outcomes [19,20].

On a micro-level, measuring performance of case management services, regardless of the sector, continues to be a complex endeavor; in large part due to the fact that case management services are not implemented uniformly or even with the same levels of intensity [33]. Moreover, case managers serve in a wide array of settings ranging from community-based programs to medical and social services, with each sector/approach requiring a diversity of trainings, policies/procedures and protocols needed to provide individualized services to the client. In fact, the Council for Case Management Accountability (CCMA), a leadership committee of the Case Management Society of America (CMSA), has struggled with developing standardized performance measurements systems since 2003 [34]. While standards have been identified by CMSA, which are not mandated- implementation of case management services still varies widely. Adding to the complexity of case management is growing trend of public-private partnerships. The public and private sector are working more closely to tackle large complex needs but it behooves us to recognize that these sectors operate differently and thus negotiating performance across that chasm will continue to be extremely difficult. This research will help shed light on how case management systems that span across public-private partnerships, whether child welfare or other, can build performance management systems that facilitate overall systems performance. Additionally, this research will inform other child welfare systems across the nation looking to delve into a decentralized system on important leadership characteristics and organizational components that will help improve their existing and/or anticipated performance management system(s) in order to reach desired outcomes.

## II. CONCEPTUAL AND ANALYTICAL FRAMEWORK

e. Literature Review

The following chapter marries literature and practice theory to establish a conceptual framework for this research. The importance of the conceptual framework within this chapter is to provide a visual representation of the underpinning literature and theoretical constructs used to help development the research questions and methodologies further delineated in Chapter three.

The narrative below will specifically deconstruct the conceptual model to present the literature that informed the analytical framework for this study. The literature review was primary comprised of scholarly articles reviewed using search engines such as Ovid, Pubmed and Google Scholar. Key terms used throughout the literature review included but were not limited to: child welfare systems, systems transformation, decentralization, performance management, performance management systems (PMS) and performance measurement in public and private systems, organizational performance, learning organizations, and leadership elements that promote and/or inhibit performance. Leadership and organizational development books written by industry scholars were also used to inform this study. More specifically, Sandra Bloom's work on the Sanctuary Model was heavily referenced as well as Peter M. Senge's Fifth Discipline and Lee G. Bolman and Terrence E. Deal's Reframing Organizations (fifth edition). As thoroughly discussed in Chapter One, addressing the wicked problem of performance in child welfare will take a system transformation that requires organizational culture shifts driven by leadership. For this reason, the researcher relied on the seminal authors and their well-developed and heavily researched theories/models to frame the research and conceptual model. More specifically, Dr. Bloom's Sanctuary model provided the contextual information regarding performance and systems change while Bolman and Deal's work was used to provide in-depth insight into organizational constructs.

Leading those organizations through a systems change such as the newly adopted CUA system, will require strong leadership that understands the intersectionality of each component of the complex system. For this reason, Senge's work was critical to better understanding leadership elements that contribute to systems change.

Construct Selection & Alignment: The socioecological model (Figure 1) helped frame the discussion by highlighting the interconnectivity between individual, interpersonal, organizational, community and policy elements that contribute to public health outcomes [35]. It underscores the complexity in addressing large systemic issues and subsequent systems change, especially those that cut across two sectors- public/governmental and private/nonprofit.

Figure 1. Socioecological model
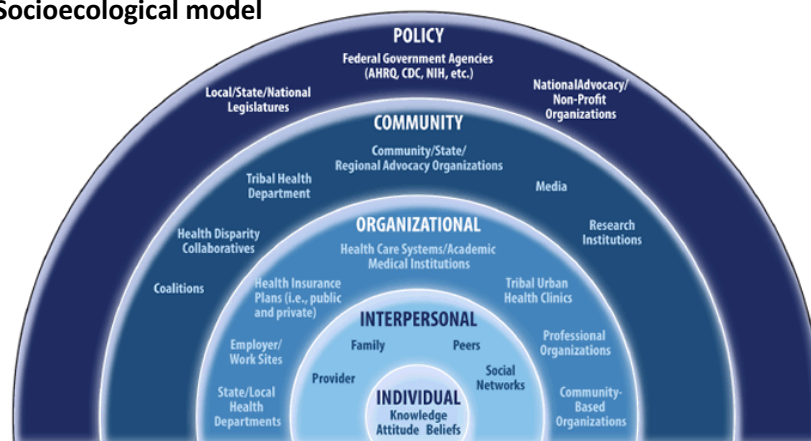
In fact, CDC adapted the model specifically to help outline strategies that may improve outcomes within child welfare as depicted in Figure 2 below [35]. This adapted model validates the need to consider a multidisciplinary and multi-layer approach when addressing performance in this sector. Furthermore, in a fully decentralized case management system such as Philadelphia's, ongoing assessment and learning is required given the inherent complexity and interconnectivity of relationships [20]. Community-based organizations play a critical role in uplifting the child welfare system and thus attention to their leadership and organizational factors is essential if performance is to be improved and sustained.

Figure 2. Child Welfare Socioecological model
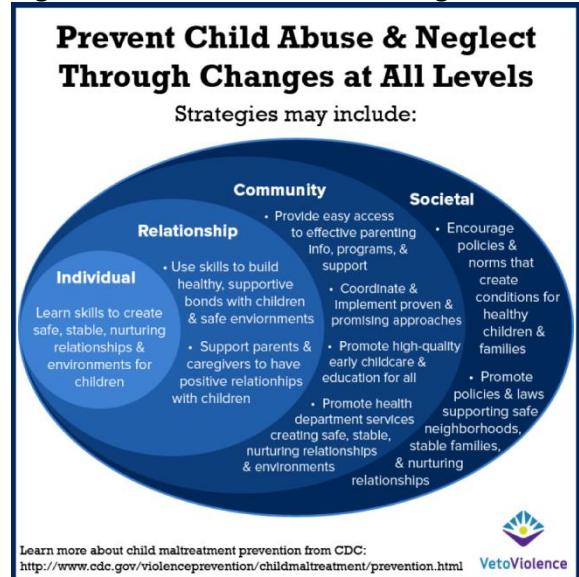
As stated above, when speaking of organizational and leadership factors within the context of systems change and transformation, the work of seminal authors helped fuel the structural thinking of this study. Bolman and Deal's work provided the framework for discussing organizational factors influencing performance, while Senge's work in describing learning organizations and more specifically, leadership qualities within those organizations, provided the framework for thinking about the importance of leadership on organizational performance. However, managing that performance in such a complex environment will require a systematic effort that provides ongoing focus and clarity on how to bring about desired change. The researcher relied heavily on the Public Health Fund's Performance Management Systems (PMS) model to discuss the critical elements of a PMS because an effective PMS will allow leaders who are wading through organizational and systems change to measure, monitor and report progress.

A theory of change to elucidate the complex nesting of these constructs was developed:

> *"Leadership characteristics and organizational components drive overall systems performance in decentralized service models such as those in Philadelphia's child welfare system. If we strengthen leadership teams by ensuring the presence of a shared vision, aligned mental models, and a commitment to team learning and personal mastery, we can improve organizational structures that support effective performance management systems ultimately facilitating improved systems outcomes. Improving the performance of Philadelphia's child welfare system means reducing the trauma associated with child abuse and neglect, while in improving permanency and stability for thousands of children and youth."*

The following narrative will be divided into three overarching categories: (1) Performance Management Systems, (2) Organizational Components, and (3) Leadership Characteristics. Each of those categories will be subdivided into subcategories that discuss the literature used to support identified theoretical constructs. The specific categories rose to the top of the literature and were selected because of their relevancy and alignment to systems change.

Performance Management Systems- A comprehensive performance management system (PMS) comprises of multiple distinct components which are often easily confused. For instance, many confuse performance management with performance measurement. While measurement is part of a PMS, it cannot be considered a PMS alone. For purposes of this research the following definition will be utilized for a performance management system: "a systematic process whereby performance measurement information is used to help set agreed-upon performance goals, allocate and prioritize resources, inform those implementing activities to either confirm or change policy or programmatic direction and to provide updates on meeting established goals" [36]. Performance management (PM) and PMS will at times be used interchangeably throughout the document. The subcategories of this section will highlight the five main components of a solid PMS: (1) *performance standards, (2) performance measurement, (3) quality improvement, (4) reporting*

progress, and (5) incentivizing. The first four components mirror the Public Health Performance Management System model developed in 2002 by the Turning Point Performance Management National Excellence Collaborative, which was a multidisciplinary group that developed a compendium of resources to help public health agencies better manage performance. In 2015, the Public Health Fund, an original collaborative member, released an updated version of the model (Figure 3) [37]. The fifth component of this model is visible leadership. Leadership is indeed a driving force in any good PMS and for this reason, the model developed for this research study lifts and prioritizes leadership as its own section discussed in detail later in the narrative. However, the fifth subsection not highlighted in the Public Health Fund model, but will be discussed as an important component to a performance management system is incentivizing and the important role incentivizing plays in promoting and sustaining good performance, particularly in a decentralized system using a public-private partnership model.

Figure 3. Public Health Fund PMS Model

Performance Standards- The planning and selecting of performance expectations is absolutely critical to developing any good PMS whether for individuals as in Human Resources or organizationally/systematically. This component speaks directly to the process of developing performance standards and indicators that are inextricably linked to the mission, vision and goals of the organization or in this case, system. In other words, the success of performance management depends, above all, on the selection and communication of correct and appropriate measures [38].

This is unfortunately where many PMS's fall short, particularly within the public services sector [39]. There are various reasons causing this struggle, including but not limited to environmental context and culture. There are differing constraints in structural and procedural environments within public and private organizations. Thus, selecting agreed upon measures can prove to be difficult because each environment is governed by differing charters (e.g. Bylaws vs. union), and have different considerations (e.g. Board of Directors vs. Political appointees) about what constitutes an appropriate performance measure [40]. Additionally, both often struggle with generating and prioritizing meaningful measures because identifying these measures takes time, experience and engagement; especially in a system where there is "notable tension in holding service providers accountable for both outcome (results) and process (quality assurance)" [41].

The overwhelming environment of child welfare is one fraught with complex rules, time-tables and crisis management. Creating space and time to think strategically and critically about specific performance standards is often a luxury for many. Unfortunately, child welfare tends to be a reactionary system as oppose to a proactive one, and thus many changes are in response to an issue instead of in prevention of one [42]. The overarching national goals of safety, permanency and well-being helps provide some structure to consider performance standards, but drilling them down to local application is where the difficulty ensues. Truly understanding the complexities at the locally administered service level in order to select measures requires a proactive lens where crisis management is not the filter. It requires individuals either internally or eternally with experience in performance measurement, and most of all, it requires the intentional engagement of stakeholders to ensure a diversity of perspectives as well as collective agreement and buy-in [43]. Lastly, once standards and indicators are mutually developed and agreed upon, communication needs to be prioritized. Widespread communication provides the system-wide

(public and private partners) understanding, transparency, alignment and buy-in necessary to move identified expectations forward.

Performance Measurement- Performance measurement is generally defined as regular measurement of outcomes and results, which generates reliable data on the effectiveness and efficiency of programs/services [44]. Performance measures are fundamental components all performance management systems and are necessary to reaching set forth standards and expectations discussed above. However, as generally stated above, selecting the appropriate performance measures is a tricky process. Measuring and monitoring inappropriate or misaligned performance measures will have negative impacts on overall performance because the data collected will not be useful in how to improve performance. Likewise, measuring an overabundance of data can leave a system more confused rather than pointed and focused. Thus, a balanced portfolio of measures is both necessary and critical to making and tracking progress [45].

Figure 4. Balanced Scorecard Framework

In recognition of the importance for selecting balanced and reliable measures, the Balanced Scorecard (BSC) framework (Figure 4) became a popular strategic management tool. The tool, developed by Robert Kaplan and David P. Norton and initially aimed at the for-profit sector, emphasized the need to look at performance measurement through a lens that captures relevant data internally (processes) and externally (customers) [46]. This is especially true for nonprofits and governmental systems that historically looked at performance using internal metrics primarily- which is important but not enough. Sheehan (1996) found that when studying performance in
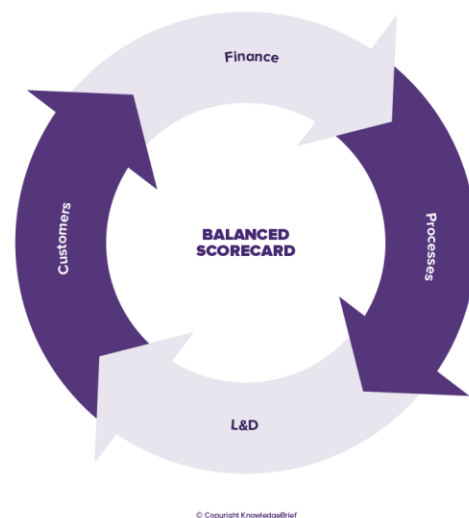
philanthropic organizations, many had clear statement of missions but no reliable way to assess whether their organizational strategies were succeeding or failing. For instance, the organizations studied had internal fiscal measures such as how much was spent on programs (e.g. staffing models) when their mission and organizational standards were outward facing such as impact on the lives of those they were serving. This is a classic example of misalignment and how one would not effectively measure the other [47]. Without this level of understanding, performance improvement is significantly hindered because the learning process associated with knowing what services/programs should be expanded, altered or cut all together is lost. The BSC helps provide a structure for organizations to think through strategies and processes; it connects the dots between big picture thinking (i.e. mission, vision, core values) and operational elements (i.e. objectives and strategies) necessary to achieve those things. According to the Balanced Scorecard Institute, the BSC suggests that organizations are viewed in four perspectives, and that objectives, measures (key performance indicators or KPIs), targets, and initiatives (actions) are developed relative to each of the four points of view:

- **"Financial:** often renamed Stewardship or other more appropriate name in the public sector, this perspective views organizational financial performance and the use of financial resources."

- **"Internal Process:** views organizational performance through the lenses of the quality and efficiency related to our product or services or other key business processes."

- **"Organizational Capacity** (originally called Learning and Growth): views organizational performance through the lenses of human capital, infrastructure, technology, culture and other capacities key to breakthrough performance."

- **"Customer/Stakeholder**: this perspective views organizational performance from the point of view the customer or other key stakeholders that the organization is designed to serve"[48].

The BSC is an example of how one could think more concretely about a balanced set of performance measures. Whether a BSC is the preferred tool or not, it is important that organizations select, define and/or refine appropriate measures and metrics/indicators. However, it is equally important to develop a data system that will allow for the collection of data. Unfortunately, nonprofits and subsequently, government systems alike often lack the robust information technology infrastructure needed to collect and report accurate data [49]. As competition continues to increase in an environment where more governments rely on nonprofit partners to deliver essential services, it will be important for these decentralized partnerships to use frameworks such as the BSC to help select appropriate measures that will accurately detail progress towards desired outcomes.

Quality Improvement- Quality improvement (QI) is another term that is often confused with performance management and with good reason as they complement each other but are distinctly different. Quality improvement is more granular than performance management, focusing on specific, identified issues, often because of monitoring performance measures originating from the PM system [50]. QI is a component of PM that allows entities to focus their efforts on specific targets to improve performance. For instance, when identifying a specific target,

a popular method of QI to improve that target is the plan-do-study-act (PSDA) cycles, an iterative approach to learning and improving. Figure 5 highlights the PSDA model developed by Walter Shewhart, and Edward Deming [51]. This method serves as the foundation of many QI approaches such as Total Quality Management,

Figure 5. Quality Improvement Model

Continuous Quality Management, Continuous QI, Lean, Six Sigma or Quality Improvement Collaborative.
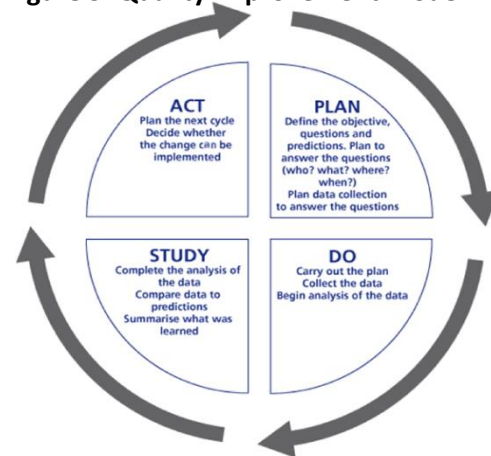
The PSDA model provides a process to test small-scale change interventions in order to limit risk while learning occurs. Learning is a central component to the PSDA model because through this process one is able to learn about what systems variation impacts desired outcomes, as well as any tangential lessons learned associated with change implementation. Interestingly, research has highlighted successes with PSDA and non-successes. The non-successes can be linked to environmental context as well as a vast interpretation of the application of PSDA itself [52]. While the components of PSDA are well defined, the process of implementing is not. The "Plan" stage identifies the change selected to test, the "Do" stage tests the change, the "Study" stage analyzes the success or failures associated with the change, and the "Act" stage implements the successes. One such variability in the application of PSDA is documentation. Documentation of each stage of the PDSA cycle is critical and is often a component that is un/underutilized. Unfortunately, when organizations fail to document each stage, acute learning and reflection is lost as is the valuable knowledge needed to ensure organizational memory and transferability of learning. [53] In order to help prepare for the application of PSDA and mitigate poor implementation,

frameworks were developed to precede PSDA; FOCUS is one example [54]. The FOCUS antecedent outlines a five-step process whose acronym delineates its intent: "**F** = Find a problem **O** = Organize a team **C** = Clarify the problem **U** = Understand a problem **S** = Select an intervention" [55].

Child welfare systems have reported positive outcomes with PSDA. Notably, the California child welfare system piloted systems improvements among eleven counties between the years of 2003-2006. In their published results, they highlighted the usage of PSDA as a "model that has been an invaluable tool in trying new strategies, building on accomplishments, and changing practice from the bottom" through technical assistance and capacity building [56]. It is important to note that California uses a centralized case management system whereby the focus of this study is a decentralized case management system; thus, there are contextual differences to consider. To this end, an abundance of literature ranging from healthcare to social services supports the notion that contextual factors influence the application of QI methods (e.g. data support infrastructure, organizational culture, leadership) [52,57]. It is imperative to further study the impact of these factors if such QI methods are going to be used effectively in managing performance for complex systems such as child welfare.

Reporting Progress- Once standards and expectations are communicated, metrics are selected and quality improvements methods/projects are deployed, learning can occur. Learning is a critical component to performance and knowledge management is a critical component to learning [58]. If organizational learning is to lead to long-term performance improvement, then knowledge must be created and shared in a manner that is timely and accessible to learners [59]. Knowledge is gained as a result of the analysis and synthesis of data collected in above phases and in preparation for the reporting progress phase. This phase specifically speaks to the actions of

analyzing and interpreting data, reporting results broadly, and developing regular reporting cycles [37]. To support and exemplify the importance of this phase, the World Health Organization developed an entire monitoring and evaluation framework that supports the performance frameworks discussed above but specifically highlights the data analysis and communication/dissemination phases (Figure 6) [60]. The WHO framework is also focused on systems transformation, which is extremely relevant to this research project given the systems transformation that is already occurring in child welfare, and Philadelphia specifically.

Figure 6. WHO Monitoring and Evaluation Framework
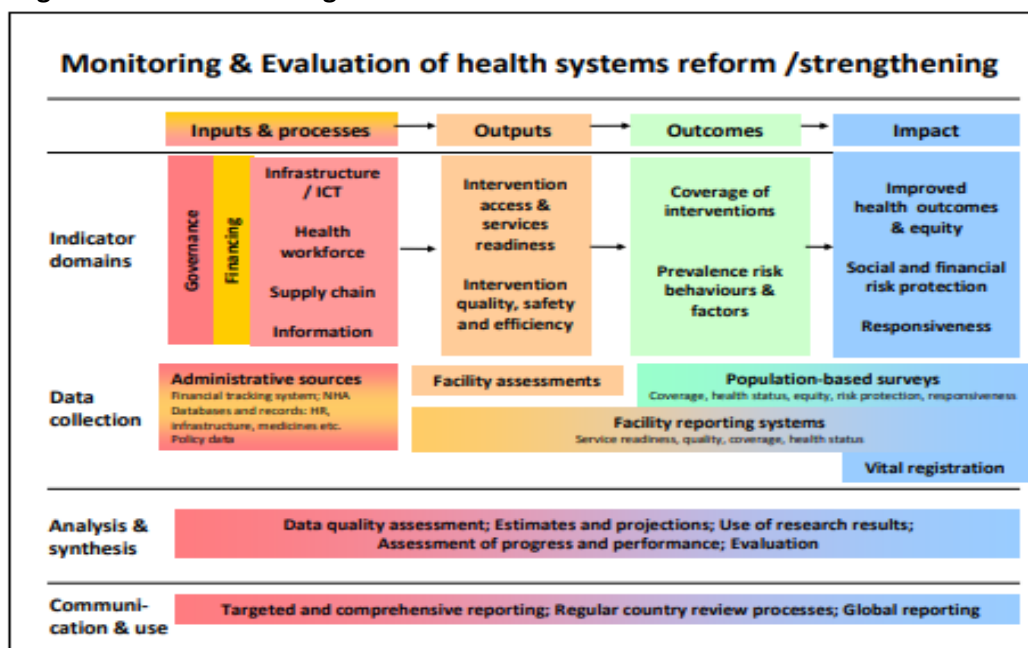
Data analysis as discussed by the WHO in its framework, begins with a systematic quality assessment on the data collected. There is a need to ensure transparency and alignment with the selected standards. The World Health Organization states that "identifying and accounting for biases because of incomplete reporting, inaccuracies, non- representatives etc. are essential, and will greatly enhance the credibility of the results for users" [60]. Moreover, an overwhelming body of collaboration and partnership literature supports transparency and honesty as best practices [61,62]. Relatedly, reporting on progress within collaborative environments has been shown to

build trust and relationships by supporting the discovery of shared successes and challenges, as well at active problem-solving [62,63]- thereby increasing the meaningful use of data in improving performance [64].

The translation of data into information relevant for decision-makers is one of the most important steps to making progress. If the knowledge gained does not reach decision-makers, the opportunity to make key decisions and mid-course corrections is lost. Furthermore, in multidisciplinary social services partnerships, there are stakeholders that carry differing perspectives on performance (i.e. implementers, customers, executives, funders, policy-makers etc.); thus, ensuring a medium that is accessible (i.e. IT infrastructure/shared databases, reporting formats) and understandable (synthesized, plain language, clarity of progress towards desired outcomes) is crucial [60]. Lastly, as pointed out by the WHO framework, the timing of the information dissemination should be aligned with the planning cycles as to give decision makers time to digest and adopt/adapt practices [60]. Moreover, it is important to note that external reporting on progress is also linked with increased accountability and better performance in human and social services sector as indicated by the Council on Accreditation (COA), an international, independent, nonprofit, human service accrediting organization, founded in 1977 (http://coanet.org/about/whats-new/about-coa/). As part of COA's comprehensive accreditation process, one of the standard indicators reviewed is an organizations ability to announce performance publicly. As discussed earlier, public value is critical to the social services sector and can inhibit performance by creating a toxic environment, thus it is just as important to promote progress with transparency and honesty to external stakeholders as it is to internal stakeholders [20,46,65].

Incentivizing- Whether performance is measured at the individual level (e.g. employee evaluations), or at the organizational level (e.g. performance management systems), incentivizing good performance is a common practice that has been shown to promote improved performance [32,66]. At the organizational and systems level, this may look like a Pay-for-Performance or performance-based contracting structure, which is an increasingly popular framework used in the privatization of public social services and is defined by private agencies receiving financial bonuses for attaining certain, contractually specified performance milestones [32,67]. The goal of performance-based contracting is to purchase outcomes instead of services. This phenomenon is also known as outcomes-based financing [68].

As one would expect, there are advantages and disadvantages to performance-based contracting depending on the preferred service model (i.e. lead agency structure or community-based care structure). In a lead agency structure, contracts are given to larger agencies that are responsible for service provision and oversight, an example of this structure is Kansas' child welfare system. This model provides more direct oversight and accountability and is more cost effective given the overhead associated with contract management is limited but the competition is great [68]. In a community-based care structure such as Florida's child welfare system, contracts from the public entity are given to a larger network of providers that provide day-to-day oversight to a bevy of community-based subcontractors. This model is more costly because of the amount of contracts with varying overhead costs, and accountability is more diffused but is advantageous because the services are locally driven by organizations known by the communities themselves [68]. Regardless of the preferred service model, it is important to maintain a focus on incentives that drive and sustain performance, fiscal gains being a major consideration, but not the only consideration [38,64,68].

The next section of this narrative begins to discuss the organizational culture, climate and infrastructure needed to drive performance. Tidbits of this conversation have been interwoven throughout the discussion above (e.g. IT infrastructure, employee evaluation (human resources management), organizational capacity etc.) but really focused on outlining a shared performance management system between public and private partnerships. However, the following narrative will dig deeper into the private non-profit sector by highlighting key organizational components that have been found to facilitate successful PMSs and will be organized using the four-frame model developed by organizational design scholars Lee Bowman and Terrence E. Deal.

Organizational Components- As public bureaucracies continue to privatize services and subcontract with private agencies; it is incumbent upon those agencies to perform to the best of their ability in order to sustain services and contracts. They will need to measure "performance across all areas of an agency's activities, including: human resources development; data and information systems; customer satisfaction; financial systems; and management practices" to name a few [20,28 ,37]. This complexity is why some scholars argue that systems thinking is required in organizational development; maximum performance is achieved when all "cogs" are in sync.

Structural- The structural frame as defined by Bolman and Deal (2013) and other scholars, refers to the ability of the organization's infrastructure to properly supports its activities such as task allocation, coordination and supervision in an effort to efficiently achieve organizational aims [69,73]. It argues for ensuring people are in the right roles and that those roles are in the right relationships throughout the organization; in other words, it serves as the foundation for the operations of the organization and facilitates the flow of information and decision-making. There is a robust body of literature that underscores the importance of structure and performance dating

back to the early twentieth century with Max Weber, a well-known German Sociologist, and Fredrick W. Taylor, and industrial analyst [70,71]. Simply put, an organization might not have the capacity to develop a performance management system, should the position and/or roles needed to build and provide oversite of the system be nonexistent. More specifically, poor structure lends to mass confusion, lack of coordination between functions, unclear decision-making and communication, ultimately amounting to frustration [72]. Bolman and Deal outline six assumptions of structural frame:

1. "Organizations exist to achieve established goals and objectives."
2. "Organizations increase efficiency and enhance performance through specialization and appropriate division of labor."
3. "Suitable forms of coordination and control ensure that diverse efforts of individuals and units mesh."
4. "Organizations work best when rationality prevails over personal agendas and extraneous pressures."
5. "Effective structures fit an organization's current circumstances (including its goals, technology, workforce and environment)."
6. "Troubles arise and performance suffers from structural deficits, remedied through problem solving and restructuring" [73].

Utilizing these assumptions, organizations can begin to ask themselves critical questions regarding their internal structure and the impact it has on overall performance.

The literature categorizing organizational structures varies widely. Most structure fall within the following four basic structures: 1) Functional or bureaucratic/hierarchical, 2) Divisional whereby the structure of leadership mirrors differing projects/products/divisions, 3) Matrix or network, which is more multi-layered and complex with fluid reporting lines, and lastly, 4) Flat where reporting structures are more informal and collaborative [74]. Other scholars provide variations of these four structures. However, a newer organizational structure emerging is the

Hierarchy-Community Phenotype model. This structure is in response to the recognition that traditional hierarchy structures provide the structure and clarity needed to enhance performance, but favors efficiency at the expense of flexibility, innovation and a caring culture [75]. This structure is of interest given the high intensity work of child welfare, and the "community" needed to provide ongoing support, nurturing and counsel to its workforce in order to deliver desired outcomes. The notion of a "caring "culture in social services is further validated by Dr. Sandy Bloom's Sanctuary model which specifically discusses the characteristics of a traumatized organization and the need to provide "sanctuary" in order to heal. Dr. Bloom's perspective is that organizations are living organisms that are just as complex as the humans they employ and serve, and as such need to be nurtured through a lens of compassion and attention just the same [20].

Selecting an organizational structure depends on the organization's vision, mission environment and current goals. While there is no right or wrong structure, it is possible to have a structure that does not fit. As public-private partnerships continue to emerge, organizations will need to be flexible and committed to constantly assessing their organizational structures to ensure it can meet the demands placed on them by the ever-changing public environment [20,73].

Human Resources- The Human Resource frame of Bolman and Deal was built on a century of literature categorized in two opposing camps: 1) organizations recognize people as tools to utilize as a means to an end (performance/outcomes), and 2) organizations and people need each other and while the concept of "need" remains controversial, these needs can be aligned and mutually respected [73]. Bolman and Deal offer the following assumptions for their human resource frame in their model:

1. "Organizations exist to serve human needs rather than the converse."
2. "People and organization need each other. Organizations need ideas, energy, and talent; people need careers, salaries and opportunities."

3. "When the fit between individual and system is poor, one or both suffer. Individuals are exploited or exploit the organizations- or both become victims."

4. "A good fit benefits both. Individuals find meaningful and satisfying work, and organizations get talent and energy they need to succeed" [73].

This frame is particularly important and relevant to the child welfare arena given the multitudes of workforce issues clearly outlined in the literature ranging from workers being undertrained and exposed to ongoing trauma to being overworked and underpaid [20,16,11]. Being underpaid is a very popular complaint of child welfare workers and is heavily cited in the literature. However, one would argue that because this is such a highly recognizable issue, there must be other motivating factors that attract and retain child welfare workers to this work besides the well-known low pay. There are several models of motivation including but not limited to those depicted in Table I below; the authors selected are major contributors. Understanding the motivation of staff is extremely important to understanding the organizational capacity to perform. Motivation is inextricably linked to performance because it helps define the attitudes and subsequent behaviors of staff as well as the overall climate of the organization itself [59].

Table I. Models of Motivation at Work

Scholar (Author)	Motivational Model/Theory	Brief Description of Constructs
Maslow[76] (1943,1954)	Hierarchy of Needs	*Physiological:* Physical needs (i.e. water, shelter etc.) must be met first in order to drive intrinsic motivation. *Safety:* Need to be safe or secure from physical, emotional, psychological and financial harm. *Belonging:* Need to belong and be accepted by a social group. Can sometimes supersede safety. *Esteem:* The need to feel respected, recognized and important. *Self-actualization:* The desire to accomplish everything that one can, to become the most that one can be.
Herzberg, Mauser and	Two-Factor Theory	*Motivator/Satisfiers*: Achievement, recognition, work, responsibility, advancement and pay.

Snyderman (1959; Herzberg, 1966)[77,78]		*Hygiene factors/dissatisfiers:* company policies, supervision, interpersonal relationships, working conditions, pay.
Hackman and Oldham (1980)[79]	Job Characteristics Model -Critical Psychological States-	*Meaningfulness:* The degree to which work is meaningful and intrinsically motivated. *Responsibility for Outcomes*: Personal contribution towards the results/outcome. *Knowledge of Results:* The degree to which the worker knows how well they are performing towards the goal/outcome
Lawrence and Nohria (2002)[80]	Four Drive Model	*Drive 1*: Need to acquire objects, and experiences that improve our status relative to others. *Drive 2*: Need to bond with others in a mutually beneficial long-term relationship. *Drive 3*: Need to learn about and make sense of ourselves and the world around us. *Drive 4*: Need to defend ourselves, our loved ones, our beliefs and our resources.
Pink (2011)[81]	Three Driving Motivators Theory	*Autonomy*: recognizes that people want to have control over their work. *Mastery:* Recognizes that people want to get better at what they do to gain personal satisfaction on a job well done. *Purpose:* Recognizes that people want to be a part of something bigger than themselves.

While each model differs, there is a consistent understanding which recognizes people as complex entities that largely need their intrinsic motivations met in order to perform optimally at work. Regardless of pay, should these intrinsic motivations not be met, organizations can expect to see negative behaviors such as high turnover and chronic absenteeism, which mirror behaviors found in traumatized systems like child welfare and contribute to poor performance overall [20].

The ideal organization understands the balance between organizational outcomes and workforce needs and can nurture and retain loyal employees. Loyal human capital is a highly desirable trait in child welfare and beyond, especially in today's globalized market and information-intense economy [73]. As our society continues to grow more and more competitive,

and information is more and more accessible, the need to adapt swiftly and efficiently is a survival mechanism. Loyal employees more easily adapt with the organization because they have already demonstrated commitment to the organization, buy-in to the culture and climate, and have absorbed organizational investments such as training, pay, benefits etc. [82].

Investing in people is the hallmark of good human resource management. When employers fail to invest in its human capital, they fail to develop a competent, committed and talented workforce that is prepared to perform. Consistent with core human resource assumptions, high-performing companies demonstrate their ability to understand and respond to the needs of their employees, and thus attract better people who are motivated to do a better job [73]. As public-private partnerships in child welfare continue to emerge, it will be pertinent for private organizations to promote meaningful attributes (e.g. pay, benefits, training/development, flexibility, empowerment, diversity etc.), for their employees [73]. This is especially true given the complexity of each case, and the emotionally, physically and psychologically demanding performance required in meeting the demands of safety, permanency and well-being for every child in the system [20,16].

Political- Child welfare is a highly politicized sector. This is expected given its grave responsibility of keeping children safe, and its public funding structure. More specifically, Philadelphia's child welfare system's transformation was spurred by a very public death of a young girl which caused immense political pressure to redesign a system that carried increased oversight and accountability in an effort to prevent/thwart future tragedies [83]. Bolman and Deal place an emphasis on the political frame because it is important to understand that organizations carry responsibilities to internal and external stakeholders, especially those receiving public funds as

they are held accountable by elected officials [73]. Additionally, Bolman and Deal offer the following assumptions for their political frame:

1. "Organizations are coalitions of different individuals and interest groups."
2. "Coalition members have enduring differences in values, beliefs, information, interest, and perceptions of reality."
3. "Most important decisions involve allocating scarce resources- deciding who gets what.
4. Scarce resources and enduring differences put conflict at the center of day-to-day dynamics and make power the most important asset."
5. "Goals and decisions emerge from bargaining and negotiation among competing stakeholders jockeying for their own interest" [73].

These assumptions help explain why organizations must consider the political frame. Diversity in perspectives and allocation of scarce resources creates and environment where power and conflict are inevitable [84]. Because politics are inevitable, the political frame spotlights the necessity of strategy and tactics in order to negotiate power and performance [73]. In other words, good strategy and tactics will yield good performance which garners additional power. Public and nonprofit (private) leaders are required to be political leaders because they are involved in politicized decision making- especially in highly scrutinized sectors like child welfare. Bryson offers that the key to success and the heart of political leadership is understanding how power dynamics shape organizational outcomes [30].

Power dynamics are present in every organization. In fact, organizational power politics permeates all aspects of interpersonal communication and is an essential characteristic of all organizational action [85]. To this point, it is important to understand how to use power in a way that promotes organizational performance. Distribution of power within a system can be thought of as overbounded or underbounded. An "overbounded system occurs when power is highly concentrated and tightly regulated"; whereas an "underbounded system is loosely controlled and

power is diffused" [86,87]. In a decentralized system, power is diffused throughout the public entity and its leadership, including elected officials as well as the private organization, its leadership including but not limited to the Board of Directors. One can argue that a decentralized system represents an underbounded system and thus suffers from increased conflict and power games [86]. When an organization or system endures increased conflict and power games, the result is often paralysis due to fear as discussed by Dr. Sandra Bloom, which in turn stifles innovation and learning and leads to poor outcomes [20]. Understanding how to harness power to motivate, direct, plan and coordinate organizational activities will greatly assist in achieving desired goals.

Conflict is a power relationship and is a result of asymmetries of power, values, or status [85]. Conflict in a system or organization often shows up as competition and can serve as a catalyst to performance or a hindrance, depending on the market in which it is introduced. Competition in public service can be best analyzed using educational markets. The movement to make public schools compete for scarce funds was originally introduced with the hopes of improving performance [88,73]. However, scholars have found that introducing competition in the educational markets has not necessarily produced desired goals [88]. In fact, introducing market competition as seen in for-profit private sectors does not translate well into public services because of the extremely delicate nature of the services rendered [88,73]. In a competition, generally someone "wins" and someone "loses" and the concept of "losing" when talking about essential services such as education and/or child welfare is not an acceptable option. The introduction of competition in the social sector also introduces a dynamic whereby partnerships are threatened and silos are built in an effort to compete against one another, as opposed to collaborating and leveraging resources to achieve optimal outcomes for all [20].

The political frame requires leaders to understand the balance of power and conflict in relation to performance. Understanding how to achieve this balance and how to engage and use power to decrease internal and external conflict will be essential to driving better performance in child welfare regardless of a centralized or decentralized system.

Symbolic (Culture) – There are varying definitions for organizational culture all of which recognize a shared value and belief system. Some scholars subscribe to the definition put forth by Schein (1985) [89], which states that organizational culture is "the basic assumptions and beliefs that are shared by organizational members." Other definitions are aligned with O'Reilly and Chatman's definition that organizational culture is "a system of shared values defining what is important, and norms, defining appropriate attitudes and behaviors" [90]. Regardless of the specific definition, the common thread and understanding is that culture most definitely impacts performance [20,31,73]. There is a lack of consistency as to the thoughts on how culture impacts performance because culture has so many elements and performance is subjective to the organization. However, O'Reilly and Caldwell et al (2015), found that "cultures that are more adaptable and detail oriented are positively linked to revenue growth and outcome results" [91]. According to Bolman and Deal, the symbolic frame in their model carries the following assumptions:

1. "What is most important is not what happens but what it means."
2. "Activity and meaning are loosely coupled; events and actions have multiple interpretations as people experience situations differently."
3. "Facing uncertainty and ambiguity, people create symbols to resolve confusion, find direction, and anchor hope and faith."
4. "Events and processes are often more important for what is expressed than for what is produced. Their emblematic form weaves a tapestry of secular myths, heroes, and heroines, rituals, ceremonies, and stories to help people find purpose and passion."

5. "Culture forms the superglue that bonds an organization, unites people, and helps an enterprise to accomplish desired ends" [73].

These assumptions support the understanding that culture is both a product (i.e. organizational wisdom and shared experiences), and a process (i.e. teaching others about the belief and values of the organization) [73]. Culture is complex and can enhance or harm an organization's overall performance. One such harmful element that has been shown to weaken an organization's culture and subsequent performance is staff turnover [92]. With the service disruptions that usually accompany staff turnover, so does the loss of important cultural elements such as storytelling and organizational rituals, while potentially decreasing overall moral. Conversely, staff turnover when related to or as a result of subpar performance is an example of a performance management system working and can send a strong message that performance is important and substandard work will not be tolerated [93].

Organizations often have many subcultures that may or may not be aligned with the overall culture and when this happens, internal clashes amongst teams occur [73,92]. There must be a delicate balance of competition and cooperation baked into organizational norms. Norms are the unwritten attitudes and behaviors that employees follow and is the cultural element most likely to directly influence behavior and performance [94]. Like many elements of culture, norms can be positive or negative, either facilitating a strong culture with good performance or weak culture with poor performance. Analyzing organizational norms will help leaders understand what behaviors are contributing to successful and unsuccessful outcomes. Although organizational culture remains a topic of great interest to practitioners, research is still needed to better understand the relationships between culture, leadership and performance [92].

Leadership Characteristics- "Shifting performance efforts from categorical "silos" to "systems" and from performance measurement to management takes leadership style that requires a firm commitment to both results and steady progress, especially in turbulent times" [95]. There is a body of literature that explores the impact of transformational and transactional leadership styles on organizational performance. Research generally agrees that transformational leaders have more lasting impact on long-term performance [96]. Regardless of the vast body of literature discussing the various leadership styles, most agree that leadership strongly impacts organizational performance [31, 59, 73, 89].

Peter M. Sengre, a well-known scholar who offers a unique framework for which to think about leadership in four distinct disciplines (Shared Vision, Mental Models, Personal Mastery and Team Learning), with the fifth discipline (Systems) serving as lynchpin that pulls all of the other disciplines together through inter-related actions [31]. More specifically, Senge introduces "personal" disciplines that ask more introspective questions such as "How we think", "What we truly want", and "How we interact and learn with one another" [31]. Senge's constructs- mental models and vision- were selected to help frame this discussion because of their relevance to understanding and influencing complex systems and the manner in which they support the organizational components set forth by Bolman and Deal's framework. While there is critique that Senge's work focuses too heavily on learning and not enough on change management [97], it remains relevant when discussing accountability of leadership in the workplace. It also continues to offer a framework for scholars to conceptualize the inter-related actions of each discipline.

Systems Thinking- Systems thinking challenges leaders to think about how all of the parts discussed below relate and impact each other. A system thinking approach is important, particularly in a complex system like child welfare because it compels one to move from merely

observing events and data to recognizing patterns of behavior and exploring those underlying structures that drive those behaviors [98]. Some scholars, including Senge, argue that until you understand the root cause of the targeted behavior, you can never truly shift it. That said, in systems thinking it is critical to recognize that any shifting will impact other structures within the organization, and being able to predetermine as many corresponding impacts will help leaders avoid unwanted consequences; thus making a more well-informed and strategic decision-making process. Absent of this lens, often decisions are made in vacuums, and not necessarily based in reality which carries additional risk for the organization in producing poor outcomes.

The root of systems thinking is learning. A system thinking approach requires an open mind, curiosity, flexibility, compassion, choice and courage- many of the same characteristics found within a learning organization [31, 98]. A learning organization is defined in basic terms as an organization that is continually expanding its capacity to create its future not only relying on adaptive (survival) learning but also generative (innovation) learning [31]. Unfortunately, for systems that are extremely complicated and complex and have longevity in poor performance, there is a need to unlearn poor behaviors in order to relearn positive ones, this is a process known as knowledge management [99]. In these circumstances, Pratt and Barnett (1997) argue that the process of relearning requires an organizational mental model shift in order to successfully adopt new practices, build new norms and sustain new behaviors [100]. While this is an important recognition, exploring the fundamentals of mental models and how to successfully shift them in order to reap the benefits of knowledge management and subsequent improved performance is critical to all systems transformation.

Mental Models- _"_Mental models are deeply ingrained assumptions, generalizations, or even stories, pictures or images that influence how we understand the world and how we take

action" [31]. Mental models are important in systems design because they offer a glimpse into how leaders interpret their surroundings and consequently, are how organizational behaviors ensue. Essentially, mental models serve as filters for how leaders choose to act or react to a situation, event or circumstance. A shared mental model, while difficult to achieve, means that there is collectiveness on how to interpret information and surroundings. This lens symbolizes a cohesion amongst team members, a foundation of how to look at opportunities and/or challenges [31].

There is limited research on how to shift mental models, particularly among leaders, in part because mental models are moving targets and are impacted by personal experiences. However, Johnson (2008) found that experiential hardships were among the chief facilitators for shifting mental models among organizational leaders [101]. This finding supports Senge's work in that experiencing hardship created space for leaders to practice reflection and during the reflection process, leaders were better able to obtain adaptive learning and generative learning [31,101]. Moreover, Johnson along with other researchers take learning and mental models one step further by introducing transformative learning, or a process by which leaders actively change the meaning structure or the mental model itself, rather than adding resources/knowledge to the model currently in use [101]. The outcome of transformative learning is a new and different way of looking at the environment.

Regardless of what kind of learning occurs, it is clear that information alone is not enough to shift a mental model. There has to be an environment that is open to learning and inquisition, leaders that are held accountable to challenging their own assumptions, and interpersonal skills that include reflection. Senge purports that "contemporary research shows that most of our mental models are systematically flawed. They miss critical feedback relationships, misjudge delays in information exchange, and often focus on variables that are visible or salient, not necessarily high

leverage" [31]. When mental models are linked to systems thinking, leaders are more likely to "step on the balcony" to see issues that may otherwise go unnoticed while embracing practices to fix those issues that would otherwise go unfixed and continue to bring down organizational performance [102].

Mental Models and Mastery-One such approach to help support a leader's systems thinking mental model or ability to look at all parts as one with clarity is personal mastery, or holding oneself accountable to continual [20,31]. Whether it is organizational learning or personal learning, creating a learning environment means leading by example and exhibiting a commitment and appreciation to learning at the highest and lowest levels of the organization. Personal mastery goes beyond competence and skill, it mean truly adopting and practicing a philosophy that embraces the desire to continually clarify what is important to us, and continually striving to see current reality even more clearly [31]. Personal mastery encourages others to learn, which is important because it is not something that can be forced upon another person, it is a free will agent that must be incorporated into one's own vision for self and personal development [31,103]. According to Senge, "personal mastery allows us to pursue personal vision (the goal we all wish to achieve), to manage creative tension (the distance between future vision and current reality) and to reduce structural conflict (the conflicting forces that prevent us from achieving personal vision, forces arising from our inability or unworthiness to attain this vision)" [31].

It is important that we discuss the importance of personal mastery as it relates to the individual; it is equally as important to discuss how organizations help support opportunities for personal mastery. Placing an emphasis on learning opportunities and/or trainings is only half of the equation, as research has shown that mastery is truly obtained through practice [103]. In other words, organizations, namely human resources and training departments, need to carry the vision

of learning beyond trainings, and workshops but throughout the practices, policies and services offered. This is much more difficult for small and medium sized organizations because financial capital is limited and as a result, the resources needed to fully understand the learning needs are often not available, and the resources needed to build full-fledged learning systems are either handicapped or nonexistence [103]. In these circumstance, scholars suggest that the CEO be open and fully committed to learning because in smaller organizations his/her actions are more visible by all [103]. Another strategy put forth for smaller organizations is to ensure that managers who are predisposed to learning are put in decision-making positions [104].

Research highlights other strategies that can be adopted by organizations to promote personal mastery but regardless of the preferred organizational strategy, personal mastery within any organization starts with its leaders and the vision set forth by that leader(s) [73,92,103].

Vision/Shared Vision- Bodies of literature underscore the importance of vision on organizational performance; however the definition of a vision is sometimes incongruent and often confusing for most. An organization's vision is often conflated with its mission and values and thus tends to cause confusion as opposed to its intent which is to provide a concrete image of the organization's philosophy in achieving a lofty future goal [105]. According to Collins and Porras (2008), a vision has two distinct components: 1) a guiding philosophy that unifies the approach of the organization, and 2) a tangible image that is achieved when the philosophy is followed [105]. The knowledge base on organizational vision supports the need to and the strength in having a shared vision [31,73,105].

Senge highlights that "a shared vision is vital for a learning organization because it provides the necessary focus and helps channel the energy needed for ongoing learning" [31]. The shared vision discipline discusses the difference between of an extrinsic, or the focus of achieving

something that is relevant to an outsider, versus an intrinsic vision or a vision that uplifts people and aspirations. He warns against having a vision that is solely extrinsic as "defeating an adversary" can weaken an organization long-term [31]. This can be seen when competition is created among organizations that are focused on the same goal, especially in the public service sector. Instead of focusing on collectively improving outcomes, the distraction becomes competing against one another. This lesson has been learned within the educational system when highly visible public competition was created, the vision for creating equal opportunities for all to succeed was diluted when competition amongst each other was introduced and prioritized [88].

Visions spread throughout the organization because of reinforcing processes, messages, clarity, enthusiasm, communication and commitment [31]. This sentiment supports the notion that communicating the vision is carried out by all and not just by leadership even though it is critical for the leader to understand and own the vision [106]. Visions grow stagnate or dies out when people feel disconnected from it, and thus lack the desire and energy to work towards it. If the vision is not supported by the mission, purpose and core values of the organization, employees grow weary of trying to figure it out and disconnect [105]. Energy within an organization is fundamentally associated with either fear or aspiration. A negative vision, which is more common in public leadership (i.e. anti-smoking, anti-drugs etc.), supports fear and yields short-term performance improvements; while aspiration drives positive visions, and yields long-term sustainable performance improvements [20,31].

Ultimately, the vision of an organization is its unifier. When systems thinking is introduced, leaders can better understand the current reality versus the proposed reality that the vision offers. Understanding this gap helps to create a focused roadmap for effective strategies that promote learning and growth for both the employee and the organization.

Vision and Team- An important vision to for operationalizing complex systems is the vision of team, because the abundance and the complexity of work within these systems requires individuals working as a unit. Team learning refers to "the collective acquisition, combination, creation, and sharing of knowledge by teams" [107]. Senge states that the team learning discipline begins with dialogue [31]. This is congruent with the team learning literature in that team learning is achieved when the individuals of a team are genuinely invested in discovering insights together and are engaged in the process of knowledge management to ensure group learning [31,108]. Working in a harmonious and synchronized manner is what propels team learning. Alignment in mental models and vision amongst team members is absolutely essential [31]. Alignment must occur before empowerment and learning can occur as misalignment leads to team stress and chaos, causing frustration and lower tolerance for learning [31,109].

Team stress is rooted in the role stress literature, which has been defined as "the strain resulting from ambiguity, conflict, or overload in multiple task requirements or roles of employees" [110]. Traditionally, role stress was applied to the individual, but more recently, scholars have been expanding that definition to teams, and have suggested that shared task demands and conditions gives rise to shared stress [111,112]. This shared stress has been shown to negatively impact team performance by shifting team dynamics and interpersonal relationships, while also shifting team processes and practices [113]. Again, this supports Senge's framework of systems thinking because every action within a system causes a reaction. In systems that are overburdened and stressed like child welfare, it is easy to make the link that team stress contributes to poor outcomes. In fact, this kind of stress, as Dr. Bloom identifies in her Sanctuary model often causes paralysis, fear and poor decision making in large part because of a phenomenon known as groupthink [20].

Decision-making is an important and critical part of team-based activities. Groupthink is a concept introduced by Irving Janis (1972) to "describe extreme consensus seeking tendencies in decision-making groups" [114]. Groupthink spoils decision-making outcomes by silencing divergent thinking. In essence, groupthink sways individuals to think in a linear pattern following one-stream of thought which stifles creativity and thwarts the opportunity to entertain diverse solutions [115]. In high-paced environments that are operate in crisis management with time pressures, good decision-making processes are critical. Groupthink is dangerous in these environments. There is no one-size-fits-all strategy to mitigate groupthink but leadership style can play an important role. For instance, a dominant leader motivated by power is more likely to witness groupthink because proposing an alternative solution is not welcomed, and/or not comfortable to the employee. Conversely, an open and flexible leader that values diverse perspectives will consciously control groupthink because the environment welcomes alternative solutions and learning [115].

Teams are microcosms of the organization and thus, how the team learns is reflective of how the organization learns. Systems-thinking requires leaders to understand the underlying mechanics or systems, policies, practices of the whole system whereby team learning requires the same thing in order for the team to perform at its optimal level.

In conclusion, systems thinking and organizational management both wrestle with extreme complexity and both require leaders to dig deep and understand the gap between "where we are" and "where we want to be". Leaders have to bring forth vision in order to marry the four organizational elements discussed above (structural, HR, symbolic and political). Organizations benefit from improved performance when leaders shift their mental models to value learning and share that vision of learning throughout all aspects of organizational management. Learning occurs

through effective communication, coordination, solution-building and decision-making practices such as those found when a successful performance management system is put in place [31].

The next section of the narrative will present the conceptual model that unites all of the constructs from the three sections above: (1) Performance Management Systems (PMS), (2) Organizational Components, and (3) Leadership Characteristics.

Conceptual Framework- The last component of this section is the conceptual framework (Figure 7). The conceptual model first outlines Key External Drivers that caused Philadelphia's Child Welfare system to embark upon a systems transformation with the full decentralization of case management services to ten private organizations referred to as Community Umbrella Agencies (CUAs). The next section of the model begins to discuss the desire of the local government to make system improvements using a performance management lens. The use of a Scorecard for service providers (CUAs) was introduced as the main catalyst to improving performance. The model attempts to demonstrate that the government partners are the primary designers and monitoring agent of the PMS, while it is a shared system amongst all service providers which is why the concentric circles are housed within the larger box.

The concentric circles should be read from the middle outward. System transformation is at the heart of the Philadelphia CUA model, and thus, systems-thinking among its leaders is core to driving improved performance. More specifically, the model proposes that leaders within the CUA system that present with mental models and a shared vision that supports and understands the interrelated parts of the system will drive their organization's ability to improve and sustain performance.

The PMS circle uses a dotted line because it permeates from the government partners to the organizations themselves. Lastly, it is through improved performance of the CUAs that the

system will achieve improved service quality and better Philadelphia child welfare services outcomes; ultimately meeting the challenge of achieving the national child welfare goals located in the box directly underneath the circles.

Figure 7. Study Concept Model

- Reduced recurrence of child abuse and/or neglect
- Reduced the incidence of child abuse and/or neglect
- Increased permanency for children in foster care
- Reduced time in foster care to adoption
- Increased stability
- Reduced placements of young children in group homes or institutions
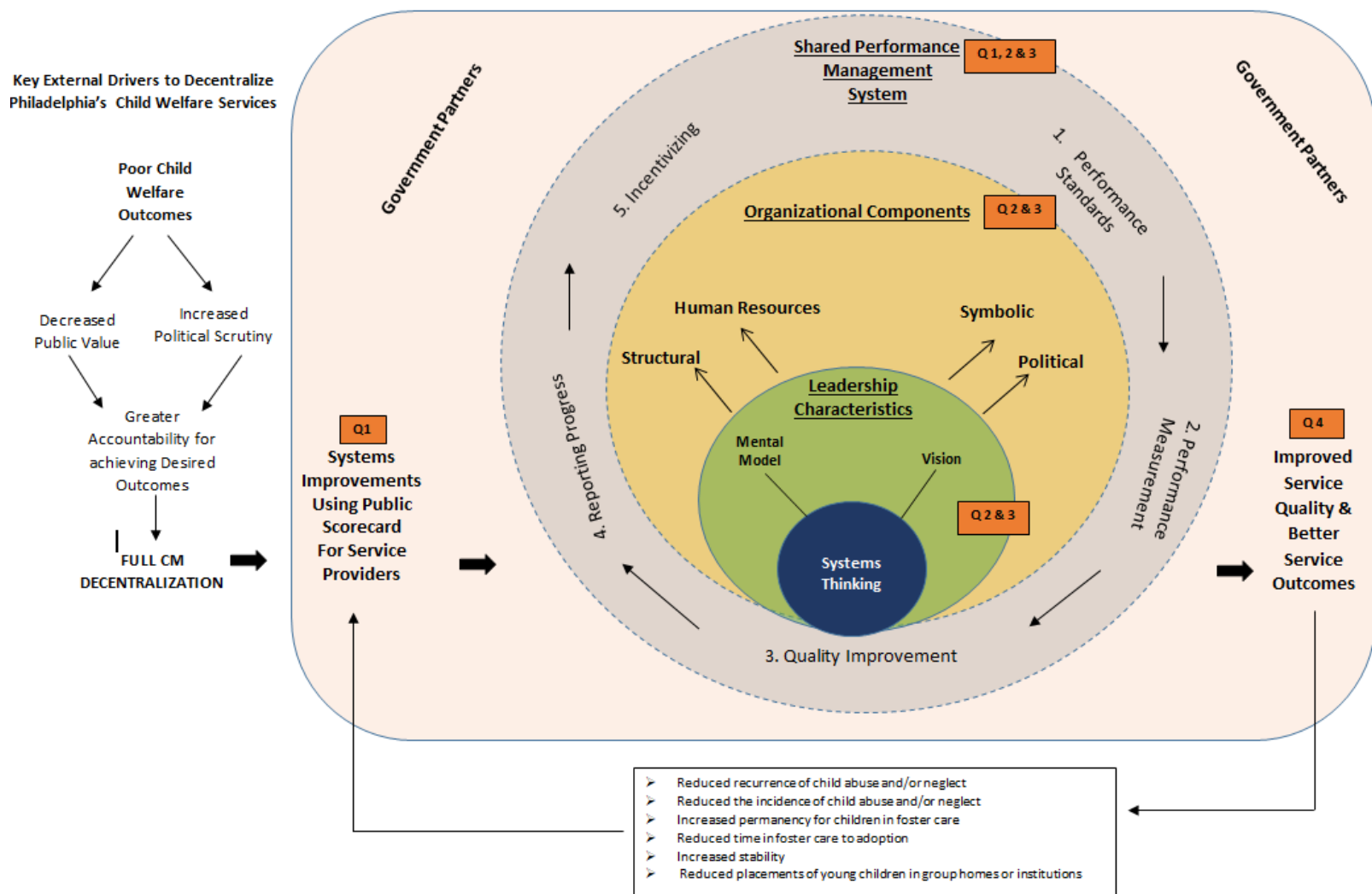
III.   STUDY DESIGN, DATA & METHODS

This chapter describes the methods used to support this research. More specifically, it details specific qualitative methodologies used to explore study aims and research questions. This study aims to increase awareness and understanding of factors influencing performance in Philadelphia's CUA system while also developing recommendations to improve the identified factors for future performance. To this end, the study answers the following research questions:

1. *What are the characteristics of the current performance management system (PMS) for Philadelphia's child welfare CUA case management services?*

2. *What organizational factors influence performance among CUA case management service providers?*

3. *How are leadership factors influencing performance among CUA case management service providers?*

4. *What are the opportunities to enhance the current performance management system for CUA case management service providers?*
    a. What supports are needed for CUA leadership and CUA organizations to demonstrate performance within the current PMS?

5. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*

a.   Analytical Approach

To explore the research questions above, this exploratory study used a developmental evaluation single-case study design. This study approach and its design were selected for two main reasons:

(1)   To delve deeper into Philadelphia's recent and rapid systems transformation with the inception of the unique CUA structure and the heightened desire to continuously learn how to improve case management performance at an organizational level.

(2) To actively learn "what" organizational and leadership factors influence performance as it relates to managing the complexities of a semi-autonomous relationship using a "learn-by-doing" process as discussed by Patton [118].

Study Setting- In 2015, Philadelphia unfortunately had the highest rate of child removal of any large city in the country and as such, its child welfare system continues to endure tremendous political and public scrutiny surrounding its performance [116]. Improved performance remains paramount. To this end, Philadelphia was selected as the case for this study because while it is one of few regions to decentralize its case management services entirely to community-based organizations in an effort to improve performance, it is the only one to design a performance management approach that uses a public scorecard to measure and rank the performance of each CUA annually. The logic for the selected design is consistent with Yin in that case studies are particularly useful when the research seeks to explore some present circumstance (i.e. CUA model), and the more that the research questions require an "in-depth" description of some social phenomenon (i.e. performance management in public-private partnership) [117]. Gleaning important lessons learned from a deeper dive into how Philadelphia's CUA model is implementing its performance management approaches could help other case management providers build effective performance management systems that serve to inform and improve overall service quality for the children, youth and families they serve.

Study Selection: According to Patton, "developmental evaluation supports innovation development to guide adaptation to emergent and dynamic realities in complex environments" [118]. In this case, the CUA structure serves as the innovation while performance management serves as the emergent and dynamic reality, and child welfare is the complex environment. Further evidence that developmental evaluation is an appropriate approach for this research can be found

in the understanding that this approach is informed by systems thinking, which is at the core of Philadelphia's system transformation (i.e. redesigning the case management system to full decentralize to CUAs), and that "the evaluator is often part of the team whose members collaborate to design new approaches" [118]. In this case study, the researcher is also an executive leader at one of the CUAs. Lastly, Patton states that developmental evaluation is best suited for entities and situations where there is a continuous state of development, and adaptation [118]. Since the inception of CUA, it has been a constant state of evolution with ever-changing systems, policies, and practices. This can be seen in the changes put forth by DHS regularly, but also the practice changes that continue to occur at the provider level. To date, a comprehensive evaluation documenting the department's performance management system and how the CUAs' organizational and leadership factors contribute to that system has not been performed.

About the Researcher- Another supporting factor for the developmental research design is that the researcher also oversees a CUA and has a vested interest in learning with her colleagues in real-time. An advantage to her being within the CUA structure is that she was able to engage leadership at both the CUAs and DHS to ensure that the most appropriate approach and design was selected to achieve study aims. The researcher had a series of meetings with the Deputy Commissioner of Performance Management and Technology at Philadelphia's Department of Human Services, the local governmental agency responsible for oversight of all child welfare services in the city. The meetings worked to: 1) refine study aims and research questions to ensure relevancy and interest, 2) better understand appropriate engagement boundaries for DHS and CUA staff and 3) discuss the availability of data given the sensitivity and nature of the work itself. The Deputy Commissioner was given permission by the Commissioner to work with the researcher because of the aligned interest in learning how to continuously improve performance across the

CUAs yielding better outcomes for Philadelphia's children and youth. The department expressed specific interest in better understanding leadership factors associated with performance.

Participatory Evaluation Committee- To build on the collaborative nature of developmental evaluation as well as the existing relationships and meetings among the executive CUA leadership team, the researcher chose to institute a Participatory Evaluation Committee (PEC) structure. The executive leadership of each CUA already meets monthly to discuss strategy and any pertinent/pressing issues. The reason for using this existing group as the PEC was to ensure leadership voices are captured and to promote efficiency as executive leaders tend to have limited time. Grounded in Participatory Action Research (PAR), a research approach that requires ongoing engagement of those most likely to be beneficiaries of research outcomes [119], the use of the PEC will not solely be for problem solving but also for guidance of the evaluation process, data collection strategies, and translation of findings into real-world solutions and recommendations.

In the summer of 2018, the researcher presented an overview of preliminary research aims, research questions, the theory of change and evaluation framework to eight of the eleven PEC members. A copy of the these four items were sent to the non-present members with a request for feedback and the researcher's availability should questions or clarification be needed. Feedback from the PEC included an appreciation for being included in "such an important topic", recognition that there is room for improvement on the Scorecard and beyond, and a strong desire to ensure that the recommendations put forth to DHS are collectively developed and achievable. Interestingly, the group found comfort in knowing that the research is supported and was vetted first in partnership with DHS and that recommendations would come as a result of a scientific research process which would provide a level of anonymity to the group.

The PEC did not have access to primary data but was integral to the research process and findings. Moreover, as a result of participating on the PEC and congruent with PAR, participants are more likely to successfully implement any recommendations post study because of their proximity to the research and recommendations themselves [119]. Members of the PEC, their role/title and which CUA region they represent is delineated in the table below.

Table II. Participatory Evaluation Committee Members

Name	Role	Agency	CUA Region(s)
Dawn Holden	President & CEO	Turning Points for Children	3,5,9,10
David Fair	Deputy CEO	Turning Points for Children	3,5
Cydney Dasent	Director of CUA Operations	Turning Points for Children	9,10
Regan Kelly	President & CEO	Northeast Treatment Centers	1,7
Christopher Waiters	Executive Director	Northeast Treatment Centers	1,7
James Black	Director, Youth Services Division	Catholic Community Services	4
Teresa Thompson	Director	Catholic Community Services	4
Nilda Ruiz	President & CEO	Asociacion Puertorriquenos Marcha	2
Noelies Zavala	CUA Director	Asociacion Puertorriquenos Marcha	2
Karen Hamilton	President & CEO	Bethanna	8
Benita Williams	VP, CUA Programs & Child Welfare Services	Bethanna	8
Tinesha Banks (Researcher)	President & CEO	Tabor Community Partners	6
Karen Coleman	CUA Director	Tabor Community Partners	6

The researcher maintained communications with the PEC via email and/or in-person at bi-monthly updates at regularly scheduled meetings. She requested to have a standing agenda item for the duration of the study period. Using an iterative process, the PEC was consulted before and after each phase of the study. The purpose of this was to ensure that the researcher was maintaining transparency, but more importantly, to employ a qualitative research technique known as member-checking to capture guidance and insight from the PEC on data collection strategies and data
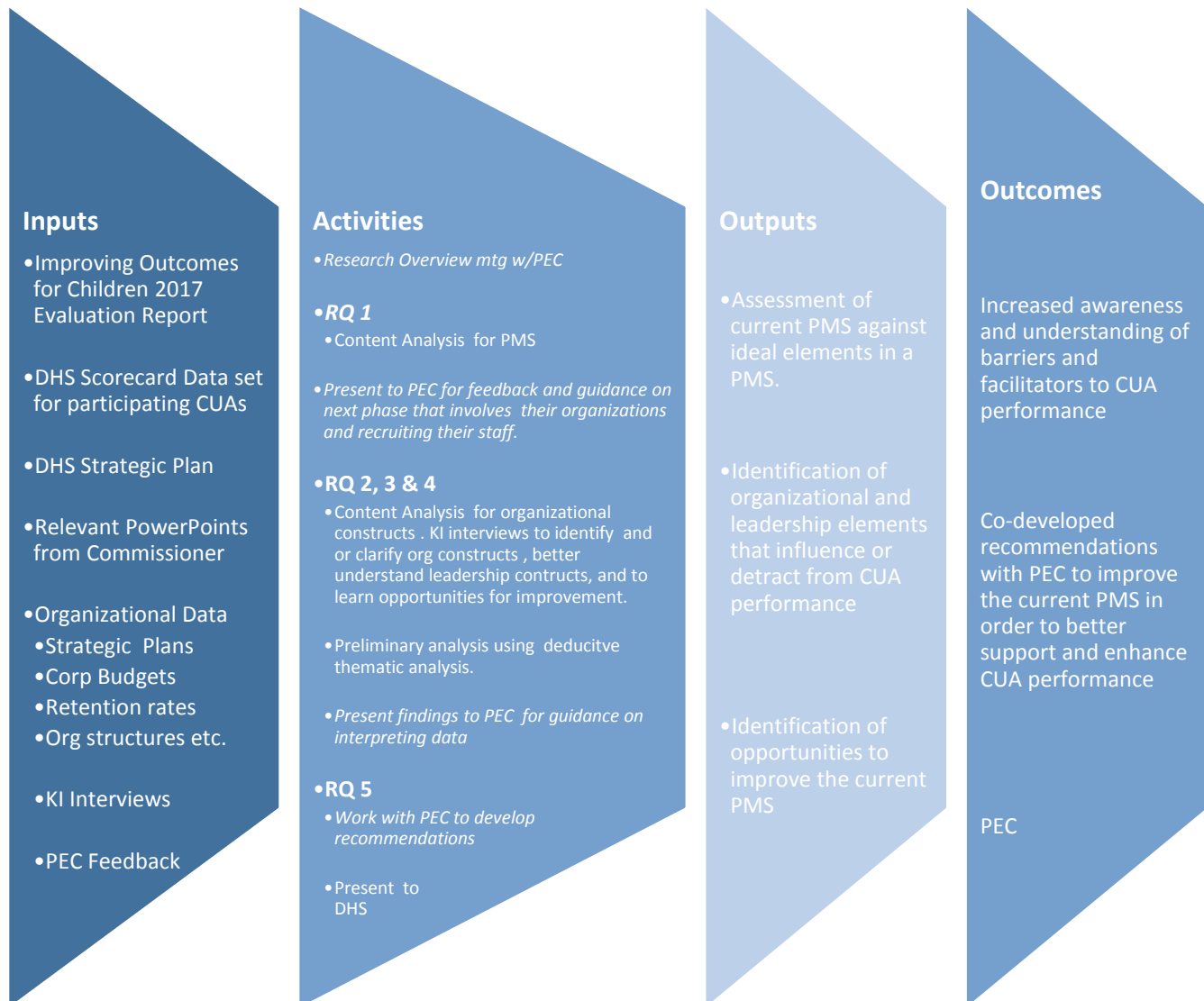
analysis/interpretation.[120] Upon full completion of content analysis data collection and preliminary analysis, a formal conversation was facilitated by the researcher to solicit feedback from the PEC. Feedback was also solicited from PEC on draft recommendations via email in which the integrated data table (Table VIII) was provided. Recommendations and study findings will also be presented to DHS if invited to do so in the future.

b. Data Collections Approach

*Overview-*This study utilized two qualitative inquiry techniques to collect study data: 1) content analysis and 2) key informant (KI) interviews. A content analysis technique was selected because of its value in organizational research. "It allows researchers to recover and examine the complex nuances of organizational behaviors, stakeholder perceptions, and societal trends" [121]. Key Informant interviews are in-depth interviews with people who have expansive knowledge, insight and information on the issue being researched [122]. KI interviews were selected as a data collection method for this study because of the complexity of the topics and the need to glean perspectives of those actually conducting the work. It was also the preferred technique to avoid groupthink which is cited in the literature as a common practice in high stress, fear-based environments such as child welfare. Interviews were primarily telephonic, and one was in-person. All interviews were recorded and were guided by a Semi-Structured Interview Guide. The researcher obtained exempt status approval from UIC prior to conducting interviews and all interviewees reviewed, signed and returned their Informed Consent prior to the commencement of the interview.

The overall data collection flow for this study is represented in the study's logic model in Figure 8 below. The logic model describes the inputs, general activities, outputs from the activities and overall outcomes of the study.

Figure 8. Study Logic Model

Inputs
- Improving Outcomes for Children 2017 Evaluation Report
- DHS Scorecard Data set for participating CUAs
- DHS Strategic Plan
- Relevant PowerPoints from Commissioner
- Organizational Data
  - Strategic Plans
  - Corp Budgets
  - Retention rates
  - Org structures etc.
- KI Interviews
- PEC Feedback

Activities
- *Research Overview mtg w/PEC*
- *RQ 1*
  - Content Analysis for PMS
- *Present to PEC for feedback and guidance on next phase that involves their organizations and recruiting their staff.*
- RQ 2, 3 & 4
  - Content Analysis for organizational constructs . KI interviews to identify and or clarify org constructs , better understand leadership contructs, and to learn opportunities for improvement.
  - Preliminary analysis using deducitve thematic analysis.
  - *Present findings to PEC for guidance on interpreting data*
- RQ 5
  - *Work with PEC to develop recommendations*
  - Present to DHS

Outputs
- Assessment of current PMS against ideal elements in a PMS.
- Identification of organizational and leadership elements that influence or detract from CUA performance
- Identification of opportunities to improve the current PMS

Outcomes

Increased awareness and understanding of barriers and facilitators to CUA performance

Co-developed recommendations with PEC to improve the current PMS in order to better support and enhance CUA performance

PEC

Exploring each research question of the study required different types of documents for content review and/or KI interviews. The Measurement Table (Appendix 1) is organized by research question and includes the constructs outlined in the conceptual model above in Chapter II. Each construct offers a concrete definition as outlined by the literature review as well as the data collection approach aimed at obtaining study data. Comprehensive lists of possible sub-codes are also delineated and were pulled directly from the literature review which assisted the researcher in coding findings during the analysis process. In similar fashion to the Measurement Table, the data collection section is also organized by research question below.

Research Question 1- The researcher worked closely with DHS leadership to identify and ensure access to documents for the content analysis process. All documents were publicly available documents such as the 2017 Improving Outcomes for Children (IOC) Report which is an independent evaluation of the DHS child welfare framework, the DHS Strategic Plan located on the internet and PowerPoints that the Commissioner has created and publicly presented via city council public hearings and public meetings for the Child Welfare Oversight Board- a multidisciplinary board responsible for providing oversight to DHS for licensure purposes. The researcher also had access to the publicly available CUA Scorecards. The Scorecard reflects the ongoing auditing of each CUA every six weeks whereby subsets of cases are randomly selected by DHS staff to audit against over sixty metrics with varying weights. These metrics are rolled up into quarterly reports that are ranked nominally and given to each CUA. Each quarterly score is rolled up into an annual Scorecard that is published publicly. The baseline Scorecard was published in October 2017 with the 1-year post Scorecard published in October the following year. The researcher collected the documents outlined above and within the Measurement Table (Appendix 1). Using the content analysis matrix developed by the researcher, allowed the researcher to categorize information into the larger PMS buckets outlined in the conceptual model. The researcher read each document thoroughly to become more intimate with the document, A second thorough review was conducted to identify and document presence of or lack thereof of each construct. A third and fourth review were conducted using color-coding methodology to collapse data into larger themes. This process was iterative and was conducted until the researcher reached a level of satisfaction that data was appropriately captured and categorized. The purpose of this approach was not necessarily to quantify the data but rather to look for existence of themes that aligned with the PMS elements gathered from the literature review. Lastly, the researcher

presented preliminary findings to the PEC to help vet and interpret data. This layer of review offered the researcher another opportunity to ensure data for RQ1 was thoroughly captured and examined, while preparing members for the next phase of the research.

 Research Questions 2, 3 & 4- The data relevant to RQ 2, 3 & 4 required a deeper dive into the private organizations providing case management services, also known as the CUAs. To assess factors at the organizational level, the researcher utilized a content analysis approach prior to interviews using the same process described earlier. The content analysis primarily focused on assessing the organization's website as well as the CUA Scorecard which included metrics on important organizational elements such as workforce retention and fiscal health.

 KI interviews were the only method used to capture performance factors within the leadership constructs, although perspectives on organizational culture helped provide additional context for the content analysis. The decision to use interviews as the chosen method for leadership factors is supported by the literature review in that these constructs are largely based on perceptions and attitudes of leaders themselves and given the overwhelmingly common fear-based culture in child welfare, focus groups were decided against in an effort to avoid groupthink phenomenon. Additionally, the researcher interviewed senior and executive level staff at CUAs using an Interview guide (Appendix 2). In order to maintain confidentiality and mitigate power dynamics that could compromise the data quality; the researcher conducted one-on-one interviews. The researcher piloted the interview guide with three staff at her CUA, Tabor. As such, Tabor was excluded from the study sample. The PEC was instrumental in identifying and connecting the researcher to appropriate staff within targeted organizations. More specifically, the CEOs made brief email introductions to identified staff. An example of an CEO intro email is below:

Hello, I am writing to introduce and make a connection between us and a colleague of ours Tinesha Banks, CEO of Tabor, Tabor is a family of services including Tabor Children's Services and Tabor Community Partners which is CUA 6.

███████████ is our Director of Fiscal and Accounting Services, Martin Harris our CUA QA Director, Tracee Hunt our HR Professional Services provider and you know Benita of course.

Tinesha is currently in the dissertation phase of her DrPH program and has asked to interview key leaders in regards to CUA, when you connect she will explain her work in detail which focuses on program evaluation and collaborative learning between organizations.

Will you kindly make yourself available to Tinesha for an interview in the next several weeks, I believe she is targeting to complete interviews by the end of November. You will find Tinesha is warm and engaging colleague who is highly invested in sensible approaches to program evaluation and quality.

 The CEO intro email was followed by a more comprehensive email introduction by the researcher (Appendix 3). Lastly, opportunities for performance enhancements was asked as the last question of each interview.

Interviewee Eligibility Criteria- Each CUA has the same structure as mandated by DHS. The researcher requested interviews with individuals responsible for managing others and those that were intimately familiar with the CUA case management work as well as organizational policies, practices and systems. To this end, English speaking, senior and executive level staff were targeted for this study. Executive positions included CEOs and positions directly below the CEOs in each CUA. Other senior level staff were identified and included because of their leadership positions within the CUA and because of their pivotal role in implementing performance management throughout the organization. A key eligibility criteria for this study was that none of the staff interviewed were 100% funded by DHS's CUA contract. This would've warranted

additional layers of oversight by DHS and the City of Philadelphia including a data licensing agreement and IRB review.

Research Question 5- The last research question of the study focused on working with the PEC to co-develop recommendations. The researcher drafted recommendations based on integrated study findings and presented these suggestions to the PEC using the integrated data table complete with references to support recommendations. The PEC provided feedback via email and telephonic conversations to help the researcher ensure feasibility and utility of recommendations.

c. Sampling Approach

There are ten CUA regions operated by six organizations throughout Philadelphia as depicted in Figure 9. Due to the highly sensitive nature of CUA services and the charged political environment plagued by a negative public value, the researcher decided to stratify CUAs based on the objective measure of caseload size. Furthermore, the decision to not stratify by performance was made by the researcher because the PMS that would indicate level of performance and be used to stratify is the same PMS that was under review in this research.

The researcher worked with one large, one medium and one small CUA. CUAs with caseload sizes great than 500 will be designated as large CUAs. CUAs with a caseload size in the 400s were designated as medium, and CUAs with a caseload size in the 300s were considered small. Stratifying in this manner gave the researcher flexibility should a CUA in any group decide to decline participation. CUAs designations are identified below in Table III. Tabor is excluded as the researcher is the CEO of Tabor (CUA 6).

Table III. CUA Stratification by Caseload

CUA	Total Cases*	Designation
05-Turning Points for Children	844	Large
10- Turning Points for Children	537	Large
03- Turning Points for Children	531	Large
02- Asociacion Puertorriquenos Marcha	515	Large
09- Turning Points for Children	464	Medium
07- Northeast Treatment Centers	451	Medium
01- Northeast Treatment Centers	437	Medium
06- Tabor Community Partners (Excluded)	396	Small
04- Catholic Community Services	368	Small
08- Bethanna	348	Small

*Total Cases are based on data from December 31, 2018 published by DHS.

Caseload is an objective measure because it is not defined by performance and is not controlled by the CUA itself. CUAs are designated by police districts. Caseload size is largely based on population density for the geographic region served by each CUA. In other words, the more densely populated urban regions tend to have higher rates of reported child abuse and neglect. The funder (DHS) awards budgets based on number of cases referred to the CUA by their internal hotline investigations department. Figure 9 displays the ten CUA regions.

Figure 9. CUA Regions and Agencies

d. Data Analysis

The researcher utilized multiple qualitative analysis techniques along with data analysis software to analyze study data. More specifically, all interviews were recorded using the recorder and transcription application called Otter. Additionally, reflective memos were written by the researcher in the content analysis matrix during the content/document review and in Microsoft Word immediately following each KI interview. As discussed above, the content analysis process

utilized a matrix methodology as described by Miles and Huberman to capture and categorize data [123]. The content analysis and the use of a matrix table served to demonstrate presence of constructs. The interviews provided in-depth qualitative perspectives on constructs. All transcribed interviews and memos were uploaded to MAXQDA, a well-known qualitative data analysis and research software. MAXQDA assisted the researcher in searching and categorizing themes across the interviews.

Coding & Theming Interviews- Because the researcher is utilizing a deductive thematic analysis approach, "a method used for identifying, analyzing, organizing, describing, and reporting themes found within a data set" [124], an initial codebook using *a priori* codes reflective of the literature review and the study's concept model was utilized (Appendix 4). However, prior to coding, the researcher used a second-coder approach to control for construct validity. The second-coder, a fellow doctoral candidate who was also IRB approved, was provided a transcribed interview to independently code using the codebook. The researcher and the second-coder walked through their independently coded interviews until an 80% agreement on codes was achieved. Modifications to the codebook were made (Appendix 5). To reiterate, the codebook is structured by research question and provides mutually exclusive code categories along with corresponding definitions to promote reliability.

Once all interviews were transcribed, and the second-coder process was completed, all interviews were uploaded into MAXQDA. The researcher organized the codes into two groupings in MAXQDA: 1) expected codes (i.e. fit into *a priori* codes) and 2) emerging codes (i.e. codes that do not fit into *a priori* codes). After grouping the codes, the researcher began to comb through the data in a more detailed line-by-line coding exercise to further collapse codes into thematic

categories, again referencing the modified Codebook and Measurement table. The purpose of this is to look for expected and emerging themes and also overarching and supporting themes [124].

The researcher employed a multiple method study approach to better explore the complexities of the topic being researched. Upon analysis and presentation to the PEC using a PEC Discussion Guide (Appendix 6), cross-cutting themes emerged. The researcher then integrated the findings to provide a clearer picture about what study findings meant in their totality. Additionally, the integration of data provided the researcher with insight and focus to draft study recommendations to be presented to the PEC.

Data Utility- It is important to recognize the role of the PEC in the data analysis process. PEC members were available to provide insight on themes and also on interpretation of any emerging themes that seemed dynamic and/or unclear. The researcher used a memo immediately after the meeting to capture thoughts and reflections. This process was important during the data analysis phase because it enabled the researcher to capture feedback and thus, maximize data utility. For instance, if the PEC had identified a potentially new or intermediary code, the researcher would have conducted another review of the data using that lens. This did not occur.

e. Data Management

All collected data was accessed only by the researcher and second-coder, which both received human subjects training and were approved by the UIC IRB. The researcher only presented de-identified aggregate data to the PEC for discussion to maintain confidentiality of interviewees and organizational data. Furthermore, data was housed on a password protected flash drive that was solely used for this purpose and served as the database for the case study. All informed consents, memos, flash drive and any other documents that were printed were stored in a lock box with a numeric keypad only accessible to the researcher.

The researcher completed the required human subjects training in accordance with outlined guidelines. The researcher prepared a full application package which was submitted to the DHS Research Review Committee outlining study aims, methods, and data management strategies to ensure highly sensitive data is protected. Additionally, an exempt IRB application was submitted and approved by the UIC Office of the Protection of Research Subjects (Appendix 7).

f.   Validity & Reliability

According to Yin, qualitative research should always consider the construct, internal and external validity as well as study reliability in order to produce quality data from which the researcher can draw conclusions [117]. To address *construct validity,* the study utilized multiple data collection methods (content analysis and KI interviews) and worked to build a chain of evidence that could be followed by any study observer [117]. Additionally, the PEC underwent an iterative process whereby the researcher shared preliminary findings with them throughout the study. Moreover, to address threats to validity, the researcher used defined constructs supported by seminal authors who have developed known theories and models. The utilization of the PEC also helped address concerns of *internal validity* and specifically, researcher-induced inferences by assisting in interpretation of findings [117]. Other methods to address internal validity included the use of a second analyst to review coding of interviews. External validity looked to explore those "Why" research questions where findings lend more to generalizability according to Yin [117]. Moreover, Philadelphia offers a unique case with transferable learnings to other decentralized government/private service partnership as well as case management performance improvement.

Lastly, reliability was addressed with the development of a case study database as mentioned above. This database housed all primary and secondary data, findings, memos, operational procedures etc. The purpose of maintaining this level of organization and detail is to be sure that if a later investigator followed the same procedures as outlined in the case study database, they would arrive at the same findings and conclusions [117].

g.   **Anticipated Limitations**

Anticipating limitations helped the researcher prepare for any potential barriers to interviews. The researcher anticipated three study limitations primarily around the interviewing of individuals. These limitations included: scheduling the interviews, completing the interviews given the high probability of crisis or interruptions, and recall bias.

Scheduling Interviews- While the researcher was working closely with the PEC to identify and select interviewees, given the level of leadership of the targeted group, time may be limited; thus, impacting the number of successful KI interviews completed. To control for this, the researcher worked with CEOs to identify individuals and introduce the researcher as early as possible as to negotiate a workable time at which point a link to Calendy, a web-based electronic scheduling tool, was sent so participants could self-schedule. Additionally, the researcher offered face-to-face meetings (preferred) or by telephone.

Interview Completion- The researcher is very familiar with the CUA environment, and thus understands the many demands that the leadership is faced with day to day. Child welfare is largely crisis management driven and those crises tend to involve the decision-making support of the CUA leadership. The researcher was very sensitive to this demand and was as flexible as possible with pausing during interviews and rescheduling, which occurred twice.

Recall Bias- Recall bias was another anticipated limitation related to all interviews. These interviews asked participants to reflect on pre-CUA memories which was prior to 2014. The content analysis helped control for this bias as many public documents are timestamped.

h. Recruitment Outcomes

The researcher used an Excel spreadsheet to track all recruitment efforts. The spreadsheet included name, position, contact information, intro email, 2nd attempt, 3rd attempt, date/time interview scheduled, whether the Informed Consent was received and a "closed" column.

After the initial CEO intro email, the researcher followed up with eligible participants individually using the Introductory email attached (Appendix 3). As part of the interview script, individuals were informed of the study's purpose, their voluntary participation, and the fact they can withdraw at any time, and that while name, professional role, and organization name will be collected, no other identifying information will be shared. For individuals that expressed an interest in participating, an informed consent form (Appendix 8) was sent for their review. It was signed and returned prior to the scheduled interview.

Participants were contacted three times to schedule an interview. After the third attempt, the researcher "closed" the potential participant as to avoid undue pressure or stress to participate. As a result, twelve potential interviewees were contacted. One was deemed "closed", and two others declined, leaving nine participants to be interviewed. A total of nine participants were interviewed representing a 75% response rate: 3 CEOs, and 7 senior leaders. These nine participants represented seven of the ten CUAs or 70% of all CUAs since some agencies oversee multiple CUAs. Interviews lasted approximately one hour long for each participant.

IV.   RESULTS
a. Background

This chapter will provide study results for the content analysis as well as the key informant interviews conducted by the researcher. The study aims to increase awareness and understanding of organizational performance factors influencing Philadelphia's Community Umbrella Agencies (CUA) while also better understanding how to enhance CUA's current performance management system. The researcher executed an exploratory study, using both developmental evaluation case study design and qualitative methodologies. In alignment with developmental evaluation principles, the researcher incorporated a Participatory Evaluation Committee (PEC) to provide contextual insight on study findings. Members of the PEC all currently serve as senior or executive leaders within CUA organizations, many of whom have worked within child welfare for years prior to the newly developed CUA system and were part of early discussions about CUA. To this end, historical perspectives were helpful in better understanding critical dynamics in the semi-autonomous relationship between DHS and CUA leadership.

In 2014, Philadelphia County implemented the Improving Outcomes for Children (IOC) model which took a more intensive community-based approach in hopes of stabilizing families in their community and decreasing the confusion associated with multiple representatives servicing the family. By subcontracting the case management work to private community-based organizations, DHS was able to serve primarily in an oversight role while the CUA served as a single point of contact for all case management services. Currently, there are six agencies and ten CUA districts, meaning multiple agencies hold two or more CUA contracts. All CUAs are responsible for the same performance goals despite the varying structures and cultures inherent within the six organizations.

The researcher worked with DHS leadership and CUA leadership to identify appropriate documents to explore the PMS and organizational elements, and to identify prospective interviewees to explore leadership perspectives. To capture the breadth and depth of the CUA system, a large, mid-size and small CUA were selected to participate in the study. This chapter provides an in-depth description of data collection and analysis efforts, associated outcomes, and a summation of the study findings categorized by the following research questions:

1. *What are the characteristics of the current performance management system (PMS) for Philadelphia's child welfare CUA case management services?*

2. *What organizational factors influence performance among CUA case management service providers?*

3. *How are leadership factors influencing performance among CUA case management service providers?*

4. *What are the opportunities to enhance the current performance management system for CUA case management service providers?*
   a. What supports are needed for CUA leadership and CUA organizations to demonstrate performance within the current PMS?

5. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*

b. **Overview of Data and Analysis Process**

Findings for this study are organized by the five main research questions. A two-step content analysis approach was utilized to answer Research Questions two and three which assess the: 1) performance management system shared by CUAs and DHS and 2) organizational environments that house the CUAs. Key Informant (KI) interviews were used to gain a deeper understanding of participant's perceptions of their personal leadership style and their organization's culture, addressing Research Questions three and four. Table IV below describes the study's data sources and use as well as which research question was answered in each phase.

Table IV. CUA Performance Management and Leadership Perspective Data Sources and Use

Content analysis of major reports, documents, and websites to identify themes around the existing CUA performance management system (PMS) and organizational environments for which performance is expected. ***Responds to Research Questions: 1, 2, 4 & 5***	Five CUA Specific PMS Documents Four Organizational Websites (average of 6 webpages for each site) One Strategic Plan One Annual Report	N=11
Primary qualitative data collection to explore leadership perspectives of individuals leading performance within organizations housing CUAs. ***Responds to Research Questions: 3, 4 & 5***	Key Informant Interviews with executive leaders responsible for performance at organizations that house CUAs.	N=9

c.   Content Analysis Process Description & Data Summary

The content analysis focused on assessing two main elements of performance management:

(1) *PMS-* The first element was the existing performance management system, or the tools, practices and processes used to assess CUA performance. The intent of this analysis was to explore what elements currently existed. To do this, the researcher created a matrix to capture characteristics that the literature review highlighted as essential to ensure performance can be achieved and sustained. Five PMS documents were reviewed to assess the following five constructs: Standard Alignment, Performance Measures, Quality Improvement, Reporting Progress, and Incentivizing. Populating the matrix was the first wave of review to capture characteristics within each document. Several subsequent reviews were conducted using a document highlighting process to categorize data. The researcher used memos to assist in looking for what was there, what was missing based on the literature, similarities across documents, and what emerged as a point of interest. The researcher also thoughtfully considered the document type as not all documents were expected to have all elements; thus, the

researcher indicated "N/A" for appropriate constructs and tried to access other publicly

available content to supplement. In cases where data was divergent or absent, the

researcher consulted with the Participatory Evaluation Committee (PEC). Once data

was collected and categorized, the researcher used an iterative and reflective process to

ensure data was relevant to categories and categories were relevant to constructs.

(2) *Organizational-* The second element of the content analysis primarily focused on

assessing websites to better understand four organizational constructs: structure, human

resources, political value, and symbolic (culture). The same process described above

was used, including the use of a matrix to track preliminary analysis, memos to capture

thoughts on data, a highlighting process to categorize data, and an iterative and

reflective process to ensure data utility and relevancy.

Table V below summarizes key findings from the content analysis. Some constructs had more than

one a priori code associated; as such, these codes are also included in the table.

d. Thematic Analysis Process Description & Data Summary

The thematic analysis portion of this study focused on exploring leadership perspectives of

senior and executive leaders within the selected CUAs. The interviews aimed to understand mental

models as well as perceptions of their organizational cultures and what opportunities exist to

enhance the current performance management system. The researcher conducted nine semi-

structured interviews representing seventy percent of the CUAs. Memos were generated

immediately following each interview to assist the researcher in capturing reflective thoughts. All

interviews were audio-recorded and transcribed by an external party and were comprehensively

cleaned by the researcher.

Table V. Content Analysis Crosswalk Summary of Data Constructs and Key Findings

Research Question	Constructs	Analysis Outcomes (with a priori Codes)	Key Findings
1. What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?	Performance Standards	Five of Five documents outlined mission, vision and/or objectives to guide CUA performance	Document analysis suggests alignment with local child welfare goals and CUA performance standards. There was no mention of national and local goal alignment within any of the documents.
	Performance Measurement	*Engagement-* One of four relevant documents identified engagement of CUA leaders in the selection of metrics Zero documents described how CUAs are being engagement on the continual refinement and or changes to performance metrics.	Document analysis suggests a lack of engagement with CUAs on the selection and prioritization of CUA Scorecard metrics which is the tool that measures CUA performance.
		Communication- Four of four relevant document identified communication of data/metrics to CUA	Document analysis suggests that there was transparency and consistent communication with CUAs about performance metrics on the CUA Scorecard.
		Capacity- Four of four relevant documents identified PMS' capacity to collect data on performance metrics One document highlighted the need to continue to invest in data warehouse infrastructure.	Document analysis suggests that DHS has the data tools, technological infrastructure and staffing capacity to collect and house CUA performance data but evidence suggests that the data warehouse is antiquated and needs updating.
		Process- Five of five documents described a process for regularly collecting data from CUAs.	Document analysis suggests that DHS has a defined schedule to regularly collect and analyze CUA Scorecard data to CUAs.
	Quality Improvement	Three of four relevant documents identified the PMS's attempt to capture learnings of CUAs as well as the intention to provide technical assistance to CUAs.	Document analysis suggests the lack of a formal quality improvement process to capture lessons learned such as the PDSA cycle but there is evidence that technical assistance is being given to CUAs to improve performance based on Scorecard outcomes.
	Reporting Progress	Three of four relevant documents captured the PMS's intention to share lessons learned and promote knowledge transfer. Three documents mention meetings whereby CUAs discuss practice improvements based on Scorecard data.	Document analysis suggests the lack of an accountability measure to ensure knowledge transfer is occurring from one CUA to another in order to collectively move the CUA system forward in performance improvement.
	Incentivizing	Zero of four relevant documents described any sort of incentive structure to support sustained CUA performance	Document analysis suggests the lack of an incentive structure to positively motivate CUAs to improve and sustain performance.

		Two of the four documents mention contract consequences should CUAs not perform well.	The Scorecard ranks CUAs publicly against one another which can serve as an unintentional incentive or disincentive.
2. What organizational factors influence performance among CUA case management service providers?	Structure	*Role Clarity*- All organizational websites posted job descriptions that included three elements that support clearly defined roles. There was variation among the three organizations with regard to specificity of job descriptions.	Content analysis suggests that there is sufficient role clarity in job descriptions to support important employee fit within the CUAs. It is important to ensure as much information about the CUA Case Manager position is posted given the high turnover rate in child welfare and the ripple effect it has.
		Flexibility- Two of the three organizations appeared to have rigid organizational archetypes. One organization lived within an affiliate structure and has access to non-traditional supports.	Content analysis suggests that rigid organizations may not impede performance as much as the rigidity within the CUA program itself.
	Human Resources	*Human Capital-* One of three organizations appeared to have a human resources department to manage its human capital. One organization appeared the have HR capacity as indicated by CUA Scorecard but was not apparent on website. One organization appeared to have deficient HR capacity as the HR function was not evident on the website.	Content analysis suggests that CUA organizations do not consistently publicize their HR function on their website. Highlighting a prioritized HR function can serve to communicate the importance of managing human capital.
		Empowerment- Two of three organizations displayed positive messaging to or about staff.	Not using the website to reflect positive work-place culture and to spread positive messaging to and about CUA staff is a missed opportunity for CUA organizations to demonstrate their value and appreciation for CUA staff.
	Political	*Engagement-* Three of three CUA organizations publicly displayed stakeholder engagement in their work. Engagement specifically with political leaders was spotlighted on all three websites.	CUA organizations understand that stakeholder engagement is important and are using their website to communicate this relationship. Public partnership events were prominently displayed to demonstrate value was also consistent across all websites. Volunteering opportunities were consistently posted for all websites.
		Value- Three of three CUA organizations publicly displayed their images and or stories of public value for their work.	Stories and images were the primary method for displaying public value for CUAs.

	Symbolic	*Learning*- Two of the three CUA websites displayed evidence that learning was important to their organizational culture.	CUA website indicate a value for learning but may be unsure on how to fully implement a learning culture.
		Stability- All three websites boast longevity and fiscal stability.	All three CUA organization have existed for over fifty years and appear to be stable. CUA contracts are main drivers of significant growth for two of the three organizations.

Using the MAXQDA application, the researcher completed a preliminary round of "big bucket" coding while appropriately adjusting the codebook. A second and third coding process was conducted using the updated codebook to identify themes and in vivo statements to support themes. Table III below crosswalks constructs, a priori codes, themes and overall findings.

Table VI. Thematic Analysis Crosswalk Summary of Data Constructs and Key Findings
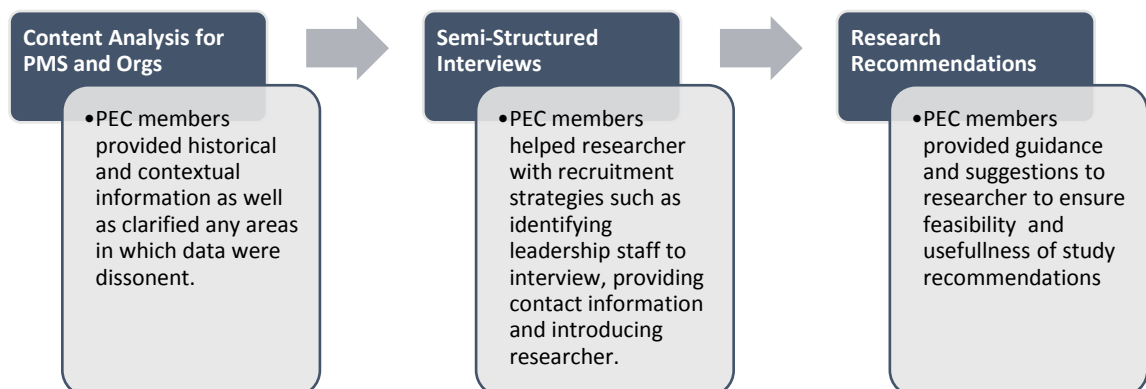
Research Question	Constructs	Themes	Key Findings
3. *How are leadership factors influencing performance among CUA case management service providers?*	Systems Thinking	**A Priori Code -Learning-** • Lack of formal processes to capture new ideas • Engaging and empowering staff helped with the organization's ability to adapt. • Data is very important to innovation and learning **A Priori Code -Connections-** • Administrator and program leaders need to understand each other's function	• Organizations lacked formal processes to allow idea-sharing to flow throughout the organization • Participants felt that empowering staff to share ideas was important in getting buy-in for adopting change. • Participants felt that using data to inform strategy was very important to having a pathway to improved performance. • Participants explained the complexities of CUA and felt that sometimes those pieces do not always work in tandem with each other which makes performance harder • Leaders who build relationships with each other are better able to understand the full scope of CUA • Leaders who were more tenured with the organization had a better understanding of how all components fit together.
	Mental Models	**A Priori Code -Mastery-** • Honesty and transparency were valued leadership traits that facilitate constructive criticism • Accountability is mutual • Leaders struggle with role expectations **A Priori Code -Efficacy-** • Role clarity gave leaders more confidence in their ability to perform **A Priori Code -Experiences-** • Hands on experience with teams especially during change was important to leaders	• Honesty and transparency were among the most valued personal traits for leaders. They felt that these traits helped build strong teams. • Leaders wanted their staff to hold them just as accountable to performing as they are holding their staff accountable • Leaders want to be accessible to staff and DHS but find it hard to balance that accessibility with work expectations. There is a need for additional clarity on what is expected in their role versus what is reality • Leaders became more confident in their ability to perform in their role as time in their role increased but still struggled with meeting role expectations. • Hands on experience was very important to leaders because it increased leadership visibility • Being exposed to different roles within the organization helped

		A Priori Code -Personal Vision- • Personal and organizational vision alignment creates stability	leaders develop their own leadership skills and assisted with organizational stability. • Leaders whose personal vision for self was aligned with the organization's vision felt stable and were committed to growing with the agency
	Vision	**A Priori Code -External-** • External influences create fractures in organizational priorities which creates frustration and confusion with teams	• The lack of a strategic plan creates opportunities for heavier external influences on organizational culture. • Misaligned semi-autonomous relationships impact internal performance
		A Priori Code- Team Learning- • Teams members that feel valued are more open to learning from each other • A constant state of crisis management prohibits team learning	• Engagement and empowerment were the major tools in building relationships among team members thus, a facilitating factor in how teams learned and performed. • CUA teams lack time and space to debrief in order to learn collectively.
		A Priori Code- Stress- • Focusing on the "why" was an important factor for reducing team stress.	• One of the most powerful tools for dealing with team stress was reminding team members about the mission and the children and families they serve.
4. *What are the opportunities to enhance the current performance management system for CUA case management service providers?*		• **Data Systems and Sharing-** A shared data system allows for improved practice-based decision-making • **Systems Flexibility-** Allowing CUA organizations more autonomy with fiscal and human resources would increase adaptability.	• CUAs do not yet have access to data in real-time in order to make mid-course corrections when needed. • CUAs lack the flexibility to adapt to their individual communities as well as their individual organizational cultures and infrastructures.
5. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*		**Engagement and empowerment** **Role clarity and strategic management**	• Consistent and intentional application of engagement and empowerment principles will increase collaborative relationships and performance. • Develop a comprehensive systems framework and corresponding theory of change that outlines the importance of strategic management, knowledge transfer, and goal clarity for each entity (DHS and CUA).

		Flexibility and adaptability	• Strategic planning sessions to explore how services and structures fit into organizational structures and strategic plans.
		Create a systems-wide learning culture	• Collectively decide on QI framework to intentionally capture lessons learned and to ensure that technical assistance arm has the capacity to help organizations translate findings into practice.
		Data Systems Infrastructure	• Investment in technological infrastructure to ensure that all case management databases and technologies are built to be accessible to subcontracted partners, including but not limited to report generation.

e. **Role of Participatory Evaluation Committee (PEC)**

The PEC played a very important role in ensuring data relevancy and data utility for findings from both research methodologies. Moreover, members of the PEC were consulted throughout each wave of data collection and analysis as illustrated in figure below. The participatory nature of the PEC allowed members to assist the researcher with contextual and historical information that may not have been otherwise captured in a document review process; provide clarity regarding data points that were not clear and/or seemed to need further explanation; and helping to ensure recommendations were practical and feasible for child welfare practitioners.

Content Analysis for PMS and Orgs
- PEC members provided historical and contextual information as well as clarified any areas in which data were dissonent.

Semi-Structured Interviews
- PEC members helped researcher with recruitment strategies such as identifying leadership staff to interview, providing contact information and introducing researcher.

Research Recommendations
- PEC members provided guidance and suggestions to researcher to ensure feasibility and usefullness of study recommendations

f. Data Integration Summary

Upon data analysis and presentation to the PEC, the researcher looked across methodological approaches to realize cross-cutting themes. This cross-checking of data allowed the researcher to look for regularities that arose across the multiple methods used within the study. These commonalities provided a more wholistic picture about the data while also providing critical insight and focus to the researcher on suggested areas for systems recommendations. The crosswalk of this data is presented in Table VII below. The narrative immediately following the table presents study results by research question.

Table VII. Data Summary Integration

CA Constructs & Findings		Interview Themes	Findings & Supporting References
Cross-Cutting Theme: Engagement & Empowerment			
**PMS**	_**ORG**_		
Performance Measures- Engagement Document analysis suggests a lack of engagement with CUAs on the selection and prioritization of CUA Scorecard metrics which is the tool that measures CUA performance.	**_HR – Capital & Empowerment_** Content analysis suggests that CUA organizations do not consistently publicize their HR function on their website. Not using the website to reflect positive work-place culture and to spread positive messaging to and about CUA staff is a missed opportunity to engage candidates and demonstrate their value and appreciation for CUA staff.	**_Systems Thinking-Learning_** Engaging and empowering staff helped with the organization's ability to adapt. **_Vision- Team Learning_** Engagement and Empowerment were the major tool in building relationships among team members thus, a facilitating factor in how teams learned and performed.	Engagement and empowerment were themes that cut across the PMS & CUA organizations. Engaged individuals feel more valued and are more committed to learning. An engagement framework ensures a diversity of perspective as well as collective agreement and buy-in to improving and sustaining performance. Hoon Song, J., Hun Lim, D., Gu Kang, I. and Kim, W. (2014), _Team performance in learning organizations: mediating effect of employee engagement_, The Learning Organization, Vol. 21 No. 5, pp. 290-309 Wells, SJ., Johnson, MA. (2001). _Selecting Outcome Measure for Child Welfare Settings: Lessons for use in Performance Management._ Children and Youth Services Review. Vol. 23, 169-199.
Cross-Cutting Theme: Clarity & Accountability			
Reporting Progress Document analysis suggests the lack of role clarity and accountability to ensure knowledge transfer is occurring	**_Structural-Role Clarity_** Content analysis suggests that there is sufficient role clarity in job descriptions to support important	**_A Priori Code -Mastery-_** Leaders wanted their staff to hold them just as accountable to performing as they are holding their staff accountable	Role clarity is important to functionality and performance. Role clarity could play an important part in clarifying expectations while creating an accountability structure to ensure knowledge transfer at the systems and employee level is occurring.

from one CUA to another in order to collectively move the CUA system forward in performance improvement.	employee fit within the CUAs. It is important to ensure as much information about the CUA Case Manager position is posted given the high turnover rate in child welfare and the ripple effect it has.	Leaders want to be accessible to staff and DHS but find it hard to balance that accessibility with work expectations. There is a need for additional clarity on what is expected in their role versus what is reality ***Mental Model- Efficacy*** Leaders became more confident in their ability to perform in their role as time in their role increased but still struggled with meeting role expectations.	Anderson, Derrick & Stritch, Justin. (2015). *Goal Clarity, Task Significance, and Performance: Evidence from a Laboratory Experiment.* Journal of Public Administration Research and Theory. https://www.researchgate.net/publication/280732312_Goal_Clarity_Task_Significance_and_Performance_Evidence_From_a_Laboratory_Experiment

Cross-Cutting Theme: Flexibility & Adaptability			
	Structure- Flexibility Content analysis suggests that rigid organizations may not impede performance as much as the rigidity within the CUA program itself.	***Systems Flexibility*** Leaders felt that more flexibility with CUA structure would allow them to better tailor CUA to meet their community and organizational needs.	Flexibility enables adaptability needed in complex systems. Ensuring that organizations have the flexibility to fully embed CUAs within their organizational structures will help ensure cultural alignment and ongoing support. Michael, L.K.J. (2017). Examining the Literature on Organizational Structure and Success. Retrieved from http://www.cfps.org.sg/publications/the-college-mirror/article/1098. Accessed on 3.12.2019.

Cross-Cutting Theme: Learning			
Learning- Quality Improvement Document analysis suggests the lack of a formal quality improvement process to capture lessons learned such as the PDSA cycle but there is evidence that technical assistance is being given to CUAs to improve performance based on Scorecard outcomes.	***Symbolic- Learning*** CUA website indicates a value for learning but may be unsure on how to fully implement a learning culture.	***Systems Thinking- Learning*** Organizations lacked formal processes to allow idea-sharing to flow throughout the organization Participants felt that using data to inform strategy was very important to having a pathway to improved performance.	Creating a learning culture throughout the CUA system is critical to systems improvement. Quality improvement frameworks help provide formal structures to capture, practice and share important lessons learned while mitigating unforeseen risk from large rollouts. Strong technical assistance arms that are responsive to and can support CUAs with key learnings will help CUAs address performance challenges. The Child and Family Policy Institute of California. Child Welfare Services System Improvements 11 County Pilot Implementation Evaluation: Initial Assessment Phase. Retrieved http://www.cfpic.org/sites/default/files/11_County_Eval_Phase1.pdf. Accessed on 2.26.2019.

Cross-Cutting Theme: Data Infrastructure			
Measure – Capacity Document analysis suggests that DHS has the data tools,		***Data Systems Infrastructure-*** Participants wished for enhanced data systems to	Building shared data systems in collaborative relationships is an important driver in performance.

technological infrastructure and staffing capacity to collect and house CUA performance data but evidence suggests that the data warehouse is antiquated and needs updating.		capture more accurate and timely data but more importantly, participants want access the DHS housed databases in real time to drive practice-based decision in order to improve performance.	World Health Organization. Monitoring and Evaluation of Health Systems Strengthening. 2009. Retrieved from https://www.who.int/healthinfo/HSS_MandE_framework_Nov_2009.pdf. Accessed on 3.10.2019.

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RESEARCH QUESTION 1: What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?

A description of the five documents used to address this research question are represented below in Table VIII. A total of 233 pages were analyzed. Moreover, existing characteristics of the PMS developed by DHS and shared with CUAs appeared to have seven of the nine associated a priori codes, representing four of the five identified constructs. Table VIIII below reflects a condensed version of the matrix used to explore the five documents. One document was deemed 'not applicable' for certain a priori codes due to its lack of relevance and has been marked accordingly. In support of the research question, the matrix was designed to capture the existence or absence of evidence to support a priori codes and constructs. A comment section within the matrix allowed the researcher to record immediate thoughts and reflections for analysis later.

Table VIII. CUA Performance Management System Document Description

Document Title	Document Description	Document Originator	Year Produced	Document Length
1. Evaluation of the Improving Outcomes for Children Transformation in the Child Welfare Systems in Philadelphia Report	Comprehensive evaluation of Improving Outcomes for Children model which drives CUA implementation	The Child Welfare Policy & Practice Group	2017	148pgs
2. Quarterly Indicators Report (most recent posted on website during review period).	Accountability report on key measures provided to the public and the Child Welfare Oversight Board.	DHS Commissioner's Office	2019 (Quarters 1-3)	36pgs
3. Baseline CUA Scorecard	First Public annual Scorecard that rates and ranks performance for all ten CUAs in 9 domains	DHS Performance Management team	2017	23pgs
4. 1-Year Post CUA Scorecard	Second Public annual Scorecard that rates and ranks performance for all ten CUAs in 9 domains	DHS Performance Management team	2018	23pgs
5. DHS' Strategic Priorities	Child Welfare section of the Philadelphia Department of Human Services' 5-year Strategic Plan that speaks specifically to CUA's strategic priorities.	Mayor's Office of Philadelphia	2017	3pgs

Table VIIII. CUA Performance Management System Condensed Content Analysis Matrix

Document Title	Supports_Standards	Engagement_Measures	Engagement_Communication	Measurement_Capacity	Measurement_Process	Measurement_Communication	Learning_Quality Improvement	Learning_Reporting	Reward_Incentives
2017 Evaluation of the Improving Outcomes for Children Transformation in the Child Welfare Systems in Philadelphia Report	X	O	X	X	X	X	X	X	O
Quarterly Indicators Report FY 2019 Quarters 1-3 (July 1 2018, - March 31, 2019	X	X	X	X	X	X	O	O	O
Baseline CUA Scorecard FY 16-17	X	O	X	X	X	X	X	X	O
2018 CUA Scorecard	X	O	X	X	X	X	X	X	O
DHS'2017-2021 Strategic Priorities	X	N/A	N/A	N/A	X	N/A	N/A	N/A	N/A

Performance Standards- This component speaks directly to ensuring that performance

standards and indicators are inextricably linked to the mission, vision and goals of the organization

or in this case, system. In other words, the success of performance management depends, above all, on the alignment of goals and standards.

Five of five documents reviewed consistently outlined the overarching goals and objectives of the Improving Outcomes for Children (IOC) model which is the model that drives the local child welfare system, and CUA performance standards. More specifically, this alignment is detailed in both CUA Scorecards by providing a descriptive narrative of exactly what is being measured in the Scorecard as it relates to safety, permanency and well-being. However, while the first CUA Scorecard stated the core principles of the IOC model, the other documents were clearer in stating IOC goals.

> *The core principle of IOC is that a community neighborhood approach to the delivery of child welfare services will positively impact the safety, permanency and well-being of the children, youth and families involved with DHS.*
>
> *~2017 Baseline Scorecard*

Versus:

> *The goals of IOC are:*
> - *More children and youth are maintained safely in their own homes and communities*
> - *More children and youth are achieving timely reunification of other permanence*
> - *A reduction in the use of congregate care*
> - *Improved child, youth and family functioning.*
>
> *~2018 Scorecard*

The other four documents published after the Baseline Scorecard used the exact language as the 2018 Scorecard. Documents specifically highlighted that all CUA efforts were guided by the above stated IOC goals. The 2017 IOC Evaluation Report states that "all child welfare agencies are legally mandated to deliver functions related to child safety, permanency and well-being" hinting

at the mandated alignment between national and state standards. Additionally, the 2017 CUA Scorecard states that "the activities measured in the CUA Scorecard also relate to specific federal and state mandates that focus on improving outcomes for children and youth." However, the researcher could not identify which "specific" federal and state mandates that the IOC goals were in alignment with in any of the documents. Overtly stating national alignment would describe how Philadelphia's model supports national child welfare standards.

PEC Input- The PEC felt strongly that DHS has been very transparent and consistent with their communication about IOC goals and felt strongly that these goals were in alignment with national standards as well as the mission, and values of their respective organizations.

Performance Measurement- This construct largely analyzed the elements used to develop the CUA Scorecard. The Scorecard is the pinnacle tool used for measuring and communicating performance outcomes for each CUA. Each CUA has its own Scorecard and an annual Scorecard is published publicly representing the CUA's performance for the entire year. According to the 2017 IOC Evaluation Report, CUAs are measured against over sixty weighted metrics subdivided into nine domains: 1) Permanency, 2) Safety: Assessment & Plan, 3) Safety: Visitation, 4) Case Planning, 5) Practice Court, 6) Practice: Supervision, 7) Practice: Assessments, Health & Education, 8) Finance and 9) Workforce. The Scorecard uses a Liberty Bell scoring system whereby a CUA that receives five Bells is deemed "Superior" in performance and a CUA that receives one bell is deemed to be in "Critical" condition and is drastically underperforming. The figure below, taken directly from the 2017 Scorecard, further defines the Liberty Bell scoring system for the CUA Scorecards. Additionally, the Scorecard ranks each CUA according to their annual performance. Thus, the ranking system is from 1-10, with the number one CUA being the highest performing CUA and the number ten being the lowest performing CUA.

Figure 10. CUA Scorecard

SUPERIOR
A CUA with five bells meets or exceeds performance expectations and exemplifies best practice.

PROFICIENT
A CUA with four bells meets expectations in most areas, but has room for improvement.

COMPETENT
A CUA with three bells meets basic expectations and needs improvement to demonstrate proficiency or best practice.

UNSATISFACTORY
A CUA with two bells needs to improve practice in order to meet expectations.

CRITICAL
A CUA with one bell needs to improve all levels of practice. If a CUA is unable to improve over time, CUA and DHS leadership will meet to determine the CUA's ability to continue contracting with DHS to provide child welfare case management.

Given the complexities of performance measurement, this construct is comprised of several a priori codes:1) engagement in the selection and prioritization of metrics that fall into the nine Scorecard domains, 2) communication about selected metrics, 3) capacity to collect and analyze metric data, and 4) a process for regularly collecting data that supports identified metrics.

1)   A priori code Engagement- Discrepancies were found in the engagement code. Engagement is key as it not only helps to ensure PMS metric relevancy from frontline workers, but it also helps CUA leadership better understand and buy-in to what is being measured and why it is important. Only one of four relevant documents suggested that CUAs were engaged in the selection of metrics by highlighting concerns about select measures.

> *An additional element that seems relevant to the scorecard design is the perception within the CUA community that the scorecard will make them vulnerable to criticism by stakeholders because their current performance on some measures is below standards. They have concerns that these basic indicators will not fully reflect the many IOC implementation barriers they are still trying to overcome or the complexity of the child welfare operations in such a challenging urban setting.*
>
> *~2017 IOC Evaluation Report*

However, none of the document clearly identify how the CUAs were engaged or if the engagement was effective. Furthermore, there was no mention in any document about how and if the CUAs would be engaged as refinement to the Scorecard occurs. The DHS Quarterly Indicator Reports are presentations that are opened to public feedback and criticism about metrics and data presented. This public forum allows stakeholders to request additional data metrics and or clarity on existing metrics. However, the metrics largely include CUA metrics, so it is unclear as to whether CUAs are invited to comment in a public forum about the metrics they are held accountable to achieving. Engagement is key as it not only helps to ensure PMS metric relevancy from frontline workers, but it also helps CUA leadership better understand and buy-in to what is being measured and why it is important.

  PEC Input- The PEC also provided insight into the discrepancies found with this specific code. They discussed how they were "semi-engaged" because they were given a chance to provide feedback but "nothing changed" indicating that their voices were not "heard." Some PEC members also stated that they think DHS would argue that they did engage them. It seems that more conversation regarding the definition of effective engagement is warranted between DHS and CUA leadership.

  2) <u>A priori code Communication</u>- Communication about selected metrics was consistently found throughout the relevant documents. The existence of the Scorecard as well as Quarterly Indicator reports served as evidence that communication about the selected metrics was

occurring in an ongoing basis. Additionally, both Scorecards specifically state that CUA Scorecards will be published annually and that DHS provides CUAs with quarterly scores so that progress can be monitored over the course of the year.

PEC Input- PEC mentioned the desire for more frequent communication, but the conversation morphed into a request for more accessibility to the DHS hosted data warehouse known as ECMS (Electronic Case Management System) which is more relevant to the conversation on capacity which immediately follows this section.

3)   A priori code Capacity- DHS' capacity to collect and analyze data was consistently found throughout all four of the relevant documents. Several documents discuss in detail the tools used to collect data as well as the DHS team that is analyzing this data. For instance, one document states:

> *Data comes from three sources: reviews of case files, case management system data, and administrative data that the CUAs send to DHS (financial, staffing information, etc.). DHS reviews a sample of these files on a regular basis using a Comprehensive Case File Review tool.*
>
> *~2018 Scorecard*

furthermore, the existence of the Scorecards and Quarterly Indicator reports whereby analyzed data is presented by members of the DHS team serves as evidence of DHS' capacity to collect and analyze metrics. Despite the existing capacity, the 2017 IOC Evaluation Report specifically mentions DHS' efforts to successfully improve data capacity over the years but warns efforts should be ongoing. It specifically highlights that ECMS is an antiquated data warehouse and recommends that there be testing with CUAs and other providers prior to rolling out any advancements to ensure it is meeting the needs of frontline workers.

PEC Input- Likewise, PEC members remembered when DHS did not have the current capacity and metrics were being collected by individual organizations on Excel spreadsheets.

Efforts to build this capacity were acknowledged and appreciated by PEC members as it has helped them with data monitoring. That said, members now feel like it is time to increase capacity to share access to the data warehouse so that CUAs can "run" their own reports when they deem necessary. Several PEC members felt that while having some data is better than no data, the "parsing" of data at the varying increments in which they are sent, still leaves them less able to manage their own performance.

4)   A priori code Regular Data Collection- Lastly, all five documents found evidence of a regular process for collecting data. As discussed throughout the narrative above, quarterly reports are provided on the identified metrics. Another document specifically details that "CUA audits are conducted every six weeks" while the 2018 Scorecard boasts that "DHS reviews nearly 3,000 CUA case files a year."

PEC Input- There was no substantial conversation with, or additional insight provided by PEC members regarding this code.

Quality Improvement (QI)- Quality improvement is the component of a performance management system that allows entities to focus their efforts on specific targets to improve. Effective QI practices use a systematic process to capture data, facilitate learning from that data and provide some sort of technical assistance to assist with recommended changes in an effort to improve performance. Literature suggests that the most well-known QI method is the Plan, Do, Study, Act (PDSA) model. As such, the researcher specifically looked for any resemblance of PDSA cycles within the documents reviewed as well as any mention of technical assistance.

Three of four relevant documents reviewed identified DHS' intention to capture learning from CUAs and to facilitate technical assistance with CUAs. The IOC Evaluation Report and both Scorecards mention consistent messaging about "peer to peer learning" through meetings. More

specifically, the IOC Evaluation Report calls out DHS for "reinstating a quality case review process." The report goes on to discuss the process which supports the evidence that there is some sort of systematic process taking place to collect data and assess quality, but this does not represent a systematic quality improvement process whereby target deficiencies are identified within or across CUAs, planned interventions to address those deficiencies are implemented and lessons learned from that implementation is brought full circle to scaled practice changes. However, the report also highlights that DHS has implemented a "debriefing" process at the conclusion of each CUA review. Excerpt describing the process:

> *DHS has reinstated a quality assurance case review process as part of IOC implementation. The quality assurance unit reviews each of the CUAs annually, reviewing 240 case files every five weeks systemwide. DHS uses a quality assurance tool that addresses both the single case plan (forty-two items) and safety (twenty-three items). The content of the review questions addresses actions such as completion of the single case plan, child and caregiver visits, completed safety assessment, and signed approval of safety plans by supervisors. The determination of compliance with policy is dependent on written documentation in the case file. Among the compliance review items in the quality assurance tool is a subset of thirty items identified as leading indicators. Quality assurance staff describe these indicators as more closely associated with outcome achievement. **DHS has also implemented a debriefing process at the conclusion of each CUA review that is described as collaborative and focused on identifying solutions to performance challenges.***
>
> *2017 IOC Evaluation Report*

Again, there is no mention as to how those debriefing meetings are structured, how "identified solutions to performance challenges" are identified, implemented and monitored and how those lessons learned are communicated across the CUA system for purposes of improving performance. Furthermore, the Quarterly Indicators Report highlights areas of strengths and areas for improvement but then goes on to present data related to these areas without describing the "how" it is being addressed and "what" is being learned from efforts in an intentional and calculated way.

The researcher recognizes that this discussion could be had as conversation during the presentation and not captured on the actual PowerPoint slideshow that was reviewed.

Three of the four documents reviewed specifically provide concrete evidence of DHS' strategy to offer technical assistance to CUAs. For example, both CUA Scorecards state:

Growth will be measured over time, with monthly leadership and bi-annual data review meetings between CUAs and DHS to review progress or to adjust technical assistance for problem areas.

In addition, the following actions will be used to ensure ongoing accountability and improvement:

- *Targeted and prioritized technical assistance by DHS for any areas below three bells*
- *Peer mentoring to encourage sharing of best practices among CUAs within four or five bells*
- *Submission of a CUA Plan of Improvement with action steps to the Commissioner within 30 days of the annual Scorecard*
- *Specialized trainings*
- *Organizational assessments for CUAs with one and two bells. This process is led by DHS to facilitate major practice and management change.*

2017 and 2018 CUA Scorecard

The researcher found elements of quality improvement efforts throughout the documents but could not clearly identify the actual framework or quality improvement process used to guide and facilitate performance improvement across the CUA system. Instead, efforts seemed siloed and more so targeted to CUAs that score three bells or less on the Scorecard.

PEC Input- PEC members were consulted as to whether they felt there was a framework for quality improvement being implemented. Discussions included a recognition and appreciation for DHS' attempt to engage in performance improvement and that the Scorecard was a huge piece of identifying deficiencies but that they too were unaware of any framework guiding improvement efforts. Interestingly, PEC members thought that DHS believes they are being strategic in their efforts but that it seems scattered and not as effective to CUAs as they would like. Questions were raised as to whether the issue was more about the quality of DHS' efforts rather than the efforts themselves. For instance, could the technical assistance efforts be opened up to outside experts

opposed to in-house DHS personnel who may not have the expertise needed to truly address the identified issue. A specific discussion centered on the DHS Practice Coaches and their capabilities to provide sound guidance to CUA staff because in some instances they have steered CUAs down the wrong path. PEC members also highlighted the trust issues among CUAs because of the competitive nature inherent among CUAs given the Scorecard's ranking system. Admittedly, this dynamic prevents CUAs from being completely forthright with their effective strategies and thwarts DHS' intention to facilitate peer-to-peer learning. Therefore, PEC members placed the emphasis on DHS' unique ability and role to capture lessons learned from each CUA and collectively share that information for purposes of moving the entire CUA system forward.

Reporting Progress- Related to the discussion immediately above, this component specifically speaks to the actions of reporting performance results broadly and developing regular reporting cycles for purposes of facilitating knowledge transfer or highlighting lessons learned and strategies to improve performance. Essentially, the reporting progress phase specifically looks at how the PMS is facilitating knowledge transfer. Despite the above finding of a lack of formal QI process, the researcher looked for evidence on how the system regularly reports progress to CUAs or facilitates discussion about performance improvement strategies with CUAs.

Three of four documents reviewed mentioned different types of meetings whereby reporting of progress on the CUA Scorecard is captured. The same three documents discussed above in quality improvement section (both Scorecards and the 2017 IOC Evaluation Report) discuss several types of regularly scheduled meetings:

- *Debriefing meeting*- occurs at the conclusion of each CUA review which is every five weeks (IOC Evaluation Report). No mention of who attends these meetings.

- *Monthly meetings-* Occurs monthly between CUA and DHS (CUA Scorecards). No mention of how progress is reported or discussed.

- *Bi-annual data review meetings-* Occurs every six months to review performance progress (CUA Scorecards). Documents do not mention who attends these meetings or how progress is reported to CUAs.

The researcher did find evidence that regular reporting of CUA performance is occurring. However, there was no evidence on exactly what is being reported at these meetings, who is attending these meetings on a regular basis and who is responsible for the information after meetings have occurred. Furthermore, there was a lack of evidence demonstrating the system's accountability for ensuring knowledge transfer was occurring and impacting performance outcomes and not just being discussed at meetings.

PEC Input- The discussion with PEC members largely resembled the discussion above related to quality improvement. PEC members validated that CUA leadership is consistently attending all of the meetings described above but said meetings schedules change. For instance, a debriefing meeting no longer occurs every five weeks, neither does the monthly meeting with DHS leadership and CUA leadership. These meetings now occur every other month. Members attributed this to systems improvements and no longer needing the intensive performance oversight by DHS. They also mentioned that members of their staff meet regularly with DHS staff to learn from their peers. PEC members supported the findings above in that they felt that there were no real accountability measures to ensure that knowledge transfer was occurring, but that DHS has certainly made a concerted effort to discuss performance improvement and progress regularly with them. PEC members described these meetings as general conversations about overall CUA performance but did not drill down into specific recommendations per domain nor was the format

of these discussions consistent. In other words, there were some meetings between CUA and DHS leadership staff that did not offer additional knowledge or strategies to the group but focused on performance concerns from DHS.

Incentivizing- Incentivizing good performance is a common practice that has been shown to promote improved performance. At the organizational and systems level, this may look like a pay-for-performance or performance-based contracting structure, which is an increasingly popular framework used in the privatization of public social services. The researcher looked for any language pertaining to fiscal incentives or non-fiscal incentives in general provided to CUAs for their performance improvements.

None of the documents reviewed mentioned any sort of incentive structure for CUAs. In fact, the only document that even mentions fiscal/budgeting is the 2017 IOC Evaluation Report. As you can see below the fiscal recommendation centers on DHS providing more flexibility to CUAs with regard to how the CUA is able to move funds around within their current contract.

RECOMMENDATION #6. Providing Increased Contract Budget Flexibility
The accelerated pace of IOC implementation resulted in some CUAs being insufficiently prepared to understand and undertake all of the requirements of contracting. That circumstance led to some errors and breaches of City and DHS contracting regulations. At this point, however, most CUAs have demonstrated the ability to have greater control and flexibility in the contracting process. It is thus recommended that DHS grant CUAs greater flexibility in adjusting their budgets within a contract year without the necessity of seeking DHS prior approval for all personnel changes made within the total amount allocated, while remaining in accordance with City and State budgetary regulations. It may be functional for DHS to identify some reasonable cost or category thresholds beyond which DHS approval is sought. Such flexibility has the potential to strengthen relationships between CUAs and DHS, permit the CUAs to be more nimble in responding to changing local conditions, and reflect the partnership between the two entities that DHS is seeking to build.
2017 IOC Evaluation Report

Key language such as "performance-based contracting" or "incentive-based contracting" were not mentioned in any of the documents reviewed. Thus, the researcher deduced that the CUA system lacked an incentive structure to motivate improved and sustained performance.

While all documents lacked incentive language to support improved performance, it is important to note that two documents specifically call out fiscal consequences should CUAs underperform. As described above in the *Performance Measurement* section, CUA performance is measured by bells. Five bells being "Superior" meaning "A CUA with five bells meets or exceeds performance expectations and exemplifies best practices" while a CUA with one bell is in "Critical" condition. Language for one bell CUAs in the 2017 and 2018 Scorecards states:

> *CRITICAL*
>
> *A CUA with one bell needs to improve all levels of practice. If a CUA is unable to improve over time,* **CUA and DHS leadership will meet to determine the CUA's ability to continue contracting** *with DHS to provide child welfare case management services*
>
> *2017 and 2018 CUA Scorecards.*

Another important recognition is the public ranking of the Scorecard and the role that plays as an implicit incentive structure. Research suggests that public rankings that are imposed opposed to voluntarily adopted can illicit unintentional effects; meaning that one entity's success can come at another's expense [125]. The researcher did not find any evidence within the documents on how the ranking system impacts the CUAs themselves, or whether it truly serves as an incentive or disincentive but it is important to mention that its existence can have unintentional positive and negative consequences on performance.

PEC Input- When the researcher consulted with PEC members about incentive structures for CUA performance, members validated the researcher's findings. There are currently no fiscal incentives offered to CUAs who meet performance and or exceed performance standards. Some PEC members remembered a discussion about performance-based contracting or what they referred to as the PBC model, and some members remembered the PBC model that was in place before the CUA system was implemented. Stories were shared about how the previous PBC model

was effective because providers felt that their performance was acknowledged and that it in fact was an incentive to improve performance. Other discussions by the PEC called attention to the "upside down" funding model of CUA. Members defined "upside down" by losing funds if your CUA performs better by safely closing cases. In other words, in the current funding model, CUAs are encouraged to safely close cases but the more cases they close, the less Case Managers they need and the less Case Managers they need, the more DHS reduces their overall budget. Members felt that this funding model could potentially act more as a disincentive to close cases than the other way around. Members were clear that they are committed to safely closing cases as "it is the right thing to do" and the disincentive in funding does not discourage them, but it does highlight how the current funding model does not serve as an incentive.

When PEC members were asked about the ranking system, there were mixed reactions. Some PEC members did not think it was a problem, especially if all CUAs strive to be five bells. Others thought that the ranking of CUAs promoted a level of competitiveness that shouldn't exist in public services. Furthermore, conversation about how the ranking system creates staff moral issues and transparency issues within CUAs were also highlighted. PEC members felt that public accountability and transparency could be achieved without creating internal competition.

●•••●

RESEARCH QUESTION 2: What organizational factors influence performance among CUA case management service providers?

A content analysis approach was used to explore organizational components that the researcher's literature review identifies as elements impacting performance. The researcher accessed organizational websites to glean insight into the following elements: 1) Structural, 2) Human Resources, 3) Political Value and 4) Stability. Utilizing the same methodology and process as described above in the PMS content analysis, Table X is a condensed version of the matrix

developed to capture existence or nonexistence of organizational factors. The matrix table was used to help point out similarities or differences among the targeted CUA organizations, while the PEC helped provide contextual information and clarity when needed on findings.

Table X. CUA Organizational Assessment Condensed Content Analysis Matrix

Organization Type & Source	*Structural-Role Clarity*	*Structural-Flexibility*	*HR-Human Capital*	*HR-Empowerment*	*Political- Engagement*	*Political- Value*	*Symbolic- Learning*	*Symbolic- Stability*
Small Organization's Website	X	O	O	O	X	X	O	X
• Small Organization's CUA Scorecard	n/a	n/a	O	n/a	n/a	n/a	n/a	n/a
Medium Organization	X	O	O	X	X	X	X	X
• Medium Organization's CUA Scorecard	n/a	n/a	X	n/a	n/a	n/a	n/a	n/a
Large Organization	X	X	X	X	X	X	X	X
• Large Organization's CUA Scorecard	n/a	n/a	X	n/a	n/a	n/a	n/a	n/a

According to the table, CUAs consistently had four of the eight elements thought to positively impact organizational performance (role clarity, engagement, value, stability) with the remaining four showing differences (flexibility, human capital, empowerment, learning).

Structural- The structural component refers to the ability of the organization's infrastructure to properly supports its activities to efficiently achieve organizational aims. It argues for ensuring people are in the right roles and that those roles are in the right relationships throughout the organization; in other words, it serves as the foundation for the operations of the organization and facilitates the flow of information and decision-making. Posting clear job descriptions on the website is a first step in ensuring proper fit by helping potential candidates understand the role they are applying for within the CUA. The researcher explored the structural

element in two ways: 1) by looking at role clarity or the organization's clarity with regard to job descriptions and 2) the flexibility of the organization's archetype (i.e. bureaucratic/hierarchical. Thus, there are two a priori codes associated and described below which are role clarity and flexibility.

1.   <u>A priori code Role Clarity</u>- All three organizational websites clearly displayed job descriptions for CUA related positions under the "Careers" section of the website. Some websites had multiple pages and hyperlinks to access the description but the researcher was able to access the job descriptions with ease. The researcher searched for the Case Manager position given the critical role the case manager plays in executing CUA contracts. If a Case Manager job description was not posted, due to all positions being filled, the researcher was prepared to move to another CUA position such as Case Manager Supervisor or Case Aide. When reviewing the job descriptions, the researcher was looking for elements that HR experts deem to be critical components such as a:

- Job Summary that details the overall objective of the position and how that position fits into the work and or vision of the organization.

- Basic description of job duties and tasks that are required to fulfill the position. Tasks should be clearly defined and prioritized. For instance, Supervisor positions would highlight the management of direct reports and should be prioritized and clearly described on a job description versus a Case Manager whose primary focus is to manage caseloads with administrative duties etc.

- Description of position qualifications such a degree and or certifications required.

All CUAs are required to have the same positions and this was helpful in ensuring the researcher was assessing like positions with like positions. All three CUAs had Case Manager positions

posted. The researcher found the described elements above in each of the descriptions, although at varying degrees of specifications. For instance, one organization's summary stated:

Case manager applicants should have strong knowledge of child welfare protective services issues and the needs of high risk, vulnerable families. Client families are identified by the Department of Human Services based on concerns regarding parenting skills and ability to maintain children in a safe environment. This case manager will assist families in developing parenting practices and skills that reduce safety risks and enhance ability to provide a nurturing environment for children. The case manager works with families who have in-home safety needs, in-home non-safety needs as well as children/youth with out of home placement needs including Resource Home Care, Kinship Home Care and Congregate Care settings. The case manager is responsible for ensuring the Improving Outcomes for Children outcomes are achieved for families served on their case load through direct interventions provided; coordinating delivery of services with CUA team members, subcontractor provider team members, and a wide variety of community based resources.

~Small Organization

Versus

Case manager applicants should have strong knowledge of child welfare protective services issues and the needs of high risk, vulnerable families. Client families are identified by the Department of Human Services based on concerns regarding parenting skills and ability to maintain children in a safe environment. This case manager will assist families in developing parenting practices and skills that reduce safety risks and enhance ability to provide a nurturing environment for children.

~Medium Organization

The more description that is provided about the tasks and responsibilities to candidates, the better the candidate can assess whether the position is a good fit for them before they pursue the position. This is important to assisting with fit and match because turnover rates within child welfare are a well-established and well-known issues as it can cause major ripple effects with the movement of cases. One organization's attempt to comprehensively define tasks in its robust description below:

Responsibilities:
- *Performs a variety of counseling, referral, placement and/or adoptive services for assigned cases within the CUA*
- *Maintains a caseload of thirteen (13) families at one time, or such other number as they may be assigned by the CUA Case Management Supervisor or CUA Case Management Director*
- *Conducts interviews with individuals requiring agency services including requests for temporary shelter, placement of children or unusual and difficult social service cases; make home visits to families of emotionally disturbed and/or problem children; elicits data to ascertain nature and extent of complaint, severity of problems, potential danger to individual, and/or facts and circumstances relevant to requests; reviews case record for client's and family's profile, socio-economic history, previous treatment and service experiences, and/or special problems and family history, financial and social problems, individual perspectives and perceptions, attitudes and behavior and other factors; observes interactions of client, family members and peers; makes decisions related to eligibility for CUA services; obtains and evaluates social information concerning families with unusual or chronic social service problems; contacts professionals and members of community to discuss history of case and service needs.*
- *Develops service plan to provide a variety of social services referrals and to define goals and objectives; determines need for social, behavioral, medical and/or psychological services; provides individual or family counseling as needed; makes referrals to a variety of support agencies; monitors individual and family progress, cooperation, and acceptance of services.*
- *Plans for the appropriate placement of individuals in a kinship or family foster home, care program, facility or institution; interviews prospective applicants, clients and providers; orients participants in program's goals and objectives, roles and responsibilities of various parties, and legal ramifications; arranges for any medical or psychiatric treatment prior to placement.*
- *Monitors and evaluates activities of agencies contracted to provide a variety of social services; visits and inspects direct placement to evaluate progress, and/or problems of client; prepares and discusses written evaluations of agency; finds alternative placement for client when warranted; recommends services provided to client by agency be terminated.*
- *Initiates court action when appropriate and prepares necessary work.*
- *Attends periodic staff and personal conferences; confers with superior on difficult problems; prepares reports and correspondence; keeps records of all assigned cases.*
- *Obtains a minimum of twenty (20) hours of training per fiscal year.*
- *Performs related work as required.*

~Large Organization

PEC Input- PEC members did not have any significant insight related to this narrative. Members mainly agreed that more could be done to attract candidates that are more well-suited for the position to assist combat high turnover rates in CUAs specifically.

g.　　A priori code Flexibility- This code speaks to the recognition that traditional hierarchy structures provide the structure and clarity needed to enhance performance, but favors efficiency at the expense of flexibility, innovation and a caring culture. The researcher looked for evidence of a traditional hierarchical structure such as a "C" suite or a CEO, Vice President structure which was prominently posted under the "About Us" page sometimes under the "Leadership" tab or the "Board and Executive Leadership Staff" page. Two of three organizations had what appeared to be inflexible organizational structures with a CEO and a suite of Vice Presidents as their direct reports. One organization had a non-traditional structure, mainly because it resided within another larger organization and had access to non-traditional supports such as a Sr. Learning Specialist and a group that provides research and evaluation support. Flexibility within organizations housing CUAs is important given the fast-paced and ever-changing child welfare environment, particularly as it pertains to performance. Having the flexibility to adapt to new information, new mandates, and client needs is critical to maintaining the CUA contract.

PEC Input- PEC members discussed the inflexibility they felt with the CUA structure itself. While multiple organizational structures seemed rigid, members felt that this did not impact them as much as the rigidity provided by DHS for the CUAs. Members felt that each CUA and the constituency they served required different supports and due to the differing organizational structures, that too required flexibility with CUA structures. Members felt that organizational structures can change depending on what information or needs are identified but CUA structure had to remain the same despite the recognition of new information and/or client needs.

Human Resources (HR)- This element is particularly important and relevant to the child welfare arena given the multitudes of workforce issues clearly outlined in the literature ranging

from workers being undertrained and exposed to ongoing trauma to being overworked and underpaid. For this reason, the researcher looked for evidence of how CUAs were managing their human capital on organizational websites in two ways: 1) the existence of an executive HR staff or the mention of an external HR entity handling CUA related HR services and 2) positive messaging about existing staff or to potential staff, indicating the important need for an empowering and nurturing frame to obtain and retain CUA staff. Additionally, the researcher viewed the 2018 CUA Scorecard for additional insight into the organization's workforce. The Scorecard measures turnover in Case Manager positions within the CUA. Thus, the organizations with high turnover receive a lower bell score opposed to organizations with less turnover. The researcher gave credit on the matrix to organizations that were deemed "Competent" in this domain or received three bells. The researcher used the Workforce bell score of CUA organization to provide additional insight on organization's ability to retention staff.

1.   A priori code Human Capital- One of three organizations appeared to have a Human Resources department to manage their human capital. This organization boasted their executive HR personnel position and a robust biography including a brief statement of responsibilities and functions that are under this position:

Ensures a dedicated focus on diversity and inclusion throughout all recruitment, orientation and staff development initiatives. Provides leadership for Human Resources, Organizational Development and Leadership (ODL) and Total Quality Management (TQM).

~Large Organization

The other two organizations had no mention of an HR position on their websites. However, it is important to make note of the HR functions such as job descriptions with notable HR email addresses, indicating that HR functions are being executed. The researcher specifically looked for

executive HR positions as this would give indication to the importance of the HR function in the organization and its capacity to lead core human resource management services.

PEC Input- When PEC members were asked about the HR function, all indicated that they had fully functioning HR services. One PEC member indicated that they were currently in search of a new executive HR person which might be one explanation as to why an HR position was not highlighted on the website. Another PEC member explained their structure which includes subcontracting HR services out to a private consultant which is another explanation as to why perhaps there was no mention of an executive HR position on the organizational website.

2.   A priori code Empowerment- Two of three organizational websites displayed positive messaging to or about their staff. The ideal organization understands the balance between organizational outcomes and workforce needs and can nurture and retain loyal employees. Loyal employees are described by those that are committed to the organization in large part due to investments such as compensation, growth opportunities and benefits offered. When employers fail to invest in its human capital, they fail to develop a competent, committed and talented workforce that is prepared to perform. To this end, the researcher looked for positive messaging on each page of the website relevant to employees. Pages were explored for language describing positive work-based culture (i.e. team-based, supportive etc.), any mentioning of compensation packages, and pictures, or stories spotlighting employees. Below are excerpts from the "Careers" page of two CUA organizations which the researcher understood to be direct messaging to current and/or future staff. The excerpts below represent examples of how two organizations positively describe their work culture and philosophy:

Believes in fostering a team-oriented and supportive environment that allows each team member to exhibit the finest qualities of our profession by delivering expert service with dedication, insight, and compassion. We believe providing the opportunity for personal and professional growth often leads to greater career satisfaction, and a more rewarding experience.

Our employees' role in realizing our mission and being part of a team that is committed the very best in client care is deeply valued. Every staff member, no matter the position, has a vital role to play in ensuring that every client receives the very best care. Our focus on family and client-centered care means that we stress the importance of customer service from each employee.

In turn, we work to create a positive environment and offer learning opportunities in which staff can achieve a high level of excellence as a professional. NET is committed to developing strong leaders at every level of our organization who share the same set of values and goals. Our hope is that employees find their work to be rewarding, challenging, and meaningful.

~ Medium Organization

There are substantial opportunities to develop and grow within the here. In addition to our 350 programs, we also have a network of subsidiary organizations. There are limitless options.

We want employees to come on board and stay on board. We like to promote from within, and we're very intentional about creating a path for every employee, building their development and setting a career trajectory and ladders.

We also have partnerships with local universities and colleges to provide employees the opportunity to go to school while they work for full-time. The program is integrated into the work we do here, creating a really flexible way to work and get a Bachelor's or Master's degree.

~ Large Organization

For the CUA organizations that are not using their website to reflect positive work-place culture and to spread positive messaging to and about CUA staff is missing an opportunity to

communicate, motivate and demonstrate their value for CUA staff. It is a missed opportunity to uniquely cultivate a loyal employee in a uniquely difficult sector.

PEC Input- PEC members shared thoughts about their organizational websites and agreed that they were missing opportunities to communicate the value they have for their CUA staff. One PEC members specifically recalled a training the week prior that discussed the topic of websites and how they are powerful tools that are underutilized, particularly in social services because social services have not traditionally focused on this kind of external communications. Members discussed how the website plays a critical role in attracting qualified candidates to CUA positions. All PEC members discussed how much they appreciate, and value staff given the incredibly hard work that they face daily, they understood that staff retention is not only an issue for them but for child welfare in general. However, PEC members highlighted the lack of resources, fiscal and human capital, to either build an attractive website or provide ongoing maintenance. Given the limited resources and fiscal constraints that they already face to ensure essential services are covered, unfortunately, expenditures for websites fall lower on the priority list.

Political- The political component takes into account the public funding structure that supports the CUA system and the responsibility and accountability that comes along with ensuring stakeholders (political and community stakeholders) are engaged and value the organization's work in the communities they serve. The explore this construct, the researcher looked for examples of how organizational websites displayed stakeholder engagement and how stakeholders shared their value for the organization's work. The researcher recognizes that any stories shared on the website are implicitly biased as they were selected and posted because of the positive nature. However, it is important to note that the researcher is looking specifically to see if CUA organizations utilize this medium to communicate engagement and value or not and to call

attention should this be a missed opportunity to promote these existing relationships. This is important because there is a responsibility to demonstrate public value with public funds such as those awarded to the CUAs.

1. <u>A priori code Engagement</u>- All three organizations consistently provided examples of stakeholder engagement and strategic partnerships with other organizations and political leaders on their websites. These examples came in the form of either highlighting partnerships with pictures displaying political stakeholder, "Success" stories prominently displayed under the "About Us" tab that calls attention to the CUA engaging their community in service projects, or the call for volunteers to engage in some sort of activity hosted by the organization. For example, one of the organizational websites boasts the success of a local tailgating party that uplifted and supported a neighborhood school that was struggling fiscally and also discusses the importance of community moral and describes CUA's contribution.

> *We partnered to provide a huge community tailgate party for the football team's first home game. We helped to provide over 500 hot dogs, snacks and beverages and 500 backpacks full of school supplies. Over 12 other agencies provided resource and information tables.*
>
> *~Medium Organization*

The researcher recognized the inconsistencies with how language was used to engage stakeholders particularly in the engagement around volunteerism. The positive and inviting tone which is used in the second example below by the small organization is a stark difference than the more direct call for volunteerism provided by the larger organization directly below.

> *VOLUNTEER OPPORTUNITIES*
> *We seek engagement from individuals, corporations, and groups to reach even more families and children throughout the city. We offer a variety of volunteer opportunities assisting some of our programs and supporting our events.*
>
> *~Large Organization*

PEC Input- PEC members briefly discussed how they see their role as a community "beacon" and the importance of serving their community with community service. It was also noted by PEC members that all CUA contracts have a community engagement component called "Strengthening Families" and more specifically a mandated program called "Parent Cafes" which aims to engage parents in building their parenting skills while providing peer-to-peer networks for additional parenting support. Almost all PEC members stated that their community engagement is not anchored by CUA but rather it is an important because it is mission driven work. This helps to explain the emphasis of this narrative on CUA websites.

2. A priori code Value-All three CUA websites were intentional about highlighting their demonstrated value to the community. There are stories and event images throughout each website -mainly found under the "Events" or "Success Stories" page- that provided evidence of how individuals in the community valued the CUA. The researcher looked for images and narratives that captured the induvial community members supporting the CUA's work. For instance, one. website highlighted images of an annual winter coat giveaway, while another

organization held a community picnic whereby free food and activities for their community was shown and yet another participated in community job fairs. The researcher recognized how different the highlighted events and stories were but realized they all carried the sentiment of community value. One youth client boasted:

We be learning/ getting some jobs in return. Here they teach us about real life/ not 'x to the two'/ they "should come to my school/ teach a lesson or two."

~ Medium Organization

While another organization tells value through the staff voice:

was a nurturing mother, and there was never any question about her ability to parent." "[She] had a hard time speaking up for herself, so I encouraged her to talk to her case manager and build a bridge. She learned that relationships matter, and that she does have a voice."

~Large Organization

PEC Input- Discussion for this a priori code was had in tandem with the engagement discussion above. Thoughts and insights were the same.

<u>*Symbolic*</u>- The symbolic component refers specifically to organizational culture. Organizational culture drives performance because the shared beliefs, values and norms provide clarity on expectations and behaviors. To reiterate from above, a learning culture has been associated with sustained organizational performance. Equally as important to culture in performance literature is organizational stability, particularly in non-profits of which all CUAs are non-profits. Stability is important to performance because individuals are a lot more likely to perform when they are not worried about job stability. To this end, the researcher looked for two a priori codes associated with organizational culture: learning and stability.

1.   <u>A priori code Learning</u>- Two of the three CUA websites displayed evidence that learning was an important component to their organizational culture. The researcher searched each webpage looking at culture or service philosophy statements, core values, a strategic plan executive summary or positions that would supports organizational learning. More specifically, the researcher looked for key words including but not limited to innovation, best practices, creativity, data-driven and learning. The medium sized organization's website includes innovation in their "Vision and Values" statement, *"We embrace innovation, community-based care, evidence-based practices, and ongoing quality improvements."* Additionally, when the researcher asked for strategic plans, this organization was the only to provide access to an Executive Summary of their strategic plan in which one of their goals was to "*Upgrade all programs information management processes to support timely and effective data driven program management.*" Unfortunately, this executive summary was not available on the website and was only accessed when asked particularly to help explore this a priori code.

The larger organization who has the privilege and access to additional supports due to their parent company infrastructure, has access to a position entitled, *Managing Director, People, Learning and Culture.* This is in addition to an internal infrastructure that include a research and evaluation group which indicates a level of ongoing support and gathering of new information to be shared for learning purposes. The researcher did not find any evidence of a learning culture for the smallest organization.

PEC Input- PEC members discussed the desire to achieve a learning culture but were unsure of how to do so. The conversation around learning largely centered on the use of data to drive decision-making mainly at the program level. The use of best practices was also discussed in relation to developing a learning culture.

2.   A priori code Stability- All three organizations boasted longevity with respect to child welfare services. The researcher explored websites to see if organizations communicated their tenure and or growth within this arena. This information was found under the "About Us" tab of each website. All organizations have existed for over fifty years with the youngest being sixty-five and the eldest being over 175 years old. The researcher also considered growth as an area of stability. Under each website, organizations have grown significantly because of the CUA contract enabling them to service more families and more neighborhoods. In fact, significant growth was seen in the medium and large organizations given the multiple CUA contracts that they have both obtained over the years.

PEC Input- PEC members really had not significant contribution to this conversation as they all feel a sense of stability for their organizations. There was a brief conversation about the instability of CUA but members feel as though that conversation has passed and that the CUA model has been cemented in Philadelphia for the time being as long as performance continues to increase and stabilize.

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RESEARCH QUESTION 3: How are leadership factors influencing performance among CUA case management service providers?

The literature review for this study identified key facilitators to improving and sustaining organizational performance. Chief among these facilitators was creating a learning organization which requires that leadership have certain elements present. The researcher looked for several of these elements by exploring leaders': 1) systems thinking capabilities or ability to see how all components fit together and how the system addresses new ideas and learning, 2) existing critical thinking mental model or ability to challenge themselves and others to grow, and 3) having a clear

understanding of the organization's vision and whether that vision is in alignment with the vision the leader has for self.

Systems Thinking- Systems thinking is important to performance management because one must understand the various components and how they work together in order to properly measure them and ensure that they are working "in sync" to bring forth optimal performance. Systems thinking is especially important in complex systems such as child welfare whereby many components must work together simultaneously. A system thinking approach requires an open mind, curiosity, and flexibility- many of the same characteristics found within a learning organization. To this end, two codes were used to define systems thinking- learning and connections. Participants shared their perceptions on what leadership traits contributed to creating an environment where learning was prioritized and valued as well as perceptions on how their role interconnected to others within the organization or how functions worked together.

A priori code Learning- When asked specifically about what leadership components they felt contributed to their organization's ability to adapt to new information or new ideas, participants shared their experiences about how information flows from one level to the next.

- *Theme: Lack of formal processes to capture new ideas-* Several participants were overt in saying that "we have no real process for this" speaking about the ability to ensure diverse perspectives and thoughts are shared within the organization for purposes of learning. Others described examples of how they witnessed information flow from one hierarchy to another. For instance, one participant described how a new program idea was generated by the CEO and lower level staff were brought into the fold to share their experiences and thoughts on whether it was a good fit for the organization prior to pitching the idea to the funder. Conversely, another participant shared their personal experience on how they thought moving

a group of workers under their department would improve compliance within certain domains in the CUA. In this experience, the participant had relationships with the CUA Director and the CEO and pitched the idea to them directly which does not provide clarity on what happens to the ideas and thoughts of those who may not have relationships with executive leaders in the organization, such as lower level staff. When the researcher probed about lower level staff and the channels for them to share their ideas, all participants stated that it occurred but it was described in loose terms that "staff tell their supervisors and supervisors move the idea up the chain." Or that it "comes up" in staff meetings where leaders are able to move the idea forward. Generally, it was left up to the staff member to initiate this conversation within the hierarchy and then that leader decides whether or not to move the idea forward. One participant stated:

> *"We do fall back on that hierarchy. Staff would share with their leadership in their team meetings and that gets shared at that leadership level and then it gets brought up to the next leaders."*

Interestingly, one participant shared their frustration in trying to stay up to date on new information themselves for sake of effectively leading the organization. The inability to systematically engage in this kind of routine information gathering is described below:

> *"I wish it was a more systematic in a sense of how we bring it in. It would be wonderful to have a Chief Research Officer you know, someone that's out there scanning for new trends and practices. I mean I try to do it, but it's like I'm reading an article here and there. It makes me feel like I have leadership ADHD."*

The lack of ability for any participant to describe a formal process for which information is gathered, captured or shared for purposes of organizational learning was noted. Despite participants' ability to share experiences/stories, intentional learning processes were absent.

- *Theme*: *Engaging and empowering staff helps with the organization's ability to adapt-* As mentioned above, several participants described their perspective on the importance of

empowering and engaging staff so that new ideas can be heard. One participant described their "open door" policy as a means to engage staff and facilitate this kind of organizational learning.

> *"I try to be, you know, collaborative so I don't make decisions in a vacuum. My staff know I have an open door. It's not just my staff, the organization knows I have an open door so anybody can come to me at any point in time and say "hey, I think if we did this differently, we could do it better and be more efficient at it."*

Another participant described the importance of ensuring that staff feel "valued" in order to garner buy-in so that organizational adaptation when faced with new information can occur.

> *"I think I try to be caring and people centered. We all know that like, people will work really hard for you when they feel valued. But if they don't feel valued, we can have like the best information and the best strategies in the world, they will not carry it out and it won't matter."*

- *Theme: Data is important to innovation and learning-* Many participants discussed the critical role data plays in organizational learning and their ability to engage in performance management from a day-to-day operations standpoint. An example of how data is used to highlight deficits and address performance is described by one participant below:

> *"I see things through data eyes. And sometimes I have to roll it back to humanistic eyes, so I can see the human and the data. Yeah, but I see, I see the data and the data makes suggestions. I run to my Director and say "hey we need to take a look at this unit in particular because I see that they're not meeting this standard."*

You can also see the participant addressing the delicate balance of ensuring that a "humanistic" approach is taken when addressing the issue that the data is highlighting. Other participants were also sensitive to this issue and talked about how using data to inform practice changes in the CUAs was new(er) to some front line staff, largely referring to Case Managers and that it takes time to see the shift in performance. The issue of timing in relation to data and practice changes for purposes of improving performance arose in other conversations as well. One participant describes the frustration in lag time due to a lack of resources:

> *"I understand that we have to be flexible and respond to what we are learning from the Scorecard. I think that we have a forward thinking leadership where as though we're ready to embrace change and make those changes but then when we look at our resources to do it, it may*

not happen in a timely manner or in the time that we really would like for it to happen or that we even need for it to happen and so, you know, those things really put a little bit more stress on us because we know what you need, but if we don't have all that we need to make it happen, it can be a little bit more arduous to make it happen."

While most participants described their organizations as being "data-driven" when asked what data-driven meant, participants primarily responded with allowing data to tell them where their strengths and weaknesses were in relation to their performance on the CUA Scorecard. Participants were able to recount stories of how data informed large and small practice changes that led to improved CUA Scorecard outcomes. Some used data to identify "low hanging fruit" such as obtaining assessments to help focus staff and give them some "immediate wins" while others described larger infrastructure changes such as restructuring entire units within the CUA to align functions more appropriately. Regardless of the type of changes, participants attributed this these changes to having access to data, better understanding the data and then the ability to think more critically and creatively about how to use that date to improve performance.

In relation to data driving decision-making, participants also mentioned the importance of having a strategic plan in driving decision-making. The researcher did ask for copies of strategic plans from all target CUAs and only one CUA had one. The other CUAs stated that they had strategic priority areas. Regardless of plan or priorities, participants felt that having a clear strategic pathway in which data was used to inform that pathway was important to counter mission stray and drive performance.

A priori code Connections- Participants were asked to describe how their role interconnects with others in order to better understand their ability to see the system's components and how those components are interrelated. Almost all of the participants described child welfare and CUA

specifically as a very complex system with many "moving" parts. One participant compared child welfare to other clinical disciplines by saying:

> *"There are no clear treatment pathways in child welfare. Every single case is unique and requires its own treatment plan. Unlike other clinical arenas."*

- *Theme: Administrators and Programmatic leaders benefit from understanding each other's work-* When describing the components and complexities of CUA, participants discussed the importance of understanding each other's work in an effort to improve performance because the child welfare system requires so much dependency on each other's functions. Participants used phrases like *"everyone depends on everyone"* and *"CUA is a team sport, you will not survive if you try to go at it alone."* However, participants also recounted times where the complexities of CUA (e.g. the systems, protocols and practices) have caused tension and frustration between administrators and program staff which is not conducive to optimal performance. More specifically, one person highlights their frustration that while one component of the system has very rigid and often delayed guidelines (ex. Fiscal) the other component (Program/Operations) requires flexibility and speedy responses to urgent needs. Participant's thoughts below:

> *"I think that they understand that we have a budget, and that you know, we have to enforce certain budget responsibilities. I think that more often than not, they get frustrated because you know if they're out with a child right now, and the kid has nothing to eat; they need to pick up some food. They don't want to hear that they've got to go through this process before they can purchase the food. In their mind, the kid needs to eat now and this needs to happen now."*

To this end, several participants with largely administrative duties gave credit to the importance of having relationships whereby they were able to learn programmatic logics and requirements from co-workers. Other participants attributed this level of comprehensive systems understanding to tenure. In other words, people felt like they could see how CUA components fit

together clearly because they've either had a hand in writing the CUA grant or they've been in CUA since its inception or they've had several positions within their CUA.

> *"Understanding all of the systems in CUA is hard. But, like I said many of our current leadership team has walked in the shoes of a case manager, so we know what we would have to do at that level. Many people have been supervisors and we know what we're doing at that level and so on. It matters when you've had that vantage point."*

Leadership Mental Models- This construct takes an introspective look at the leaders within the organizations housing CUAs. This deep dive into their own personal reflections, experiences and leaderships styles aims to explore the following questions in relation to their contribution to organizational performance: "How they think", "What they truly want", and "How do they interact and learn with one another." To this end, the researcher utilized four a priori codes to define leadership mental models: mastery, experiences, vision and efficacy.

A priori code Mastery- The Mastery code is used to explore how leaders are holding themselves accountable to continued leadership growth. The researcher specifically looked at which leadership traits leaders thought held them accountable for their behavior, or a leader was critical of self, used reflection as a tool to challenge their own mental model, and or was able to share stories of specific personal leadership growth experiences. Themes that emerged when exploring these questions were:

- *Theme*: *Honesty and transparency* – When leaders were asked to describe their personal leadership style and how they hold themselves accountable for the organization's performance, many participants described themselves as leaders that "do not micro-manage" or leaders that use more of a "consultative" approach meaning that they provide a task and let their staff carry out the task accordingly and really only deal with issues if there is a problem. This is described by two participants below:

> *"So, for me, my personal leadership style is probably a little bit more, um, I'm not like I said, I'm not a micromanager at all. So I believe that you give the folks the tasks to do, and then they will*

let you know if there's any emergencies or anything that comes about during the course of the day that I need I need to be pulled into. I think my staff responds great to this style of management."

"My leadership style would be one of consultation. One of accountability. And I would say, I'm not one who's a micromanager so I would say, I allow people to learn."

However, when the researcher probed for a deeper understanding of what these statements meant to participants, or what traits in their leadership style they value most, many of them shared that they value honesty and transparency about themselves and expect in return from their teams. Participants discussed the importance of honesty in terms of being able to hold their team accountable and themselves accountable. The core of the statements above meant that leaders were honest and transparent with their staff and that in return, their staff would be honest and transparent with them in regard to carrying out tasks and asking for help when needed. Several participants shared the sentiment that you cannot expect honesty from your team if you are not willing to be honest with yourself first.

Other participants defined their leadership style as being "strategic," "practical, and "collaborative." Again, when the researcher probed participants to discuss the underlying traits that supported these leadership styles, honesty and transparency remained at the core. One participant described the importance of being honest and transparent about their leadership style because they embrace change but recognizes that others do not:

"I say this to people who report to me. You know, like, I reserve the right to change my mind. I got new information, important information. No seriously, I know I'm hard to keep up with, but there's a rationale there. I am a very flexible and adaptive leader. I actually enjoy change, I can ever imagine anything staying completely static for too long. I think what I've learned over the years is that just because I am very comfortable with it and often feel like I want to drive it, you need to bring people along. You need to communicate upfront so they can hold on tight."

- *Theme: Accountability is Mutual-* Accountability is another theme that emerged when discussing leadership styles as briefly mentioned above. Along with being transparent and honest, participants felt that accountability should be a measure that cuts both ways and is

inextricably intertwined to performance. One participant talks about "guiding" staff, but that providing guidance is not enough if there is no accountability with that guidance. In other words, their own measure of accountability is to see change occur and that would only happen if they held staff accountable:

"I'm very much going to guide you along the way. But I believe that, there has to be some accountability in it for both of us. You know you can keep telling people you're guiding and helping but if you never hold them accountable for what you are guiding and helping them in, are you really helping? You may end up not achieving anything, right and that also reflects on me as a leader."

Other participants spoke about accountability of self by inviting their team to hold them accountable. As indicated below:

"I'm an open book, I love getting feedback from my staff, I'm not a leader that's telling you what to do all the time. I want your feedback because you are the people that's doing the work right."

This discussion of mutual-accountability also showed up as being "Team-oriented" and "collaborative." When probed, participants felt that when you create an environment that is collaborative, *"you invite open dialogue and constructive criticism from both parties."* Several participants felt that a collaborative team helps leaders grow because *"you may not know what you don't know."* Meaning, that collaborative environments helps leaders identify "blind spots" because as one participant stated, "*no one is perfect, we all have to be held accountable."*

- *Theme: Role Clarity-* It is difficult for leaders to master a role when expectations are not clear or are misaligned. Several participants shared stories about how their leadership style may not be "showing up" at its best because the expectations of their role are unclear or there is dissonance between what they perceive their role to be and what others perceive their role to be. One participant shared their struggle of wanting to be transparent with staff about the data trends they were witnessing within their CUA's performance but found that some staff did not receive this information because they were questioning whether or not

this kind of information should be coming from them at all. When asked if their role was clear to others in their CUA, they answered:

Well, I would probably say no. I would probably say when it trickles down probably to case managers, they might not fully understand my role, and so they may be a little bit apprehensive when they see things come from me, or the magnitude of what it means when they see something come from me. They probably want to say, why isn't my supervisor telling me that these things are late, or they don't open my email at all.

Another example of role confusion emerged when several participants discussed how DHS perceives their role to be and the reality of what their role is in their organization. For instance, one participant spoke personally about DHS' expectation in that they expect high-level leaders to "know every case" and then stated that:

"At my level, it is impossible to know every case, especially not when I have a very competent CUA Director, but still I got reamed out for not knowing. It's like they forget that I have a whole agency to run with many other programs to oversee."

This issue of role confusion contributes to poor performance because it does not provide the clarity people need to master their own skills in order to perform in that role. This was captured with the short story provided below:

"DHS sometimes confuses our staff because they want to treat them like they are their staff. When our staff are confused about who they should be taking direction from, it causes ripple effects in our cases. We are not mini-DHS' we are separate organizations and they need to understand that. We have our own way of building our teams and it does not have to look like the DHS way."

<u>A priori code Efficacy-</u> Related to the role clarity theme discovered above is the a priori code of efficacy. Efficacy is defined by a leader's confidence in performing the duties and tasks assigned to them which impacts their ability to achieve optimal performance.

- *Theme: Leaders became more confident in their ability to perform in their role as time in their role increased-* The researcher asked participants how comfortable they were in their role and how long it took to reach this comfortability. Essentially, several participants shared the sentiment that the more time they had in the role, the more comfortable they felt

with their performance. Another participant stated that they were newer to the role, but "had enough to get by" indicating that they have not yet reached full confidence:

"So, I think I understand, but not fully only because I just came on as a Senior leader over the last two months, so I'm still learning as I go, especially with the next layer of responsibility, and request from our external stakeholders. And so I would say that I feel like I have enough knowledge to get by and with more time, I will get there, but I don't know the full capacity of what everything entails and the demands currently."

Interestingly, there were reflections about how that confidence was achieved. Some talked about length of time (years) in the same role, while others talked about length of time with the organization and exposure to the role. Two examples to illuminate these conversations are:

"I fully understand my role, although you know someone told me when I moved into this role, it takes five years and at the time I thought, oh that's probably not true. Been here seven years I think maybe it is a little bit true. Now, if you asked me if I meet all the checks on the checklist, I'd so No because there are lot of checks."

"Oh, that's a loaded question because I have been with the agency for over 30 years. You know how you feel like when you observe somebody else doing the job you think you sort of understand it... And then when you do it you get smacked in the head. I'm just coming out of the smacked in the head phase. So, I feel like I get the gravity and the weight of the position, you know what I mean. Now do I always feel like I can put my arms around every piece of it like I'm supposed to...No, but I feel like I at least have the grasp of it like I know what I'm supposed to have my arms around.

It is important to note that in both cases, participants felt like in time, they fully understood their role but still struggled with meeting its full scope and expectations. This is an important finding because knowing and understanding the role is half the battle but executing the role is the other half when it relates to performance.

A Priori Code -Experiences- This code highlights the value of experiential learning in performance. More specifically, experiential hardships were among the chief facilitators for shifting mental models among organizational leaders.[126] Experiencing hardship is thought to help

create space for leaders to practice reflection and learn and grow. To this end, the researcher asked participants to reflect on a particularly difficult time within CUA that they had to navigate through as a leader. Two themes emerged from these conversations.

- *Theme: Hands on experience during change was important to leaders-* Participants had no shortage of tough situations to discuss when it related to CUA. Many reflected back to the beginning of CUA when there appeared to be major confusion around policies, systems and practices. Some participants described the beginning of CUA as "disruptive" to the organization and that it required a lot of "intensive efforts from everyone." On participant stated:

  "everything was just so different back then, even with DHS because they were still writing the standards and guidelines while we were trying to implement them. Chaos."

  When asked to elaborate, the same participant went on to describe the environment:

  "We didn't have a clear focus in terms of what were the priorities. I mean we kind of knew, but there were a lot. There were a lot of things happening at the same time, and things weren't aligned. I could see like we weren't complying with, our visits the way we should have been doing, but we didn't have a good way of tracking it. So I was seeing all of that. What was also happening is that we couldn't get good data from DHS. And when I first took on this position, I actually tried to set up a process for utilization reviews to help us do better with permanency, but then we realized that people were struggling with just the basics of understanding CUA altogether."

  In this scenario, there researcher went on to probe the participant about whether they felt that they had grown from this experience and the participant shared:

  "I did in that it just gave me exposure of what could happen. You know to be part of a large transformative initiative, and to see some of the challenges and the ripple effects that was helpful. You see the ripple effects of the data warehouse crashing, us not having data. Then, you know, things aren't being aligned with the training. It's just like that perfect storm. Yeah, So, that was a good learning experience because then soon after, I got into my new position. We took on a federal pilot. That to me had very similar dynamic, just in terms of trying to take something like a large scale and trying to make sure everyone on the same page."

This kind of hands on experience with CUA was valued by other leaders. Experiencing the tough times within CUA was a valuable experiential learning moment that others felt helped them learn and grow, just as the participant above described. Another participant shared their experience in CUA when a case led to an Act 33, which is when a case goes under intensive review due to a near death or death/fatality and is suspected of neglect or abuse. This participant shared how this experience taught them the value of team. When asked what and if they learned anything from this experience, they shared:

"I actually did, and what I'll say is that I didn't have to do it all alone. In my mind, I was thinking "You to QA director, you're the person that's going to do this", and no it wasn't like that at all. I was able to reach out to colleagues, reach out to my staff and be able to pick their brains and get their input as well. So, I figured out that it is not just all on you, you have a team, you have support. Don't close yourself off thinking that this is your job you have to do this all alone, no, open it up, get input and feedback from others as well."

Within the same vein, hands on experience and holding various positions within the CUA was also valued in terms of leadership growth. Participants felt that when you have successfully "come up through the ranks" you are more knowledgeable about the job and that better prepares you to perform in a higher role. Ultimately, experiential learning was deemed an important and valued facilitator in performance not only for themselves but also for their teams as captured here:

"the training was good, it was over, two half days, that he really just did a learn-apply model so he didn't stand there and lecture. It was more come up with a problem and then he walked them through it so by the time they left they had a problem with the beginning plan of how to approach at least like what's the next set of data they want to collect to address issue."

A Priori Code -Personal Vision- This code brings to light the importance of personal vision and organizational vision alignment. The assumption being tested is that performance is linked to job satisfaction, and a large piece of achieving job satisfaction is ensuring that there is personal fulfillment. Personal fulfillment in this research is defined as alignment of vision. The researcher

specifically asked participants about their personal vision and if they felt as though they were fulfilled in their role.

- *Theme: Personal and organizational vision alignment creates stability-* Several participants referenced their longevity with the organization throughout the conversation. Some had been with the organization for over thirty years, while others were as new as a couple of years. All participants had been with the agency for longer than a year albeit in various roles. When asked about their personal vision, the participants who had served for many years we eager to talk about retirement. However, two of the participants referenced retirement but expressed interest in remaining connected to the organization or child welfare in general. Both recognized an a need and an opportunity to address long term sustainability for their organization and they wanted to continue to help the agency grow which is a strong indication of their commitment to the organization and the alignment that the organization had with how they see their own future:

  "No, I'm gonna be really frank, I would love to retire, no later than 65 and that's only few years away. And my vision for retirement and I'll tell you now because if you're still at Tabor, make sure you get my contact information; is I would love to do, like, you know, write proposals for organizations like ours. I'm a great proposal writer. Every grant I wrote, including the CUA we got. I can help with anything that requires writing like writing your compliance plan, writing your plan of correction. I feel like that could be tremendous supplemental income but still gives me plenty of time to sit on the beach while helping social services organizations that don't really do well in this area."

  "I would like to be able to transition over the next six years to bring in a good CEO, And then have another role. I'd love to establish like a foundation for my organization. Not that I enjoy fundraising that much, you know it's not exactly in my comfort zone, but it's so important to the health of the organization, and I feel like I've learned enough that I could do it well."

Other participants shared stories about their employment history and how the mission of the organization and the work the organization does for kids and families keeps them engaged and motivated. An example of the discussion from one participant:

"My personal goal and vision is to find ways to create opportunities for my organization to serve more families. To give more resources, you know, to find different programs that we can use so that we're making the agency a staple organization for resources for the families that we currently serve. I just want to find more creative ways that we could be intentional in our outreach, and just making sure our impact is being heard and viewed, and, you know, that's the kind of stuff you know my job and my vision for myself is, you know, how can I take our organization further than where we are now."

When the researcher recognized that the vision of self and organization was so tightly aligned, the participant was asked to describe how this came about. Their response was:

"This is my first not for profit position, and organization and, you know, I had come from a lot of for profit organizations, and I just got tired of doing the accounting for organization that didn't have any substance and were about the bottom line. And when I learned about the mission of my organization and you know what exactly they were doing, I knew right then and there. My personal belief in children and seeing children be positive and creating these opportunities as someone who you know come from a background of poverty. To be able to channel, what I could bring to the table to make a transformation to the children we serve was impactful enough for me to come here and stay here and I left and I came back just because of how strong I believe in the mission."

The above excerpts provide three different examples for how vision alignment creates stability for the organization. The first two participants wanted to address fiscal stability even after they anticipate leaving their organization. Their vision for life after retirement still included the organization. The other example brought back an employee that had left the agency but was committed to the work and felt that the work environment and mission was more aligned with his envisioned career path. Some sentiments shared by participants highlighted the desire to try a different career path or spend more time with their family but expressed satisfaction with their current position and organization until the alternate vision for self could be achieved:

"I'll be honest, usually around this time, I get a little bored. Right. So I start to look and wonder what will be my next move. And honestly, I have not had that feeling here. My personal vision would be not having to report to an employer at all. For my family. In the morning my daughter hates when I go to work, she tells me all the time like you always have to work. So I want to be able to be around my family more. That's my ultimate goal but I am cool where I am at until I can make my ultimate vision a reality. For right now, taking care of my family and loving what I do is my current vision."

Whether employees left and returned, planned to retire and still served or remained until their ultimate dream was possible, personal fulfillment and vision alignment led to a strong sense of commitment from the person and stability for the CUA. This is especially important given the turnover issue rampant throughout child welfare.

Vision- Similar to the discussion above, vision within an organization serves as a beacon needed to move the organization forward with clarity and purpose. A shared vision is one of the central tenets found within a learning organization because it galvanizes teams by garnering a collective sense of ownership for the trajectory of the organization. Performance in a complex system such as child welfare requires a unified team approach. Thus, this construct takes a closer look at how teams learn and grow together to achieve optimal performance. To explore these areas, the researcher used three a priori codes: external vision, team learning and team stress.

A Priori Code -External Vision- Vision developed internally by a team serves to unite the team which is the ideal environment for sustainable performance; conversely, when a vision is developed externally and is not supported by the mission, purpose and/or core values of the organization, employees grow weary of trying to figure it out and disconnect from it, thereby decreasing performance.

- *Theme: External influences on vision and culture creates frustrated teams-* Participants were asked to describe the environment that their teams perform within, and whether they

felt that their teams shared the same core values and had a shared vision. During this conversation that the importance of a strategic plan was raised. Several participants spoke to the importance of having a strategic plan to facilitate shared vision and values such as being more data-driven as captured by this participant:

"I think it helps guide us in terms of, you know, some of the questions that that plan makes us ask and that have a heavy reliance on data. You know, helps us make informed decisions around implementing the plan and serving our clients."

Others provided reasons as to why developing a strategic plan was not easy process for them and how it has impacted their performance. Reasons ranged from organizational capacity meaning allocating the fiscal resources needed to hire a consultant with strategic planning expertise to time and effort needed to undertake this laborious task.   On participant states:

"So we're definitely spending a lot more time now on, you know the cultural work and a strategic plan so we can have shared values and shared language that unites us across the organization, but that's going to be like a, you know, a multi-year project. It's something like we are just beginning."

While another participant spoke about the delicate dynamics of coordinating their strategic priorities within their parent organization's strategic plan:

"I mean if we have a strategic plan that's out of line with, you know, our parent company's vision, it wouldn't be able to operate. So we had to create priorities that fall within their plan. Not the ideal but it is what we have."

When the researcher probed participants to better understand the impact of not having a strategic plan, participants shared that their organization suffered from cultural conflicts not only internally but with their semi-autonomous partners, which translated into frustration, confusion and disconnect within their teams. Several participants discussed this frustration when CUA arrived. One participant shared that the culture of the organization was more positive before the CUA. Not having a strategic plan in place when the organization grew so rapidly with the CUA, allowed new staff who were external to the

organization and were unfamiliar with the organization's culture and thus not committed to upholding the culture *"introduced bad behaviors into our family-like culture."* Participants shared stories about bad behavior like not abiding by timelines, disrespecting other members of the team, quitting on the same day, leaving team members with an abundance of sudden work and fraudulent paperwork. Interestingly, participants also shared that they thought the work demands and lack of clear direction for the CUAs placed staff under extreme stress which helped them develop the bad behaviors that negatively impacted their culture.

Other participants shared their perceptions about the lack of focus sometimes felt within the organization due to no strategic plan and how that leads to frustrations among teams, particularly when teams are pulled in multiple directions from external partners. Two participants shared:

"I think the challenge is, at times a lack of discipline, to really optimize like what we do. And we could argue with lack of discipline there's, there's also bandwidth issues as well like capacity, we are stretched pretty, pretty thin, but you know like I feel like there are a lot of, like initiatives that'll start and then sometimes they fizzle out which causes lots of frustration with folks."

"I think there's similar tension with DHS right. On one hand, we're like, oh, we see you as key partners and, you know, we're not here to manage you, we're here to partner, and then, you're really stepping into our management practices."

Not having clear core values, a shared vision or strategic plan that serve to guide the organization's culture provided room for external influences albeit staff, or other organizations to negatively impact how teams functioned within the organization.

A Priori Code -External Team Learning- The researcher explored the underpinnings of team learning which is rooted in team trust and sincere relationships. When participants were asked about the nature of the relationships within their teams, responses ranged from *"they are what they are at this point"* to *"I think we have good synergy."* However, when describing these

relationships, the researcher asked participants to dig deeper about their thoughts on motivating factors for their team's performance. The theme that continued to emerge from this conversation centered around staff moral and empowerment.

- *Theme: Teams that feel valued are more open to learning from each other*- Participants shared their stories about how they witnessed "pain" points within their team's performance. For instance, some participants talked about staff not fully understanding CUA and having to t adjust their own expectations around performance in order to train their staff on fundamentals that would help them perform better. The researcher interpreted the following statement as empowerment because the participant adjusted their own mental model and expectations to prioritize the needs witnessed in their staff over their own.

  "So, you know, we, we had to kind of change our expectations. So that was a little hard for me and then working with the team to train them on the basics but it was about what they needed not me."

  Training continued to come up as a method of learning and empowerment for CUA leaders. The researcher heard many stories about how a leader, or the organization itself has had to adjust to meet the needs of the staff rather than just pushing performance. This is an important note because it speaks to one the major critiques in child welfare regarding staff being undervalued and under trained. Participants also talked about empowerment via coaching and building leaders. One participant shared their philosophy, "*Build the Leader, Grow the Organizations.*" While another participant shared the same empowerment sentiment of focusing on the individual's growth and not just their work output:

  "Just don't always talk about the subject matter component. For instance, we don't want to just talk scorecard, we want to talk about how we build leader competencies. Whether you're leading a CUA or whether you're leading a manufacturing company, whatever you might be doing, how do I grow that level of competence, so that you're going to be more successful as a person, as a leader and if we have more competent people, we're going to be a more capable organization."

When the researcher asked about how this empowerment approach translated into performance on their team, participants spoke about how it helps needs to address the high turnover rates and how that decreases productivity in a large way because it stalls the case but also shifts the burden to the remaining staff. Essentially, participants felt that building leaders to better lead teams is important because "*people leave organizations because of people*" said one participant, indicating that people are the ones that have the ability to make someone feel valued and when staff don't feel valued, they will leave. Conversely, participants felt that when staff are on a team that makes them feel valued, they stay longer, and they work harder for the team and the organization which is captured below:

"One thing that I miss about this is that it always felt like a family even though you still have that dysfunctional part. That caring nurturing family environment made me want to come back to my team and help out any way possible."

At the core of the empowerment conversation was ensuring that leaders demonstrate value to staff by providing a supportive and nurturing environment for them to share their ideas, thoughts and experiences in order to learn and grow together as a team. One leader uniquely pointed out that while they strive to empower people, staff may still not feel empowered because their definition of empowerment differs from hers. This was an interesting point to capture because this research does not test the translation of these empowerment approaches even though leaders clearly believes it makes a difference in the team's ability to performance.

- *Theme: A constant state of crisis management inhibits team learning*- When the researcher asked participants to share their perception about how knowledge transfer occurs within their teams for purposes of learning, several participants shared that they have a hard time carving out time for learning to occur. Time was one of the biggest challenges for team learning in the CUAs for various reasons. One participant describes a lack of time because

of so many administrative/paperwork duties that are required. Another participant shares that the nature of the work is crisis management which puts them in a "*reactive framework instead of a proactive and planful one.*" The term "crisis management" came up several times from different participants as a barrier to learning and performance. For instance, when one participant was probed about the power of debriefing, their response was:

"It's incredibly hard in the CUA world given so much of it is crisis management, like you said carving out the time to actually prioritize debriefing so that debriefing can turn into learning is a real struggle because by the time you debrief sometimes the staff have already moved on to the next crisis for the day."

Some wished that the child welfare system would use predictive analytics to be more proactive so that maybe some crisis could be avoided. Being proactive was another term used by several participants to try to describe their ideal way of managing stress in order create a space for their team to learn.

A Priori Code-Stress- How a team behaves under stress serves as a measure to the team's strength because it demonstrates their ability to pull together as a unit to collectively shoulder the identified issue. To explore this dynamic, the researcher asked participants about their perception on conflict and how their team deals with stress. Almost all of the participants stated that they valued healthy conflict. Healthy conflict was defined by "*having tough conversations that yield positive outcomes*" as several participants explained. Many participants provided examples as to why stress emerges within CUA teams which included many of the conversation pointed out above ranging from cultural conflicts, to turnover issues and competing priorities or people just feeling stretched far too thin. When participants were probed to identify how they helped their team deal with stress, the overwhelming response was by reminding their teams of the "why" they are doing what they do. Participants felt that bringing the focus back to the reason why they are all working

so hard (i.e. to help children and families/the mission), was the biggest motivating factor for pushing teams through conflict and stress.

- *Theme- Focusing on the "why" was an important factor for reducing team stress-* Participants shared stories about how they used "why" to refocus their teams in order to deal with conflict. One participant describes the frustration of trying to adapt to having a parent company whose culture is notably different than theirs and how the inability to communicate with shared language causes lots of frustration within their team but he keeps reminding the team about the families they serve. Another participant describes frustrations with enforcing "unreasonable" deadlines or the "mountain" of work that is expected from external stakeholders while trying to complete their day-to-day responsibilities. This same sentiment is captured below:

"If we stay mission focused on the job that's getting done from the organization as a collective, I think that that helps us deal with our frustrations and sometimes it means that we call it out by saying you know like, "I know that this is frustrating, but think about the child that's benefitting from this" and you'll hear someone say "you know, you're right." "You know we can do this," you know, that changes the dynamics of the environment at that point of time, then people get re-motivated at the moment."

The importance of keeping teams focused on the purpose and mission was characterized by one participant as "*the leader's job*" because if "*the why dwindles, people lose their focus and motivation*" said the same participant. The cause of team stress varied widely depending on the participant's position within the organization ranging from administrators responsible for managing large amounts of administrative duties with many deadlines, to programmatic frustrations with turnover and staffing relations to executive leaders having to navigate politics and DHS/parent company dynamics. The reason for the stress was less important to the researcher for this study, although the notion of crisis management and being more proactive to alleviate some of the stress was conveyed by several participants

and captured in the statement below from one person:

"You know, there are things that we should be able to see coming from using data. We should be able to prepare for it, so that it doesn't impact us in such a way that we are devastated when it comes. That would probably alleviate the stress of a whole lot of people, if we were more prepared for those things."

Understanding how leaders helped their teams manage stress was the aim of this a priori code exploration. It was overwhelmingly communicated by participants that stress and conflict was a part of the job in child welfare. However, the ability of the leader to refocus their team during stressful times on the unifying factor which is helping the child and family is what participants felt was the most powerful tool.

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RESEARCH QUESTION 4: What are the opportunities to enhance the current performance management system for CUA case management service providers?

To explore this research question, the researcher asked participants about their thoughts on what could be done to improve performance for the CUA system. The researcher was interested in learning about systems level improvements opposed to improvements that would help any one singular CUA or organization. To this end, several themes emerged from participants mainly focused on improving data systems and sharing, as well as system flexibility with regard to systems design to enhance staffing structures and funding allocations.

- *Theme: Data Systems and Sharing-* When participants were asked to share their thoughts about opportunities for system level enhancements to improve performance, almost all of the participants spoke about the need to enhance the data system currently in place for the CUA system. The chief desire mentioned centered around having the ability to access the data system opposed to relying on data to be reported out to CUAs. Participants felt that

having access to data in "real-time" would help CUAs make more expedient and more informed decisions about practice. One participant stated:

"I think we need access to data in real time, and access to the right data. Because that's it's an issue. You know, being able to access data that is, concise, that is structured in the right way. We also need to make sure that the right person gets the right data. Data systems aren't just for executive level people."

This participant raises two other important points voiced by study participants which are ensuring that the data is accurate and wanting to make sure other individuals such as case managers can also have access. Participants felt that if case managers had access to data in real time, it would help shift ownership of data and empower them to manage their own performance. Along the same lines, participants frequently mentioned why relying on "*data dumps*" as one participant referenced, is not productive and how much work goes into making the data that is received from DHS usable for the case management team. One participant captures timelines and efforts in their statement:

"We receive ticklers from DHS being as though we don't have full access to the DHS Connect system or the ECMS systems. They provide us with ticklers on a bi-monthly basis which used to be monthly. So, we synthesize that data, we break it down, make it nice and neat and send it out to the case management team."

Participants shared similar stories about how much time they've spent building internal data systems in an ACCESS database or even using Excel spreadsheets to try to track metrics that were captured on the Scorecard. Their efforts were to provide case management teams with more frequent data so that they are better positioned to make mid-course corrections to improve practice.

- *Theme: Systems Flexibility-* Another frequently mentioned enhancement was the need for additional flexibility to restructure the CUA the best way the organization sees fit. According to participants, DHS enforces a rigid CUA staffing structure that all CUAs must abide by. Several participants expressed a desire to reduce caseloads but suggested doing so by redesigning the current staffing structure. In some cases participants suggested trying different positions or in some cases ridding of certain positions all together as captured in the statement below:

"If I was designing the system, each case manager would have their own personal Case Aide. Forget the visitation coaches and forget the all those extra people we don't need all of those positions."

Participants felt that they *"were awarded the CUA contracts because they understand their communities, but DHS just wants to make mini-DHS'."* Staffing flexibility was not the only type of flexibility mentioned during the interviews. Fiscal flexibility was also mentioned by several participants. More specifically, participants mentioned budget rigidity in terms of not being able to construct the CUA budgets to match what they feel are their needs. Participants made sure to mention their understanding that it would be difficult for DHS to manage CUAs if they all looked differently, but felt that at minimum a conversation should be had to explore the needs of the organizations that are holding the CUA contracts. Better understanding their needs would help DHS better provide support thereby improving overall systems performance.

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RESEARCH QUESTION 5: *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*

The developmental evaluation framework holds the researcher responsible for bringing forth evaluative thinking to inform decision-making that supports organizational goals. To this end, the researcher cross-walked the data from the content analysis and from the thematic analysis and looked for co-occurrences. This was done in order to ensure credibility of data and to identify commonalities in data whereby the researcher could focus study discussions and study recommendations. Recommendations were drafted by the researcher and emailed to PEC members with a one-week turnaround time for feedback. Scheduling conflicts prevented the researcher from pulling a meeting together to discuss recommendations with all PEC members; however, conference calls with available members provided additional insight and feedback to ensure utility

of recommendation beyond the CUA system. Table XI below crosswalks the findings, themes and

study recommendations.

Table XI. Integrated Data Findings with Study Recommendations

CA Constructs & Findings		Interview Themes	Integrated Findings & Supporting References	Study Recommendations
Cross-Cutting Theme: Engagement & Empowerment				
PMS	*ORG*			
Performance Measures-Engagement Document analysis suggests a lack of engagement with CUAs on the selection and prioritization of CUA Scorecard metrics which is the tool that measures CUA performance.	*HR – Capital & Empowerment* Content analysis suggests that CUA organizations do not consistently publicize their HR function on their website. Not using the website to reflect positive work-place culture and to spread positive messaging to and about CUA staff is a missed opportunity to engage candidates and demonstrate their value and appreciation for CUA staff.	*Systems Thinking-Learning* Engaging and empowering staff helped with the organization's ability to adapt. *Vision- Team Learning* Engagement and Empowerment were the major tool in building relationships among team members thus, a facilitating factor in how teams learned and performed.	Engagement and empowerment were themes that cut across the PMS & CUA organizations. Engaged individuals feel more valued and are more committed to learning. An engagement framework ensures a diversity of perspective as well as collective agreement and buy-in to improving and sustaining performance. Hoon Song, J., Hun Lim, D., Gu Kang, I. and Kim, W. (2014), *Team performance in learning organizations: mediating effect of employee engagement*, The Learning Organization, Vol. 21 No. 5, pp. 290-309 Wells, SJ., Johnson, MA. (2001). *Selecting Outcome Measure for Child Welfare Settings: Lessons for use in Performance Management.* Children and Youth Services Review. Vol. 23, 169-199.	1. Consistent and intentional application of engagement and empowerment principles throughout the system will help increase and sustain performance.
Cross-Cutting Theme: Clarity & Accountability				
Reporting Progress Document analysis suggests the lack of role clarity and accountability to ensure knowledge transfer is occurring from one CUA to another in order to collectively move the CUA system forward	*Structural-Role Clarity* Content analysis suggests that there is sufficient role clarity in job descriptions to support important employee fit within the CUAs.	*A Priori Code - Mastery-* Leaders wanted their staff to hold them just as accountable to performing as they are holding their staff accountable Leaders want to be accessible to staff and DHS but find it hard to	Role clarity is important to functionality and performance. Role clarity could play an important part in clarifying expectations while creating an accountability structure to ensure knowledge transfer at the systems and employee level is occurring. Anderson, Derrick & Stritch, Justin. (2015). *Goal Clarity,*	2. Develop a comprehensive systems framework and corresponding theory of change that outlines the importance of a shared vision, mutual accountability, knowledge

in performance improvement.	It is important to ensure as much information about the CUA Case Manager position is posted given the high turnover rate in child welfare and the ripple effect it has.	balance that accessibility with work expectations. There is a need for additional clarity on what is expected in their role versus what is reality ***Mental Model-Efficacy*** Leaders became more confident in their ability to perform in their role as time in their role increased but still struggled with meeting role expectations.	*Task Significance, and Performance: Evidence from a Laboratory Experiment.* Journal of Public Administration Research and Theory. https://www.researchgate.net/publication/280732312_Goal_Clarity_Task_Significance_and_Performance_Evidence_From_a_Laboratory_Experiment	transfer, and goal and role clarity for each entity.
Cross-Cutting Theme: *Flexibility & Adaptability*				
	Structure-Flexibility Content analysis suggests that rigid organizations may not impede performance as much as the rigidity within the CUA program itself.	***Systems Flexibility*** Leaders felt that more flexibility with CUA structure would allow them to better tailor CUA to meet their community and organizational needs.	Flexibility enables adaptability needed in complex systems. Ensuring that organizations have the flexibility to fully embed CUAs within their organizational structures will help ensure cultural alignment and ongoing support. Michael, L.K.J. (2017). Examining the Literature on Organizational Structure and Success. Retrieved from http://www.cfps.org.sg/publications/the-college-mirror/article/1098. Accessed on 3.12.2019.	3. Embrace a strategic management frame to continually assess how subcontracted services fit into organizational structures, management practices and strategic priorities.
Cross-Cutting Theme: *Learning*				
Learning- Quality Improvement Document analysis suggests the lack of a formal quality improvement process to capture lessons learned such as the PDSA cycle but there is evidence that technical assistance is being given to CUAs to improve performance based on Scorecard outcomes.	***Symbolic-Learning*** CUA website indicates a value for learning but may be unsure on how to fully implement a learning culture.	***Systems Thinking-Learning*** Organizations lacked formal processes to allow idea-sharing to flow throughout the organization Participants felt that using data to inform strategy was very important to having a pathway to improved performance.	Creating a learning culture throughout the CUA system is critical to systems improvement. Quality improvement frameworks help provide formal structures to capture, practice and share important lessons learned while mitigating unforeseen risk from large rollouts. Strong technical assistance arms that are responsive to and can support CUAs with key learnings will help CUAs	4. Collectively decide on QI framework to intentionally capture lessons learned and to ensure that technical assistance arm has the capacity to help organizations translate findings into practice.

			address performance challenges. The Child and Family Policy Institute of California. Child Welfare Services System Improvements 11 County Pilot Implementation Evaluation: Initial Assessment Phase. Retrieved http://www.cfpic.org/sites/default/files/11_County_Eval_Phase1.pdf. Accessed on 2.26.2019.	
Cross-Cutting Theme: Data Infrastructure				
Measure – Capacity Document analysis suggests that DHS has the data tools, technological infrastructure and staffing capacity to collect and house CUA performance data but evidence suggests that the data warehouse is antiquated and needs updating.		***Data Systems Infrastructure-*** Participants wished for enhanced data systems to capture more accurate and timely data but more importantly, participants want access the DHS housed databases in real time to drive practice-based decision in order to improve performance.	Building shared data systems in collaborative relationships is an important driver in performance. World Health Organization. Monitoring and Evaluation of Health Systems Strengthening. 2009. Retrieved from https://www.who.int/healthinfo/HSS_MandE_framework_Nov_2009.pdf. Accessed on 3.10.2019.	5. Investment in technological infrastructure to ensure that all case management databases and technologies are built to be accessible to subcontracted partners, including but not limited to report generation.

V. DISCUSSION

f. General Discussion

The objective of this study was to explore performance management within the ever-changing landscape of child welfare. More specifically, this research aimed to examine the more recent trend of shifting centralized case management services to a more complex decentralized semi-autonomous structure whereby government and private organizations collaborate to deliver services. The research delved deeper into Philadelphia's subcontracted child welfare case management system and explored factors that promoted and/or inhibited performance and achievement of desired outcomes. Focus was given to understanding characteristics of the current performance management system, exploring organizational infrastructure elements and identifying leadership gaps. Lastly, the research produced recommendations that promote optimal systemic performance for improved child welfare outcomes in Philadelphia, PA and beyond.

The following chapter will discuss key findings from the integrated table immediately preceding this chapter. Because key findings were realized as a result of cross walking data from the content analysis and the deductive thematic analysis of interviews, the narrative will integrate these findings in the same fashion as to provide a more thoughtful discussion about what the study findings in totality meant to the researcher. The researcher will present overarching findings at the end of the general discussion section in an effort to sum up findings that continued to emerge throughout the study. For purposes of the general discussion below, key findings will be discussed by research question to ensure continuity of frame and to specifically discuss what these integrated findings mean in relation to the study's research questions and to specifically highlight any potential opportunities for growth and enhancements.

Key Findings: Characteristics of Existing PMS

- ***<u>Enhancement Opportunity- The existing PMS is effective but can be strengthened.</u>***

This research defined a performance management system as a systematic process whereby performance measurement information is used to help set agreed-upon performance goals, allocate and prioritize resources, inform those implementing activities to either confirm or change policy or programmatic direction and to provide updates on meeting established goals [127]. In this case, the overall PMS that is shared by DHS and CUA presented with four of the five constructs identified in the literature to be essential for effective performance management systems. However, the findings from this study found room for improvement within several areas but suggests that prioritization be placed on the following constructs as discussed in Chapter four: engagement in the selection and prioritization of metrics, intensifying the focus on learning and knowledge management, enhancing the system's ability to report progress and transfer knowledge, and building the system's data infrastructure to be more meaningful and accessible by all stakeholders.

Developing and implementing an effective PMS is no small task, especially for large complex systems such as child welfare. Given the enormous responsibility of the system, all systems changes must be met with careful considerations and well-coordinated efforts from a bevy of providers. For this reason, engagement of the entire provider network must be a top priority from inception, but especially from the individuals expected to perform within the systems. Intentional engagement of stakeholders in the selection and prioritization of metrics to ensure a diversity of perspectives as well as collective agreement and buy-in is supported by performance management literature because of its positive impact on overall systems performance [128]. The lack of participation left many participants frustrated because of a lack of true understanding about

the metrics, or because participants felt that they had critical information that could've helped better define metrics and the opportunity was lost. The sentiment below truly reflects how a lack of adequate engagement up front creates more work on the back end since DHS seems to be circling back to providers now to engage them in redefining the fiscal metrics:

"They put out some financial metrics which ironically I've argued with them they're measuring incorrectly. And they've actually just formed a work group with a few of the CFOs and DHS to review those financial metrics."

It is important to note that engagement should be ongoing and meaningful whereby individuals being engaged feel as though their participation matters and contributes to the overall goal; thus, it is just as critical to engage stakeholders in any changes that occur to metrics used to measure their performance as it is to ensure engagement is meaningful to stakeholders which can and should be measured.

Underpinning this entire study is the positive role that a learning culture has on complex systems improvements. While the PMS studied had evidence of its intentions to *"share best*

Growth will be measured over time, with monthly leadership and bi-annual data review meetings between CUAs and DHS to review progress or to adjust technical assistance for problem areas.

In addition, the following actions will be used to ensure ongoing accountability and improvement:

- *Targeted and prioritized technical assistance by DHS for any areas below three bells*
- *Peer mentoring to encourage sharing of best practices among CUAs within four or five bells*
- *Submission of a CUA Plan of Improvement with action steps to the Commissioner within 30 days of the annual Scorecard*
- *Specialized trainings*
- *Organizational assessments for CUAs with one and two bells. This process is led by DHS to facilitate major practice and management change.*

2017 and 2018 CUA Scorecard

Despite the mentioned intentions, there was a noticeable lack of evidence highlighting how the discovery of best practices was occurring and whether the technical assistance arm of the system was helping CUA organizations implement these practices. In a system as delicate as child welfare,

trying new practices must be done with careful rigor in order to mitigate unwanted risks and outcomes. To this end, using an identified quality improvement process such as the Plan, Do, Study, Act (PDSA) model to strategically plan, implement, and learn from systems improvements is critical. Whether PDSA or another quality management tool/process, the goal is to outline a process to test small-scale change interventions in order to limit risk while learning occurs in an intentional and scalable way [129]. The utilization of a formal process to drive change is ideal as indicated by quality improvement literature [130], but the literature also warns practitioners that learning is not enough, one must have a robust technical assistance component to assist in translating learnings into practice to ensure fidelity of the practice is maintained in order to replicate desired outcomes [131].

Reporting progress in a PMS is as much about communication as it is about learning [132]. The act of reporting progress is meant to ensure that practitioners have access to said information in a timely manner and can incorporate that progress into practice across the system. While the PMS studied in this research showed evidence of the capacity to report progress, less weight was given to the system's ability to learn from that progress. This finding was not about the process of identifying lessons learned as that was discussed above, but rather what is done with those lessons when they are captured. Who is responsible for doing something with this information once it is reported and how is it being processed?

Essentially, PEC members confirmed that reporting progress within the CUA system was occurring as evidenced by ongoing CUA leadership meetings, public PowerPoint presentations from the Commissioner and the Scorecard itself, but members also provided insight that every CUA is doing something different when that information is translated into practice, it anything is being done at all. In some instances, the level of competitiveness created by the public Scorecard

directly thwarts transparent dialogues among CUAs which again, thwarts the learning component of this construct. Reporting on progress within collaborative environments has been shown to build trust and relationships by supporting the discovery of shared successes and challenges, as well at active problem-solving [62,133]- thereby increasing the meaningful use of data in improving performance [134]. As such, the system needs to better understand who is accountable for what and why it is important. Clarifying this role will help hold individuals/entities accountable to ensuring that learning is leading to long-term performance improvement, by creating knowledge and transferring it in a manner that is timely meaningful and accessible to learners [135].

Lastly, the findings from this study suggest a higher priority be given to updating the current PMS data systems infrastructure so that it can further support improved performance and practice adaptability. The content analysis suggests that DHS has the data tools, technological infrastructure and staffing capacity to collect and house CUA performance data but evidence suggests that the data warehouse is antiquated and needs updating. This finding was also discussed in great detail from participants, in large part because CUAs are primed and wanting more data to improve their practice which serves as an excellent sign in the shift towards a learning culture. The use of the Scorecard has made all CUAs more aware of the importance of data and as such, their systems have come to rely on data to make informed decisions about practice. As one participant summed up, *"data, data, data, data, everybody needs to see it."* The issue currently facing the CUA system is accessibility to that data. This statement above reflects the larger conversation about access to data for all stakeholder, not just executive leaders and not just DHS. The system having the capabilities to collect and house data is not enough to realize the level of change that is truly possible when practitioners have the ability to do tasks such as run daily visitation reports whenever needed without redirecting efforts from one task to another, or to obtain critical health

and dental information for children prior to placement as one participant shared. To this end, the Annie-Casey Foundation, a leading stakeholder in the child welfare arena, is calling for not just a shared system but an integrated data system whereby information from diverse systems is collected in one master system allowing for improved decision-making and program coordination [136]. The idea of data accessibility is one that is supported by a critical mass of literature. The PMS in this study is well positioned to take the next step of building upon its current data warehouse infrastructure to allow increased access to meaningful data that will improve daily practices-based decisions ultimately leading to improved and sustainable systems performance.

Key Findings: Organizational factors influencing performance

- ***Enhancement Opportunity- CUA Organizations should invest in strategic planning as well as internal and external communications strategies.***

Case management literature points out the difficulty in retaining staff due to many factors including but not limited to high stress and burnout. In fact, the Casey Family Foundation states that annual turnover rates below 10-12 percent are considered optimal or healthy, yet for the past 15 years, child welfare turnover rates have been estimated at 20-40 percent [137,138]. The negative impact of high turnover in child welfare has been discussed not only from the literature standpoint but also from participants in the study. Participants talked about the difficulties of maintaining performance when caseloads were high, and how a "*revolving door*" of staff means prolonged cases and constantly having to train and retrain staff. To this end, staff retention is a major factor influencing performance. Study findings suggest that CUAs invest time and effort in assessing and communicating about how employees fit into the organization's culture and how CUAs fits into the organization's strategic priorities.

Findings from the Human Capital construct highlight the opportunity for CUA organizations to strengthen the narrative about their internal culture on external communications tools like their websites. While CUA websites did not always communicate their appreciation towards employees, the interviews with leadership staff told a different story. For instance, the careers page on one of the websites reflects language that flat and uninviting:

Careers include both employee and contractor opportunities. All new staff (employees and contractors) must submit the three PA state clearances and a pre-employment physical prior to starting work.

CUA Website

While participants described their internal culture more akin to the statement below:

"I think that the other culture thing which is to be a family environment. So we really tried to facilitate you know we are family. We are a team. We operate as one. And we do anything to support one another."

Participants in the study overwhelmingly talked about the use of empowerment and engagement strategies as tools to motivate staff and build teams. Using language that positively depicts their organizational environment and culture is one opportunity to demonstrate value for employees and attract candidates that are seeking that kind of organizational environment.

In similar fashion and directly related to the construct of Structural Role Clarity, providing more robust job descriptions about key positions such as Case Managers, would also provide potential candidates with a more profound understanding of what the job entails so that they could make an informed decision about applying to a CUA position. Each CUA website had job descriptions posted but each had varying amounts of information. In other words, some were short, and some were more comprehensive. Although the CUA is a collective system operated by different agencies, the case management job functions all have the same role and expectations. It is feasible that job descriptions can be more similar in nature. For instance, CUA organizations

could simply agree on core functions and responsibilities and ensure there is consistent messaging about this function across the system while providing as much clarity as possible, thereby taking a larger step towards ensuring potential candidates are a good fit for this kind of work.

There is a robust body of literature that supports the importance of good communication between leadership and staff, particularly as it relates to employee retention. In fact, leading HR professionals have stated that unhealthy communication with staff can lead to poor work culture which in turn leads to staff turnover [139]. To this point, participants discussed the importance of internal communication given the complexity of CUA. Some highlighted the importance of making sure leaders are keeping the "why" in front of staff to remind them during stressful times why CUA work is so important. Other talked about the missed opportunities to "*connect the dots*" as it related to CUA and their strategic priorities/plans as one participant succinctly captures:

"I think one of the struggles that we identify is that we are not always great at making sure that people see that a lot of initiatives and things that we're rolling out are really because they're tied to a strategic priority, we care about."

Ensuring that the CUA program and all its efforts are linked to the organization's strategic plans and priorities in a way that is inclusive of staff is important to performance because it provides an opportunity for a shared vision. A shared vision acts as a unifying agent for organizations which is extremely important to performance as people perform better when they understand how their work fits into the larger vision [140]. However, for this to happen, the CUA organizations need to intentionally assess how the CUA supports its strategic priorities in an ongoing manner. This kind of strategic planning is not easy because it requires flexibility from all entities including DHS which may not have the flexibility desired given their state and federal mandates. For example, participants raised their frustrations with DHS' "*rigid*" and mandated CUA staffing structure. More specifically, participants highlighted their desire to restructure full

departments and teams or to rid of certain positions in order to reallocate funds elsewhere within their CUA.

Participants also described how this frustration extends to management of CUA staff as described by one participant, "*DHS forgets that CUA staff are not their staff.*" Thus, important discussions between DHS and CUA organizations need to occur in order to seek not only programmatic alignment but also leadership and managerial alignment in an effort to avoid cultural clashes, message confusion and unnecessary conflict between DHS and CUAs. When an organization or system endures increased conflict, the result is often paralysis due to fear as discussed by Dr. Sandra Bloom, which in turn stifles innovation and learning and leads to poor outcomes [20]. Introducing strategic planning conversations to explore and negotiate these alignments will help CUA organizations better communicate to their CUA teams not only the "why" CUA work is important but also the "what" is expected from CUA and the "how" CUA is going to achieve it.

Key Findings: Leadership factors influencing performance

- ***Learning, Empowerment and Accountability were the leadership traits most prevalent.***

Participants in the study understood and expressed appreciation for the need to continuously learn. This was in part due to the turnover conversation mentioned above, but also due to the experiential knowledge of participants that have had the professional opportunity to grow within the CUA or child welfare system. Participants consistently described the CUA system as "a *very complex set of policies and practices that can change and shift rapidly.*" In this kind of complex systems environment, the appreciation and value for learning expressed by participants is supported as a facilitator to performance by a large body of performance management research as well as systems change research [141].

Participants and PEC members often reflected on their own memories of shifts in the child welfare system throughout their tenure. Some reflected on the previous case management model in Philadelphia before CUA, while others reflected on the inception of CUA and how "*difficult*" it was to get CUA started. Regardless, it was evident that CUA was a major shift in the Philadelphia child welfare system that required a lot of learning from all involved. The inception of CUA brought a more robust performance management system which was discussed above and boasts evidence of four of the five identified constructs studied in this research. This is important because it helps provide contextual understanding of the learning curve the entire system underwent with an increased focus on data-driven decision-making (e.g. Public scorecard). Some participants seemed to welcome this change and expressed appreciation for the "*focus*" that the public scorecard introduced. Others discussed the new amount of data that accompanied the scorecard as overwhelming and confusing. One participant reflects on the early days of CUA:

"I think our staff weren't used to having so much data, that was very clear. The data that they now are given also felt overwhelming because I think people were like, "I don't know what to do with this." So, I think it took some time for people to learn and adapt.

The importance of learning amongst CUA teams was not only relevant to data but was discussed frequently in terms of ongoing trainings needs for CUA staff. Trainings ranged from intensive child welfare onboarding trainings, to CUA specific practice and protocols, to leadership growth. Interestingly, participants expressed the importance of upward mobility within CUA because that meant that staff had a lesser CUA learning curve. In these cases, participants felt that they could place a larger emphasis on leadership training because that would help strengthen team-based relationships and improve staff retention as one participant clearly articulated:

"The more you can connect the dots and make sure that you're training people accordingly, about how to better lead people, then, some people will stay just out of a level of commitment to the leader, even more so than the commitment to the work but you want to be a combination."

Retention remained a top priority for all study participants. Participants often discussed how difficult the work of CUA was, one participant called it a "*thankless job*" while another participant referred to CUA Case Managers as "*unsung heroes*" because they were doing work that "*others could not or would not do*." With respect to how difficult and how stressful CUA work was described, it seemed that participants largely relied on leadership traits like respect, honesty, integrity, transparency, and collaborative to describe how they approach their work with their teams. They also shared stories and thoughts that conveyed important empowerment strategies such as "*team building*" activities, or expressing confidence in their staff's ability to perform by not "*micromanaging,*" This is important because empowerment strategies are thought to be essential ingredients to motivation, and while motivated teams present with more confidence, confidence was deemed the "epicenter" of employee performance by one scholar [142].

Lastly, many participants seemed to view mutual accountability almost as an empowerment strategy because it created a relationship whereby the power dynamic was more equitable. In these conversations the participants invited as much constructive criticism as they were willing to give:

"I'm honest about what I see. I'm always open to good feedback, whether negative or positive. I need to be really transparent whether it's with my boss or whether it's with my team. They know that they can have confidence in that if they hear something from me, it is 100% true. I'm going to tell you how I feel and what I think you should do, and you should do the same."

Accountability was also discussed in terms of leadership visibility. Several participants expressed the importance of being visible by their teams and by DHS. Visibility was discussed in terms of physical "presence" as well as providing "support" in times of need. There were some discussions that highlighted the tough balance between being "visible" while still trying to manage the large workload of CUA and other programs effectively. It seemed that some participants were still struggling with this balance as they were either new to the agency or new to the role. Role

clarity is essential in these situations because without adhering to clear boundaries, individuals are more likely to burnout thereby contributing to turnover and poor performance [142].

.

Key Findings: Additional Opportunities to Enhance CUA's Performance

- ***Enhancement Opportunity- Improve data sharing capability and explore more systems flexibility***

The researcher looked to explore insight from participants on additional opportunities to enhance performance for the entire CUA system. There were one off conversations with participants regarding enhancements including but not limited to the use of predictive analytics to help better understand risk factors and potential service treatments, and incorporating the use of more technology such as Skype to ease travel burdens to and from various meetings. However, the chief enhancement opportunity that participants spoke about was the ability to access their own data from the DHS case management data warehouse for purposes of improving daily CUA operations. The concept and importance of data sharing or "information management" between partners to improve performance in complex adaptive systems is well documented in performance management literature, particularly in the US Healthcare system [143].

It seems that the introduction of CUA and its PMS approach served as a major catalyst in moving the Philadelphia child welfare system towards being more data-driven and data-reliant. This was portrayed in how participants talked about the "then" and "now". For instance, some participants described the system before CUA and specifically called out "*when we had to build our own data systems because DHS was not giving us data like they are now.*" Versus other participants that spoke about the present and how "*staff were overwhelmed with so much data.*" Participants were appreciative of the new data-driven environment and frequently spoke about how it has helped them improve their overall practiced because it helped them focus efforts.

However, the thirst for data and the use for data in daily decision-making continues to grow among CUA staff and leaders. Some participants highlighted wanting to be able to pull their own "visitation" reports so that they can hold their teams more accountable proactively instead of waiting for DHS to send reports and responding retroactively which is a practice that has been shown to improve performance in the public sector [144]. Participants really focused on having access to data in *"real time"* in other words, when they felt the need to view data opposed to a schedule set forth by DHS. Participants were unsure if this capability was a feasible request of DHS, or if there were other barriers that were beyond DHS' control. Either way, participants felt strongly that having direct access to data would help tremendously in improving daily practice decision which would overall help improve CUA outcomes.

The other most mentioned enhancement from participants was the desire to have more flexibility with how they set up their CUA infrastructure. In general, participants expressed their concerns with high caseloads, and the struggles they have with retaining staff due to the stressors of the job. Some PEC members even reflected back on conversations about the CUA system and how its intent was to allow community-based organizations to deliver community-based case management services because they were the expert on the various communities. This original vision did not come to fruition as indicated by some participants when they stated, "*DHS is just creating mini-DHS' not community-based care.*"

This conversation was also highlighted above because it bled into role clarity and shared vision. Participants expressed their creative ideas for restructuring the CUAs including but not limited to removing certain positions or adding others such as ridding of the "strengthening families" program in light of adding more Case Aides or case managers. The conversation from participants was less about the value of certain positions and more about the need to strengthen the

core service of case management and lessen the stressors of this particular job function. Participants were aware that this conversation with DHS would require not only flexibility with regard to programmatic structures but also with budgets. Participants wanted to exercise increased creativity and innovation to address the staffing retention issues that run rampant throughout child welfare and particularly in CUA. Unfortunately, when there is a lack of consistency in staffing, performance and quality suffers [20]. Thus, it makes complete sense that participants were concerned about addressing staff turnover and desired more flexibility to try and mitigate the negative impact it has on the children, youth and families served.

Summary and Overarching Findings:

Upon data analysis and presentation to the PEC, the researcher was able to integrate the data in search of cross-cutting themes to create a clearer picture of what lessons were learned from implementing a decentralized case management system in Philadelphia. For instance, engagement showed up as an important tool or lack thereof in the corralling of partners to better understand and buy-in to the development of the CUA scorecard. Had systems leaders practiced better engagement strategies, CUA partners might have felt less confusion and frustration with the system they are expected to perform within. Equally important was the tool of empowerment. Empowerment showed up at the organizational level and was similar to engagement because it was used to help others learn and adapt to systems changes, promote ongoing motivation and to garner buy-in to improve performance at the individual worker level. Both of these tools are critical to systems change efforts and performance improvement practices; especially in the public services sectors as highlighted by scholar Harry Hatry and should be important considerations for systems looking to decentralize public services with private organizational partners [145].

When the researcher reviewed and integrated the data, the following overarching study themes and findings in addition to engagement and empowerment became apparent:

- *Engagement & Empowerment-* When embarking upon complex systems change in public-private partnerships, the need to consistently apply engagement and empowerment strategies to ensure collective understanding, buy-in and continued motivation is critical to maximizing performance.

- *Role Clarity & Accountability-* In semi-autonomous relationship such as public-private service contracts, it is important to ensure clarity on all levels. A shared vision among all partners provides clarity with regards to expectations and goals and role clarity provides clarity regarding responsibilities. Without role clarity, it is difficult to hold partners mutually accountable. For instance, in this kind of complex system where learning is required, role clarity can play a big part in identifying which entity is expected to ensure knowledge transfer across public and private organizational lines.

- *Structured Learning Culture and Capacity-* Intentionality in capturing, analyzing and sharing lessons learned is important in complex systems as it provides the necessary order and clarity needed to for decision-makers to either "rule in" or "rule out" child welfare practices. Having technical assistance capacity to assist with consistent application of learnings is equally important to systems improvement.

- *Systems Flexibility-* When organizations are undertaking such large change such as CUA contracts, flexibility is paramount. Private organizations need to ensure ongoing strategic alignment while being allowed to practice flexibility in order to adapt to the unique structures, supports and community needs they are confronting. Rigidity causes friction, stress and frustration which suppresses organizational performance.

- *Data Systems Infrastructure-* Using data to inform performance-based decisions is essential to a shared performance management system. However, this cannot be achieved without having a comprehensive database infrastructure that is functional and accessible to all parties. Shared data systems should be an immediate task and goal accomplished early.

g. Theory of Change Revisions

At the onset of this study, the researcher conducted a comprehensive literature review and hypothesized the following Theory of Change (TOC):

> *"Leadership characteristics and organizational components drive overall systems performance in decentralized service models such as those in Philadelphia's child welfare system. If we strengthen leadership teams by ensuring the presence of a shared vision, aligned mental models, and a commitment to team learning and personal mastery, we can improve organizational structures that support effective performance management systems ultimately facilitating improved systems outcomes. Improving the performance of Philadelphia's child welfare system means reducing the trauma associated with child abuse and neglect, while in improving permanency and stability for thousands of children and youth."*

The above TOC served as a tool for the researcher to communicate the study's intentions long-term vision and what was thought to be any necessary preconditions for achieving the desired change. The researcher used the TOC as a succinct overview of the research with DHS stakeholder and PEC members. As a result of the findings from the study, the TOC was adjusted to reflect specific leadership and organizational factors found to influence CUA performance. The changes to the TOC are bolded and the overarching study findings highlighted above are underlined below.

> *"**Adaptive leaders within stable organizations serve as important partners to large scale systems change efforts** such as Philadelphia's recently decentralized child welfare case management system. **If we focus on creating a systemic <u>learning culture</u> that promotes <u>strategic alignment</u> between public and private entities, <u>empowers and engages all stakeholders</u> through a <u>shared vision and mutual accountability</u> and develops a performance management system that is <u>accessible and responsive to operational needs</u>, we can build a high performing system that achieves desired outcomes.** A high performing child welfare system means reducing the trauma associated with child abuse and neglect, while improving permanency and stability for thousands of children and youth throughout Philadelphia."*

h. Concept Model Revisions

The original concept model depicted below aimed to portray the complexities of the CUA systems change by depicting five primary thoughts: 1) The external environment and drivers to full decentralization of Philadelphia's child welfare case management services, 2) DHS' (government partners) response to improvement (e.g. CUA Scorecard and PMS), 3) The factors considered to be key elements of an effective performance management system, 4) key factors considered to be important influencers on performance within an organization and 5) key factors considered to be important influencers on performance among leaders.

Old Concept Model
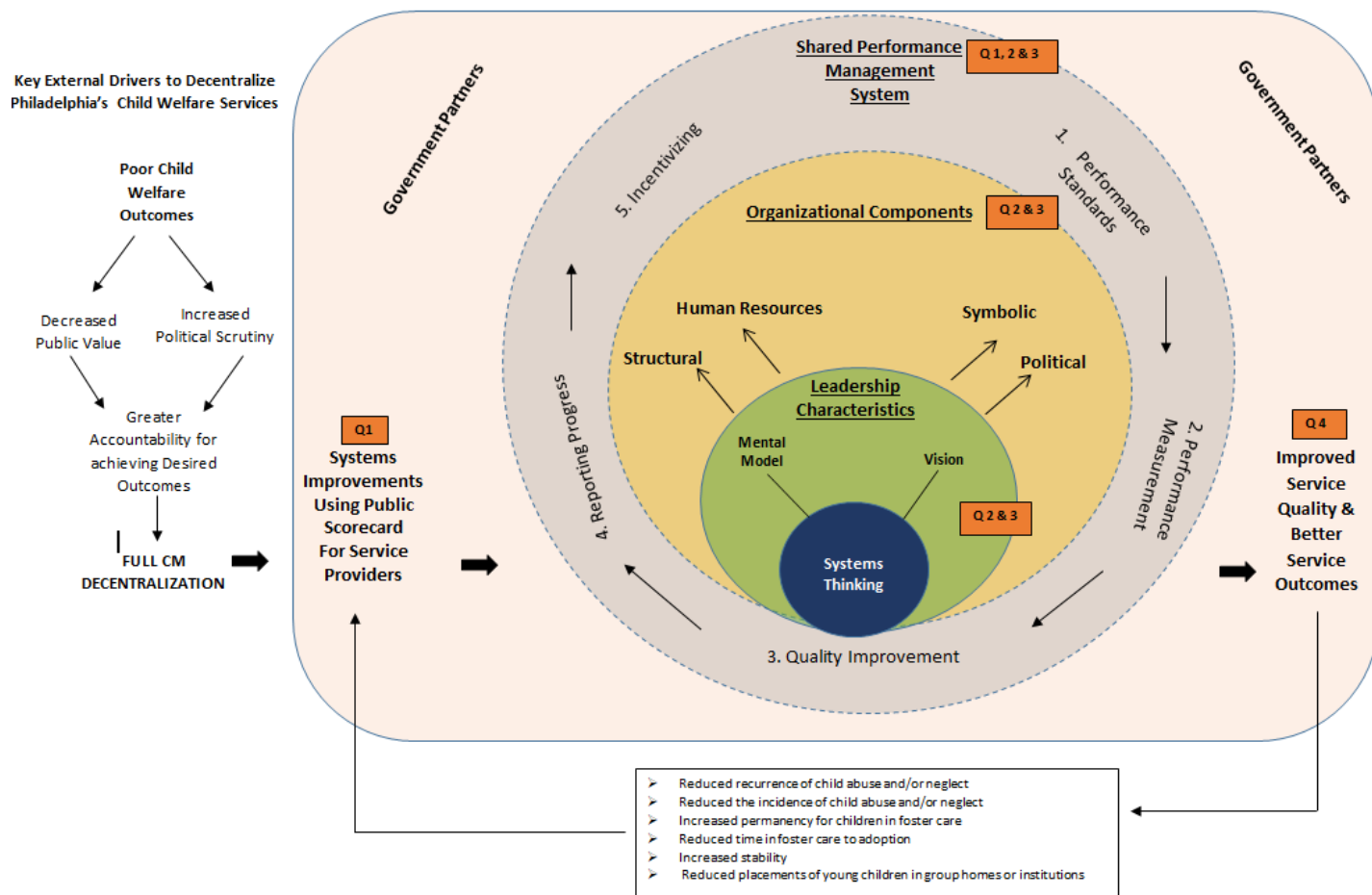
The new concept model depicted below, incorporates the overarching study findings and is intentionally designed to align with the new Theory of Change discussed above. Changes in which DHS is the main authority over include:

- *Environment:* more emphasis on DHS' role in creating a learning environment that has a shared vision, opportunities for ongoing strategic alignment between CUA organizations and DHS, and systems flexibility in order to adapt as necessary.
- *PMS:* CUA and DHS' responsibility in practicing engagement throughout all performance management factors with a much heavier focus on developing the QI arm of the PMS to promote practice-based learning and knowledge transfer.

A major change in the new model from the original model, is the swapping of the organizational and leadership circles. This came as a result of the researcher's reflections on the study data. In the original model, the underlying assumption was that CUA leaders drive organizations, and organizations drive performance. The new concept model depicts a different but similar thought. The new concept model recognizes that organizational cultures/environments can drive leaders and leaders drive CUA performance. The reason for this shift is to recognize that the organizational culture is inclusive of important factors that indirectly drive performance. For instance, the organization's stability is important because the amount of change that CUA introduced could have created chaos that wreaked havoc in an unstable environment. Furthermore, none of the individuals interviewed solely worked in CUA; in fact, they were all responsible for senior and executive level tasks that cut across CUA and other programs. However, the environment that they create directly impacts the leaders that are driving CUA performance. For this reason, the leadership circle was shifted closer to the PMS circle to recognize the delicate need for leaders to toggle between their organizational environment and the DHS-driven PMS environment- they have mutual impact, hence the arched arrows. The last two changes included:

- *Leadership-* Being much more specific about what leadership factors were important in driving performance based on the interview data.

- *Organizations-* Being much more specific about what organizational factors were important in influencing performance based on data from content analysis and interviews.

It is important to note that the prevalence of learning throughout the entire new concept model which is underscored as the fundamental driver in performance management literature and systems change literature [146,147].

Figure 11. New Concept Model
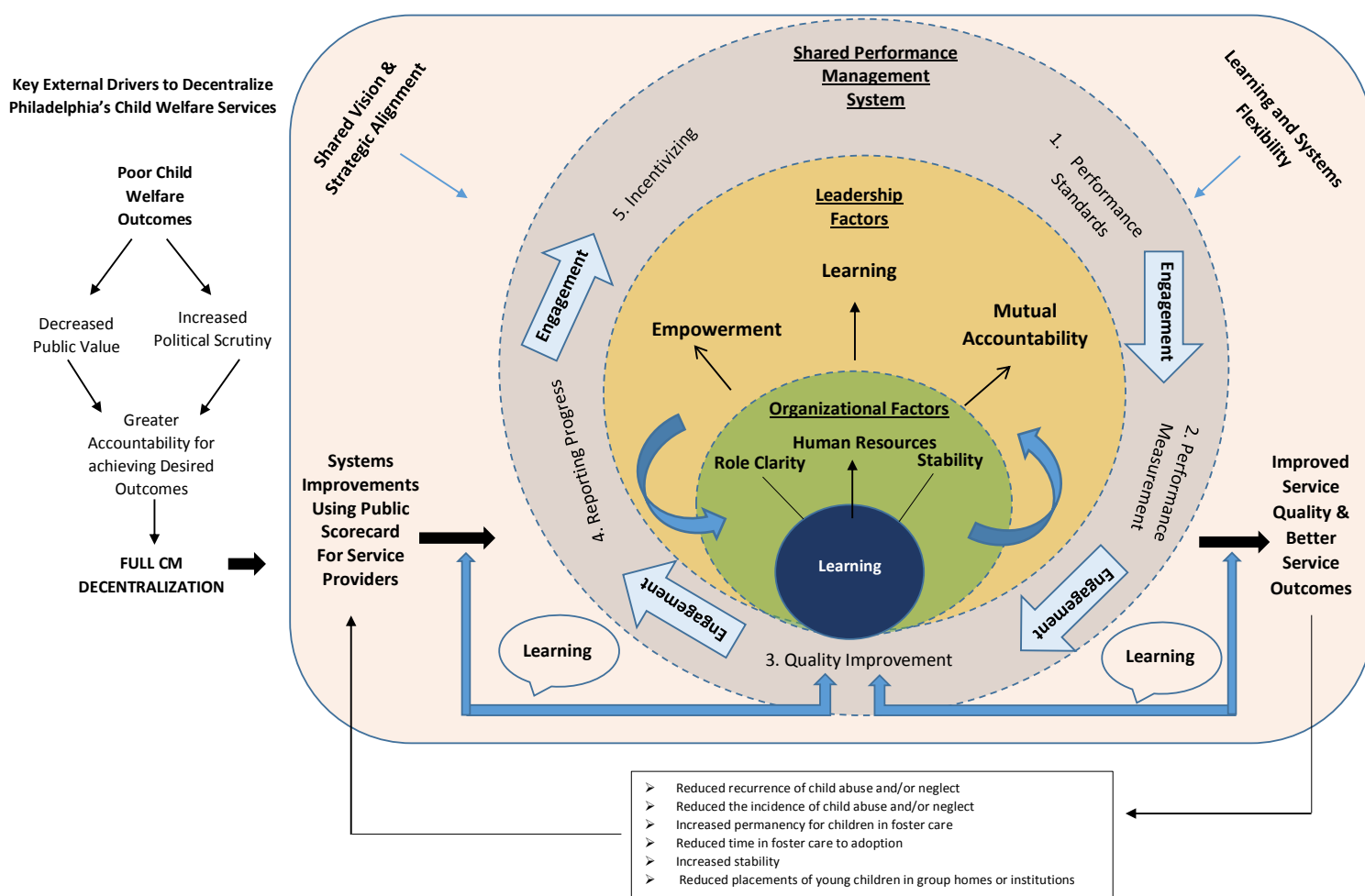
i.   Recommendations

The recommendations put forth by the researcher were derived from existing literature, integrated study findings and consultation with PEC members. The recommendations aimed to address relationship management issues identified between DHS and CUA providers and CUAs and employees; provide additional clarity with regard to roles and responsibilities; incorporate ongoing strategic management principles to ensure ongoing alignment; strengthen critical learning opportunities, and invest in technological infrastructure to support CUA operations. Table XII walks through a discussion of each study recommendation.

Table XII. Study Recommendation Table

Study Recommendations & Supporting Narrative
1. **Consistent and intentional application of engagement and empowerment principles throughout the system will help increase and sustain performance.**
Whether it be between organizations or within an organization, engagement and empowerment are important strategies to keeping partners informed, committed and motivated to performance.[148] CUA organizations demonstrated a high propensity to display positive messaging and strong commitment to the communities they serve on their website. However, the same positive messaging and strong commitment to the individuals that they employ to serve these communities was not parallel. Demonstrating value to employees/teams through the use of increased engagement and empowerment strategies can be useful tools in helping CUA organizations combat the staff retention issue plaguing child welfare sectors.   For the same reasons, employing the same strategies can help improve the relationship between public and private partners and more specifically, DHS and CUA organizations. Given the complexity of the CUA system, engaging leaders in the continuous dialogue about the CUA PMS, programmatic needs and concerns, will not only help leaders better understand the system, but will also facilitate increased confidence and thus empower CUA staff to perform in a supportive and value-based environment instead of a fear-based paralyzed environment.[20]
2. **Develop a comprehensive systems framework and corresponding theory of change that outlines the importance of a shared vision, mutual accountability, knowledge transfer, and goal and role clarity for each entity.**

The CUA system would benefit from a more detailed systems framework to help outline big bucket responsibilities of all the entities responsible for keeping children and youth safe. Documenting this sort of systems clarity would help outline who is responsible for what and what is most important to the system. It seemed that the participants were clear and were held accountable by way of the public scorecard and its measures to task oriented activities but DHS' responsibilities as an administrator and oversight entity for the CUA system were less clear and thus there was confusion about which entity was responsible for important functions like knowledge transfer/management. The Philadelphia child welfare system is very large and extremely complex, rendering it very difficult to navigate and understand. When performance improvements are achieved, it would be beneficial to understand the "how" and "why" in order to replicate and/or scale. To this end, a clear framework with roles and responsibilities would better enable partners to hold each other mutually accountable.

Another recommended tool that could be of benefit in accompanying the recommended framework is a Theory of Change (TOC). According to the literature, a well-developed TOC helps to provide clarity on program logic through the characterization of long-term goals and then mapping backwards to identify the changes that need to happen along the way to achieve that vision.[149] A TOC is a tool that would accompany the larger framework and succinctly communicate long-term goals and important systemic steps to achieving those goals. It is a tool that can aide in keeping all of the partners focused on the underpinning theory as to how CUA system strategically achieves impact. An additional benefit to the TOC, is that is can and should be adapted as the system changes/shifts directions, even if the framework remains the same.

3. **Embrace a strategic management frame to continually assess how subcontracted services fit into organizational structures, management practices and strategic priorities.**

Systems flexibility is important as it allows for adaptability. Adaptability allows organizations to remain nimble and free to adjust when they are faced with conflict, innovations, needs and growth. In this study, CUAs faced all of the above and as a result understood the need to have more flexibility to adjust not only their organizational structures but the supporting resources. The request was to have more authority to ensure that they could align their resources as they see fit to help them perform. This recommendation was put forth to assist in achieving needed flexibility. The goal of this recommendation is for CUAs ad DHS to adopt a management approach that would enable partners to work collectively on shifting strategies when needed. Strategic management means continuously assessing strategic alignment of the CUA contracts with the organizations and of the organizations with DHS. It means moving from an episodic strategic planning session to developing ongoing strategies that are translated into actions.[150]

4. **Collectively decide on QI framework to intentionally capture lessons learned and to ensure that technical assistance arm has the capacity to help organizations translate findings into practice.**
This study highlighted the need to invest more time in developing and selecting a QI framework to capture lessons learned. A QI framework is important in child welfare because it helps to provide an improvement structure that all partners can follow in order to test small scale interventions while mitigating risk- which is critical in a system whose responsibility is the safety and well-being of children and youth. Moreover, a QI framework helps to systematically learn in an effort to scale throughout the system in an intentional and strategic manner.[55]   This recommendation also speaks directly to the need to accompany those lessons learned with a functional and responsive technical assistance program. If the CUA system is going to adopt a QI framework that mitigates risk with testing small scale interventions, they will need to use a robust technical assistance program to move interventions to scale. Moreover, technical assistance can be an important capacity to help CUAs address relevant training needs to improve staff retention and staff effectiveness. However, a dialogue about those needs is crucial to addressing the utility and effectiveness of the technical assistance arm at DHS.

5. **Investment in technological infrastructure to ensure that all case management databases and technologies are built to be accessible to subcontracted partners, including but not limited to report generation**.
Theodore Poister, a seminal researcher in performance management warns public agencies and nonprofit organization against the "DRIP" syndrome which stands for "data rich but information poor."[151] This is a reality with a robust performance measurement tool that collects data but fails to translate that data into usable information that can help inform practice-based decision-making. This recommendation speaks to the necessary investments needed to help practitioners, and in this case CUA practitioners, use the data in day-to-day practice. Moreover, ensuring the data infrastructure has the capacity assist leaders who are need access to real-time data to make mid-course corrections in practice means moving from a focus on performance measurement to engaging in performance management.

j. Leadership Implications

The CUA system in Philadelphia has already shown tremendous improvements in performance since the inception of their PMS. Despite the areas for potential improvement identified in this study, the system has managed to incorporate strategies and practices that have

documented progress from 2014 to 2020. The development of a public scorecard in child welfare was an unprecedented move by Philadelphia leaders and while it led to increase public scrutiny by public and political stakeholders for both DHS and CUA organizations, it ultimately led to overall systems improvements. Thus, it is important to understand the mechanics driving this improvement as other child welfare entities, case management services providers/systems or even other sectors looking to decentralize public services to private providers can glean lessons learned from Philadelphia's experience. This study provides insight into very tangible leadership and organizational strategies for practitioners whether it be ensuring organizational partners can establish stability prior to subcontracting services to assessing and growing leaders to understand how to utilize accountability measures in management. Both of which this study has identified as key organizational and leadership factors that have shown to be effective in these kinds of dynamic, fast-paced yet complex environments. More specifically, leadership implications that call for practice considerations among public health practitioners working in decentralized relationships in human and social services arenas include:

- *Relationship Management*- Study findings related to engagement and empowerment speaks to the nature and value of relationships. These study findings support the importance of working in a collaborative environment when embarking on this kind of large-scale systems change between public and private providers. Using this lens, and more importantly employing engagement and empowerment strategies helps to ensure a diversity of perspectives are encouraged, valued and incorporated when feasible, collective understanding and buy-in is achieved and that all stakeholders remain committed to the identified vision and goals. For the same reason, the collaborative lens should also extend to include the relationship between organizations and their employees.

- *Strategic Management*- Findings from this study highlighted the need to ensure that there is ongoing conversations about strategic alignment between public and private partners. In a dynamic environment like child welfare, where practices, policies and systems change frequently and rapidly, there is mutual benefit in making sure that those changes remain aligned with both the organization and the public entity. More importantly, exploring and understanding pathways to achieve that alignment should entities be misaligned is just as important to achieving optimal performance. A critical look at how all resources are aligning to support performance through a lens of current and future planning should be an ongoing activity and not one that is episodic such as the case with strategic planning.

- *Mutually Beneficial Performance Management Capacities*- Understanding how to translate strategy into practice will be critical for all leaders engaging in complex systems change. More importantly, understanding how to move beyond performance measurement to performance management will be essential and is what the findings from this study supports. While there is an inherent appreciate for data among stakeholders, participants yearned to use that data in more day-to-day practice-based decision-making. This calls for leaders to ensure that there is sufficient resources support and or investment in robust performance management infrastructures. For this study, it meant calling for a shared data system that is accessible and provides data in a meaningful way (i.e. report generation opposed to just access to raw data), and also investing in technical assistance that can help translate data into practice with a level of consistency and flexibility .

- *Focus on Learning*- All study findings underscore the importance of learning. Learning must be intentional with the vision, processes and practices utilized in these large-scale system-change efforts. In this study learning needed to be strengthened at the PMS and organizational level but was very important to leaders. Thus, leaders must figure out ways to translate their

learning philosophies into organizational and systems-based practices. Utilizing an identifiable quality improvement framework that transcends public-private boundaries is one way of ensuring learning is a core focus in not just people but also environments.

k.   Limitations

One study limitation was the use of executive leaders within CUA organizations. Due to doctoral time constraints and the intensive and laborious legal process necessary to interview individuals whose salaries were paid in full by Philadelphia DHS, the researcher had to shift interviews to only include senior and executive leaders which are not paid in full by the CUA contract. This shift meant limited access to leadership perspectives of those responsible for day-to-day CUA performance and those responsible for the development of the DHS PMS. As a result, the sample size for interviews shrunk, but the senior/executives interviewed increased the representation of CUAs from 3 to 7 of the 10 CUAs, because some participants represented multiple CUAs. Moreover, the shift to senior/executive leaders meant increased scheduling conflicts and this also contributed to a smaller sample size for interviews.

In addition, utilizing a case study approach limits the generalizability of study findings because findings represent a single case. However, the lessons learned from this study are important considerations for public health practitioners as the study findings highlight opportunities for transferable learnings for those seeking to better understand large complex systems change efforts. This case study specifically provides insight for those systems looking to increase public and private partnerships between governmental and non-profit organizations.

Another study limitation centers around the use of the qualitative research methods such as content analysis approach semi-structured interviews. While the researcher used a systematic process, matrices, codebook and a priori codes based in theoretical constructs, the potential for

researcher bias and interviewee response bias remains [152]. To address researcher bias, a second coder was used to meet an 80% agreement threshold on coding of items, quotations from participants and direct excerpts from documents were used to support interpretations, and member checking was utilized with CUA leadership to validate research findings and recommendations. Response bias is acknowledged because the semi-structured interviews relied on self-report and perception. Additionally, the researcher was a CUA CEO and this may have caused participants to put forth the best representation of self and their organization.

Lastly, the researcher acknowledges the potential for recall bias. While there were limited questions that were retrospective in nature, these questions asked participants to reflect back over a five-year period which may or may not have been a clear and accurate memory for participants.

## VI.	Conclusions

The long-term effects of child abuse and neglect are devastating to individuals, families and society as a whole. As the number of adverse childhood experiences (ACEs) increase, so does the risk for poor outcomes related to injury, mental health, maternal health, infectious disease, chronic disease, and decreased educational, occupation, and income opportunities, all of which are persistent public health concerns as cited by the Center for Disease Control & Prevention (CDC) [153]. How child welfare agencies perform with their partners to help mitigate these risks is paramount.

Study findings confirm that with an effective performance management system, services that are decentralized and subcontracted to private organizations can be managed and improved. While this study did not assess improvement, it did validate that the PMS was effective and thus contributed to the overall systems improvement recently realized within the Philadelphia CUA system. Despite performance advancements, the CUA system is still confronted with challenges in the realm of relationship management, infrastructure and learning intentionality.

The decentralization of public services to private organizations is not new, but the decentralizations of core services like case management to private organizations in an effort to segregate roles and responsibilities is a newer trend. In a technologically driven environment, and as pressure for and scrutiny of public agencies continues to grow, accountability for increased service quality and transparency of performance benchmarks will mandate that performance be monitored, managed and regularly communicated. This environment will push public-private partnerships to work even more seamlessly together to move the needle on public health outcomes.

Future research should continue to explore factors that contribute to performance within public-private partnerships in decentralized systems such as Philadelphia's CUA system. There is an opportunity to better understand how these relationships can better support public services while

digging deeper into the needs of each partner to promote the collective impact they seek. Additionally, the use of a public scorecard in child welfare presents an opportunity to glean lessons learned about building and implementing a performance management system that cuts across public private boundaries to capture performance.

This study largely focused on the role that leaders and CUA organizations play within this PMS; however, it is also necessary that future research explore the role of the public agency in greater depth. Their role is critical in advancing performance and consequently are the entities that carry the larger responsibility to public stakeholders as it is their public service portfolio and public dollars being subcontracted to private providers.

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NON-PROFIT EXECUTIVE LEADERSHIP PROFESSIONAL

EXECUTIVE SUMMARY

Visionary, innovative, and outcomes focused **Executive Leadership Professional** who offers a distinguished background of successfully managing a multi-million dollar nonprofit organization with state-of-the-science initiatives and business practices that spur operational growth and profitability. Outstanding ability to strategically identify opportunities and partnerships, develop mission-driven focus areas and provide tactical business solutions for organizational efficiency and increased productivity. An exceptional communicator with strong negotiation, relationship building and problem resolution skills.

CORE COMPETENCIES

- Strategic Planning & Organizational Leadership
- Contract Negotiations & Proposal Development
- Stakeholder Relationship Management
- Organizational Change Management
- Policy & Procedure Development

- Large-Scale Project Management
- Team Leadership & Talent Development
- Budget Planning & Financial Analysis
- Communication & Organization
- Staff Management

RECENT EMPLOYMENT EXPERIENCE

TABOR SERVICES, INC., Philadelphia, PA   2017-Present
A community-based organization dedicated to serving youth and families interfacing with the child welfare system of Philadelphia and Bucks counties.

President & CEO
Transformational leader that brings organizational development strategies and nonprofit executive leadership expertise to the forefront of a 112-year-old, $21 million social services agency. Responsible for shifting organizational culture to align with mission, core values and strategic direction of Tabor's family of services which includes Tabor Children's Services and Tabor Community Partners (CUA 6). Uniquely uses a systems-based approach to promote optimal performance within the complex landscape of child welfare.

- Oversees operations of two campuses in Doylestown and Philadelphia that provides county-wide critical social support services to over 2,000 youth and families annually.

- Restored financial health of organization from significant deficit to million+ surplus within 2yrs.

- Shifted organizational culture and infrastructure to support performance-based outcomes to include "competent and proficient" status as measured by annual DHS Scorecard.

- Established two core business units to support optimal performance: talent management (Human Resources Business Unit) and performance management (Performance Management Business Unit).

- Increased CUA retention rates from 20% to 45% while recognizing overall agency growth in staff from 125 individuals to over 150 individuals within first 2yrs.

- Increased corporate sponsorships by over 100% from 2017 to 2019.

- Responsible for ongoing relationship management with community and political stakeholders as well as high net worth donors.

Recent Employment Experience (Continued)

ACCESSMATTERS, Philadelphia, PA   2015-2017
A nonprofit organization focused on advancing sexual and reproductive health outcomes to promote health equity for all individuals, families and communities.

Vice President, Health Access & Service Delivery
Systems-oriented Vice President responsible for assessing public value of the AccessMatters programmatic portfolio and strengthening internal infrastructure to support existing programs and overall strategic growth. Serves as a valued executive leadership team member responsible for promoting an organizational culture of excellence, meeting strategic plan goals and developing high-impact teams.

- Responsible for strategic partnership development and relationship management with key political federal and philanthropic stakeholders

- Managed a team of 25 centralized and remote staff in the Health Access and Service Delivery department with four direct reports.

- Provided oversight for a program portfolio of over 15 directly-funded federal and local government contracts that includes grants administration to over 70 clinical and social services sub-recipients.

- Managed an annual budget of over $10million and total contractual budgets close to $30million

- Performed ongoing infrastructure analysis to develop, implement and enhance systems and policies that further promotes efficiency, consistency, communication flow and productivity.

HEALTH PROMOTION COUNCIL, Philadelphia, PA   2010-2015
A nonprofit organization that specializes in promoting health and the prevention and management of chronic diseases that services over 30,000 people.

Deputy Executive Director, Business Development and Organizational Management
High profile Deputy Executive Director with full autonomy over tracking, assessing and conveying federal, state and local public health trends and implications on all organizational initiatives for strategic alignment and organizational growth. Concurrently accountable for daily operational management of the entire organization, project development and Directorship for large-scale, federally-funded projects and coaching and mentoring executive level staff on a myriad of professional development competencies ranging from team leadership principles to proposal framing, project conceptualization and grant writing.

- Recognized and valued leader that has proven track record of securing over $20 million of grant funding, and increasing staff from 30 members to 55 members.

- Conceptualized and incorporated an organizational Integration Plan that led to improved hiring practices, cross-training models and enhanced quality improvement measures such as the organization's first client intake database.

- Introduced and secured funding for large-scale mission-driven initiatives that have led to increased organizational expertise in linking clients to social services, national visibility in systems change work, and capacity building for community-based organizations that serve underserved populations.

- Assessed and incorporated improved policies and procedures for fiscal monitoring, service procurement and overall workflow management.

- Developed and maintained key relationships with multi-disciplinary high-profile public health thought leaders locally and nationally.

Deputy Executive Director   2005-2010

Recent Employment Experience (Continued)

- Assessed and built internal infrastructure to establish core competencies among leadership teams that produced high impact outcomes in chronic diseases such as diabetes and CVD.

- Developed organizational-wide hiring/training protocols for all staff which improved staff retention by 35% and increased organizational flexibility.

- Transitioned organizational fiscal model from single-year grants and contracts to multi-years funding streams and expanded organizational reach from local single-county to statewide.

- Created internal pre/post award sponsored projects administration system to better manage outgoing proposals and incoming grant/contract deliverables, including but not limited to research projects.

HEALTH FORUM ONLINE, Jenkintown, PA   2004-Present
An online organization that offers continuing education (CE) credits to Psychologists and other mental health professionals such as Counselors, Social Workers, and Family Therapists with a focus on the practice of health psychology.

Curriculum Writer & Advisory Board Member
Published author and valued contributor to advancing the field of sexuality and aging with a public health social determinants of health perspective. In addition, provides insight and guidance on strategic development of the online forum and serves as an additional curriculum reviewer, when necessary.

- Architect of the Forum's first Sexuality and Aging curriculum with annual responsibility for extensive research and modifications to remain updated.

- Contribute strategic planning ideas and concepts on marketing and promotions to further increase the visibility and participation rates of curriculum library.

- Promote and recruit curriculum writers for purposes of increasing versatility, relevant and timely topics, and organizational profit.

TEMPLE UNIVERSITY (DEPARTMENT OF PUBLIC HEALTH), Philadelphia, PA   2001-2008
Leading academic institution with one of the area's first acclaimed Public Health programs.

Adjunct Professor
Popular instructor that has taught Human Sexuality 101 to over 500 Temple University students in classrooms ranging from 25 students to lecture halls of 75 students. Instruction included broad-based communication principles, anatomy and physiology and the societal context for values and definitions of sexuality.

- Design and developed a comprehensive curriculum with interactive daily lesson plans and student assignments. remain current on sexuality topics/issues

- Remained current on sexuality topics/issues in order to effectively initiate and facilitate dynamic discussions among a student base diverse in culture and age.

- Employ strong conflict resolution skills to facilitate a respectful and cordial learning environment for all students and guest lecturers.

QUALITY INSIGHTS OF PENNYSLVANIA (QIP), Wayne, PA   2004-2005
Pennsylvania's first and only Quality Improvement Organization for the Centers for Medicare and Medicaid Services (CMS).

Statewide Project Coordinator
Project Coordinator recruited to coordinate multiple large-scale, federally-funded projects for Medicare's National Disparities Initiatives on diabetes immunizations and breast cancer. Worked closely with Project Directors, Communications Specialists, Lead Evaluators and Chief Medical Director to administer programs, monitor outcomes and design culturally sensitive materials that reached over 25,000 beneficiaries throughout

Recent Employment Experience (Continued)

the Commonwealth. Additional scopes of work included assisting Philadelphia-based physicians select and implement electronic health records in a national effort to improve quality of care for CMS beneficiaries.

- Developed and edited educational materials with a specific focus on addressing cultural sensitivity and health literacy.

- Coordinated and facilitated educational programs, seminars and conferences for health care providers, insurers and public health practitioners

- Served as a resource, within and outside the organization, on standard of care, quality improvement processes and quality improvement data (i.e. quarterly newsletter, website update etc.)

- Lead Health Information Technology (HIT) team in physician office redesign, and selection and implementation of electronic health record with first office to "go live".

FOX CHASE CANCER CENTER, Philadelphia, PA   2003-2004
Nationally recognized Cancer Center devoted entirely to cancer care via cancer education, research and prevention.

Project Manager
Project Manager hired to oversee research-based projects in breast and prostate cancer in the Psychosocial and Behavioral Medicine department under the world renowned cancer researcher, Dr. Suzanne Miller. Managed a research portfolio of $3.3 million in National Institute of Health funded projects by completing tasks such as coordinating and facilitating focus groups, developing quantitative and qualitative evaluation matrices, ensuring deliverables and timelines were met and communicating daily project updates to Principle Investigators.

- Instrumental contributor on grants development team executing tasks such as literature reviews, grant writing and conceptual development, and manuscript preparation.

- Served as day-to-day liaison with collaborating academic and medical intuition Investigators as well as community stakeholders.

- Recognized as a Senior level Manager by acquiring responsibilities such as hiring, training and supervising Research Assistants and interns, as well as developing an efficient grants management and filing system that is still in place today.

EDUCATION AND PROFESSIONAL DEVELOPMENT

Doctorate in Public Health University of Illinois at Chicago, Chicago, IL.   2020
Certificate in Nonprofit Executive Leadership, Bryn Mawr College, Bryn Mawr, PA   2010
Masters of Public Health, Temple University, Philadelphia, PA   2003
Bachelor of Arts in Sociology, State University of New York (SUNY) at Albany, Albany, NY   1999

CURRENT AFFILIATIONS

Member, Alliance for Strong Families and Communities (2018- Present) ▪ **Member,** Partners for PA Families (2018-Present) ▪ **Co-Chair,** Woods Services Equity, Diversity & Inclusion Committee (2018-Present) ▪ **Member,** PA Council of Children, Youth & Families (2017-Present) ▪ **Chair,** Tabor Community Partners (2017-Present) ▪ **Board Member**, Family Planning Council (2009-2012), **Vice President** (2012-2013) ▪ **Board Member**, American Diabetes Association, Executive Program Board ▪ **Member**, Health Forum Online ▪ **Member** Delta Omega Public Health Honor Society Temple University Chapter (2007-2013, **President** 2008-2009)

SELECTED PRESENTATIONS AND PUBLICATIONS

Presentations/Awards:
2019   Golden Rose Award from Sigma Gamma Rho Sorority, Inc. for community and business excellence

Recent Employment Experience (Continued)

2018	Minority Leader Award from the Philadelphia Business Journal
2018	Commonwealth of PA House of Representatives Citation for Outstanding Community Leadership
2015	Temple University Distinguished Public Health Alumni Award for contribution to the public health discipline.
2012	Poster Presentation- Research Centers for Minority Institutions (RCMI) Annual Conference "Community-based Patient Navigations: Wellness Across the Breast Cancer Continuum"
2011	Oral Presentation- Pennsylvania Public Health Association "Lessons Learned from Convening the Pennsylvania's First Breast Health Navigation Network"
2009	Poster Presentation- National Conference on Tobacco or Health "Addressing Parallel Disparities in Tobacco and Chronic Disease"
2008	Oral Presentation- APHA *"Blurring Borders to Eliminate Disparities: Integrating Tobacco Control and Chronic Disease Voices for a stronger public health infrastructure*"

Publications:

2018	Keith Jennifer, Kang Nichole, Bodden MatheRose, Miller Christina, Karamanian Vanesa, **Banks Tinesha**. Supporting Latina Breast Health with Community-based Navigation. Journal of Cancer Education, 1-4.
2012	Bryant-Stephens Tyra, West Caroline, Dirl Cannae, **Banks Tinesha**, Briggs Vanessa, Rosenthal Michael. Asthma Prevalence in Philadelphia-Description of Two Community-Based Methodologies to Assess Asthma Prevalence in an Inner City Population. Journal of Asthma. August 2012; 49(6): 581-585.
2011	Williams Rhonda, Woodell Carol, McCarville Erin, Damitz Maureen, **Banks Tinesha** et al. *Desired Attributes and Skills of Program Managers in Translation of Evidence-Based Interventions.* Health Promotion Practice, In Print.
2009	Roseanne Bilodeau, James Gilmore, Loretta Jones, Gloria Palmisano, **Tinesha Banks**, Barbara Tinney, Georgina I. Lucas. American Journal of Preventive Medicine. *Putting the "Community" into Community-Based Participatory Research: A Commentary.* Volume 37, Issue 6, Supplement 1 (December 2009). Pages S192-S194.
2008	**Banks, T**., Bradshaw A. *Common Myths about Sexuality and Aging*. www.healthforumonline.com. Issue 8. 2008.

APPENDICES

1. What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?				
Constructs	**Definition**	**Data Collection Approach**	**Possible Sub-codes**	**Analysis**

Performance standards	Refers to the process of developing performance standards and indicators that are linked to the mission, vision and goals of the organization/system[29]	▪ Content Analysis
		  ▪ Secondary data:
		  -IOC Evaluation Report
		  - Scorecard Data set
		  -DHS Strategic Plan
		  -PowerPoints from Commissioner
		
		▪ KI Interviews
			▪ Mission & Vision
			▪ Goals, Expectations and Standards
			▪ Selecting measures
			▪ Prioritizing measures
			▪ Stakeholder engagement
			▪ Communication of measures/indicators
				▪ Measurement Table
				▪ Content Analysis
				▪ Deductive thematic analysis (Atlas Ti)

Performance measurement,	Refers to the regular measurement of outcomes and results, which generates reliable data on the effectiveness and efficiency of programs/services.[34]	▪ Content Analysis
		  ▪ Secondary data:
		  - IOC Evaluation Report
		  - Scorecard Data set
		  -DHS Strategic Plan
		  -PowerPoints from Commissioner
		
		▪ KI Interviews
			▪ Measures, metrics, indicators
			▪ Financial data
			▪ Internal (process) data
			  ▪ Quality & Efficiency
			▪ Organizational capacity data
			  ▪ Human capital, infrastructure, technology, culture
			▪ External (customer) data
			  ▪ Stakeholder perspective
				▪ Measurement Table
				▪ Content Analysis
				▪ Deductive thematic analysis (Atlas Ti)

Quality improvement	Refers to the component of PM that allows entities to focus their efforts on specific and more granular targets to improve performance.[40]	▪ Content Analysis
		  ▪ Secondary data:
		  -IOC Evaluation Report
		  -Scorecard Data set
		  -DHS Strategic Plan
		  -PowerPoints from Commissioner
		
		▪ KI Interviews
			▪ Plan, Do, Study, Act
			▪ Continuous Quality Management
			▪ Learning processes
			▪ Technical Assistance
			▪ Capacity Building
			▪ New strategy implementation
				▪ Measurement Table
				▪ Content Analysis
				▪ Deductive thematic analysis (Atlas Ti)

Reporting progress	Refers to the actions of analyzing and interpreting data, reporting results broadly, and developing regular reporting cycles.[27]	▪ Content Analysis
		  ▪ Secondary data:
		  -IOC Evaluation Report
		  - Scorecard Data set
		  -PowerPoints from Commissioner
		
		▪ KI Interviews
			▪ Evaluation and monitoring of data
			▪ Analysis, Synthesis, Interpreting of data
			▪ Stakeholder engagement
			▪ Timely Communication & dissemination of data
			  ▪ Internal & External
			▪ Planning cycles/adoption of practices
			▪ Knowledge transfer/sharing
				▪ Measurement Table
				▪ Content Analysis
				▪ Deductive thematic analysis (Atlas Ti)

Incentivizing.	Refers to the process of providing incentives to promote and sustain performance.[24,56]	▪ Content Analysis
		  ▪ Secondary data:
		  -IOC Evaluation Report
		  - Scorecard Data set
		  -PowerPoints from Commissioner
			▪ Performance-based contracting
			▪ Outcome financing
			▪ Fiscal gains
			▪ Public value
				▪ Measurement Table
				▪ Content Analysis
				▪ Deductive thematic analysis (Atlas Ti)

		▪ KI Interviews		
2. What organizational factors influence performance among CUA case management service providers				
Constructs	**Descriptions & Factors**	**Data Collection Approach**	**Possible Sub-codes**	**Analysis**
Structural	The ability of the organization's infrastructure to properly supports its activities such as task allocation, coordination and supervision in an effort to efficiently achieve organizational aims.[59.61]	▪ Content Analysis 　▪ Org Structures 　▪ Strategic Plans 　▪ Policy Manuals 　▪ Job Descriptions 　▪ Corp Budgets ▪ KI Interviews	*Facilitators* ▪ Operations ▪ Division of labor ▪ Restructuring ▪ Role definition ▪ Structure Types 　▪ Bureaucratic 　▪ Divisional 　▪ Matrix or Network 　▪ Flat ▪ Flexible or Adaptive *Barriers* ▪ Unclear operations ▪ Unclear division of labor ▪ Unclear role definition ▪ Inflexible or non-adaptive	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
Human Resources	The management of human capital within an organization to produce outcomes and reach organizational aims.[63]	▪ Content Analysis 　▪ Org Structures 　▪ Strategic Plans 　▪ Retention Data 　▪ Corp budgets 　▪ Policy manuals 　▪ Scorecard Data Set (Workforce Domain) ▪ KI Interviews	*Facilitators* ▪ Retention ▪ Loyalty or Tenure ▪ Motivated/empowered ▪ Investments 　▪ Salary/raises 　▪ Flexibility 　▪ Training or Professional Development *Barriers* ▪ High Turnover ▪ Workforce Trauma/Fear ▪ Workforce Burnout ▪ Unmotivated/Devalued ▪ No investments 　▪ Salary/raises 　▪ Flexibility 　▪ Training or Professional Development	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
Political	Recognition or power dynamics because organizations carry responsibilities to	▪ Content Analysis 　▪ List of Board of Directors 　▪ Strategic Plans	*Facilitators* ▪ Engaged political stakeholders	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)

Constructs	Descriptions & Factors	Data Collection Approach	Possible Sub-codes	Analysis
	internal and external stakeholders, especially those receiving public funds as they are held accountable by elected officials.[63]	▪ Corp Budgets ▪ KI Interviews	▪ Strategic Partnerships ▪ Resource Allocation ▪ Power Dynamics ▪ Positive Market Competition ▪ Increased Public Value *Barriers* ▪ External decision-making ▪ Power Conflict ▪ Negative Market competition ▪ Decreased public value	
Symbolic	Refers to organizational culture or the basic assumptions and beliefs that are shared by organizational members and defines attitudes and behaviors.[79,80]	▪ Content Analysis ▪ Strategic Plans ▪ KI Interviews	*Facilitators* ▪ Mission ▪ Values ▪ Objectives ▪ Organizational norms ▪ Organizational learning/innovation ▪ Perceived Stability *Barriers* ▪ Unclear Mission, values, objectives ▪ Unclear organizational norms ▪ Lack of org. learning/innovation ▪ Perceived Instability	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
3. How are leadership factors influencing performance among CUA case management service providers?				
Constructs	**Descriptions & Factors**	**Data Collection Approach**	**Possible Sub-codes**	**Analysis**
Systems thinking	Ability to recognize that the interrelated patterns of behaviors and underlying structures impact each other.[88]	▪ KI Interviews	*Facilitators* ▪ Open-minded to new or opposing ideas ▪ Flexible decision-making ▪ Learning/information exchange ▪ Inter-related impact *Barriers* ▪ Closed-minded to new or opposing ideas ▪ Inflexible ▪ Lack of innovation ▪ Unlearning ▪ Silos/Fragmented	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
Mental Models	Deeply ingrained assumptions,	▪ KI Interviews	*Facilitators* ▪ Shared experiences	▪ Measurement Table ▪ Content Analysis

			Collective thoughts	Deductive thematic analysis (Atlas Ti)
	generalizations, or even stories, pictures or images that influence how we understand the world and how we take action.[23]		▪ Collective thoughts ▪ Experiential hardships ▪ Transformative learning ▪ Views setbacks as opportunities ▪ Holds self-accountable ▪ Challenges own assumptions *Barriers* ▪ Siloed negative experiences ▪ Lacks self-accountability ▪ Views setbacks as challenges ▪ Does not challenge own assumptions	▪ Deductive thematic analysis (Atlas Ti)
Personal Mastery	Holding oneself accountable to continual learning.[63]	▪ KI Interviews	*Facilitators* ▪ Desire to grow and learn ▪ Competence and skill ▪ Pursuit of clarification ▪ Personal vision ▪ Self-confidence, self-efficacy *Barriers* ▪ Over-confident, limited interest in growth/learning ▪ Lack of clarity in role ▪ No personal vision	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
Shared Vision	A concrete image of the organization's philosophy in achieving a lofty future goal.[96]	▪ KI Interviews	*Facilitators* ▪ Aspirational vision ▪ Knowledge of org vision ▪ Connectivity and commitment to vision ▪ Extrinsic and intrinsic vision *Barriers* ▪ Negative vision ▪ Lacks knowledge or org vision ▪ Disconnected to vision ▪ Lacks commitment to vision ▪ Extrinsic only vision	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
Team Learning	Refers to the collective acquisition, combination, creation, and sharing of knowledge by teams.**[98]**	▪ KI Interviews	*Facilitators* ▪ Synchronized & supportive teams ▪ Genuine relationships ▪ Invested in team discovery ▪ Group learning *Barriers* ▪ Unclear role definitions	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)

			▪ Insincere relationships/distrust ▪ Team stress ▪ Group think	
4. What are the opportunities to enhance the current performance management system for CUA case management service providers?				
Constructs	**Descriptions & Factors**	**Data Collection Approach**	**Possible Sub-codes**	**Analysis**
NOTE: Utilizing constructs and data above		▪ KI Interviews	**NOTE: Utilizing sub-codes above**	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)
5. What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?				
NOTE: Utilizing constructs and data above		▪ KI Interviews	**NOTE: Utilizing sub-codes above**	▪ Measurement Table ▪ Content Analysis ▪ Deductive thematic analysis (Atlas Ti)

Interviews with CUA Leadership Staff

Introduction: *Hello, my name is Tinesha Banks with the University of Illinois at Chicago's School of Public Health. Thank you again, for taking the time to share your insights and experiences with me. This interview is part of a larger evaluation process to better understand how we improve performance within the CUA system. Just to reiterate, today I will be asking you about your personal insights on the CUA organization that you work with and your personal leadership traits. Today's conversation will be audiotaped only to ensure that I accurately record your contributions. All conversation will be held in strict confidence. Please know that your individual insights and experiences will be not shared. You are a valuable member of the CUA leadership group and I look forward to learning from you.*

Do you have any questions thus far?

Background: **Before we begin, I'd like to learn a little more about you and your role here at (INSERT ORGANIZATION). Can you please tell me your full name, title, and how long you've been employed in this role and or at this organization, if it differs?**

_____

1. **Please tell me more about your role within the organization?**
   o *Probing Question:* Do you feel like you fully understand your job function? Does your role interconnect with other roles within the organization? If so, how? If not, can you elaborate?
   o *Probing Question:* How does your role contribute to the organization's CUA performance overall? Can you provide an example of how your decisions have impacted other's performance?
   o

2. **Overall, can you describe the culture of your organization?**
   o *Probing Question:* Are there shared "do's and don't"? Please elaborate on those organizational norms.
   o *Probing Question:* Was this always the culture? Please explain. How do you fit within this culture? Has it shifted? In what ways?
   o *Probing Question:* Do you worry about stable employment with your organization? If yes, why? **If no, move to next section.**

3. **How would you describe your organization's ability to adapt to new information/new ideas? Is it flexible? Is it data-driven?**
   o *Probing Question:* Can you describe some of the key components that you feel help your organization adapt (knowledge management, learning)? What is the process for understanding new information? How does learning pass through the different levels within your organization? (i.e. Does your agency have a Strategic Plan? If yes, were you a part of developing that plan? (If No, move to next question).

4. **How would you describe your personal leadership style?**
   - *Probing Question:* What do you value most about your leadership style? What do you feel like you still need to work on?
   - *Probing Question:* What is your perspective on conflict? How do you personally tackle decision-making?
   - *Probing Question:* What would your team say about your leadership style?

5. **Can you share a story with me while in this role at CUA that was particularly difficult to manage through as an executive leader?**
   - *Probing Question:* How did your leadership style show up in this story?
   - *Probing Question:* Were there any lasting effects on your leadership style?

6. **How do you feel like your team is performing?**
   - *Probing Question:* Do you feel like they all share the same core values? Are these values in line with the organizational values? Please elaborate.
   - *Probing Question:* Do you feel like they have sincere relationships with each other? Please provide examples?
   - *Probing Question:* Do you have team meetings with just your team members?
     - *Probing Questions:* If yes, can you elaborate on how those meeting work? What are standard agenda items, if any? Do you feel like the team shares lessons learned with each other? If yes, please elaborate. If no, please elaborate
   - *Probing Question:* Can you share a short story about how your team reacts to stressful times?

7. **What are your career aspirations? Where do you see yourself in 3,5,10 years?**
   - *Probing Question:* Tell me the story of how you landed at your organization. How does your current role within your organization assist with this vision? Do you feel like your organization's vision is aligned with your personal vision?

Transition: Thank you for sharing your personal leadership thoughts with me. I have one more question…

1. **What opportunities do you see to enhance your organization's CUA performance?**
   - *Probing Question:* What supports do you need as a CUA leader to better perform?
   - *Probing Question:* What organizational supports would help support better performance with CUA services?

Introductory Email (Sent individually to Potential Interviewees):

Hello, my name is Tinesha Banks with the University of Illinois at Chicago's School of Public Health and I am conducting research on performance management systems (PMS) for CUAs. More specifically, the title of my research study is: *Systems Transformation in Child Welfare: Lessons Learned about Managing Performance during the Privatization of Case Management Service in Philadelphia.*

You were recommended to be interviewed in this study by your CEO because of your leadership role within your CUA and your knowledge about your organization. The overall aim for this study is to learn about facilitators and barriers to improving and sustaining performance within the CUA structure. The interview should last no longer than an hour and participation is voluntary. Attached you will find an Informed Consent form that must be read, signed and returned prior to our discussion. All discussions will be recorded simply to ensure accuracy of our conversation and all recordings will be appropriately stored and promptly destroyed at the conclusion of the study. Additionally, please know that should you choose to participate, any and all conversations will be held in the strictest confidence and only aggregate, de-identified data will be shared with study partners.

In an effort to be most efficient, I am using a scheduling app called Calendly. Please click on the following link and select a date and time that works best for you https://calendly.com/tinesha-banks-performance-management-research-interviews/60min.
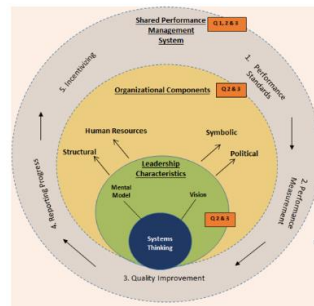
Thank you so much for considering your participation. Should you have any questions or want to discuss before scheduling, please feel free to contact me at Tbanks20@uic.edu or 215.490.7023.

Sincerely,

Tinesha Banks, Principle Investigator

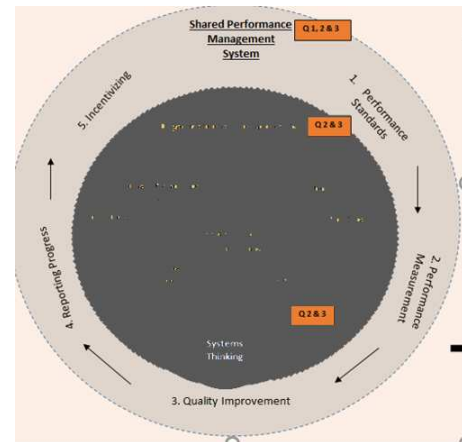| Research Questions	Codes	Definitions
1. *What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?*	Supports_Standards	Evidence that performance supports and is working toward achieving mission and vision of the local child welfare system as well as the goals and national standards.
	Engagement_ Measures	Evidence that there was a process that engaged stakeholders in selecting and prioritizing PMS measures
	Engagement_Communication	Evidence of communication of selected measures an indicators and opportunity for feedback and adaptations
	Measurement_Capacity	Evidence that there is a data system to collect and store CUA related performance data. Evidence that the data system is shared with CUA and DHS
	Measurement_Process	Evidence that there is a process in place to regularly measure outcomes and results.
	Measurement_Communication	Evidence that there is a process in place to regularly communicate performance outcomes and progress.
	Learning_Quality Improvement	Evidence that there is a quality improvement process implace to promote learning (e.g. Plan, Do, Study, Act). Evidence that there is a techinical assistance component to promote learning and create new strategies to implement.
	Learning_Reporting	Evidence that there is a process in place to analyze, synthesize information, share lessons learned, and promote knoweldge transfer.
	Reward_Incentives	Evidence that good performance is incentivized through meaningful rewards such as fiscal gains, public value etc.
2. *What organizational factors influence performance among CUA case management service providers?*	Structure_Role Clarity	Evidence that the organization has a strucutre that supports performance. Items such as a clear division of labor and role definition (job descriptions, org charts, understanding of job function etc), policy manuals, etc. Also, does this function/role contribute to organizational goals and support mission and vision.
	Structure_Flexibility	Evidence of organizational structure type. Functional or bureaucratic/hierarchical (Inflexible), 2) Matrix or network, which is more multi-layered and complex with fluid reporting lines (inflexible), 3) Divisional whereby the structure of leadership mirrors differing projects/products/divisions (Flexible), and lastly, 4) Flat where reporting structures are more informal and collaborative (Flexible) .
	Human Resources_Human Capital Mngmt	Evidence that the organization has a functioning human resource department to manage human capital. Items include: existence of executive team member responsible for HR department. This demonstrates priority within organization. Evidence of high turnover as measured by the CUA Scorecard.
	Human Resources_Empowerment	Evidence that the organization engages in positive messaging about or to staff.
	Political_Engagement	Evidence that the organization has engaged and supportive political stakeholders and other strategic partnerships. Evidence includes: engagement plans, regular meetings, communications etc.
	Political_Value	Evidence that the organization has obtained public support from their political stakeholders which has increased public value and has led to increased budget allocations, resources and other strategic partnerships.
	Symbolic_Learning	Evidence that there is an organizational culture that values learning. Evidence includes ongoing innovation and the value of new ideas, and a safe space to express opposing thoughts and that this kind if idea generation is an organizational norm.
	Symbolic_Stability	Evidence that there is organizational stability and longevity. Evidence of historical narratives.
3. *How are leadership factors influencing performance among CUA case management service providers?*	Systems Thinking_Connections	Perceptions of self's ability to see all components of case management as interrelated. Perception that learning is ongoing and critical to seeing the reality of the situation in order to connect the pieces successfully.
	Systems Thinking_Fragmentation	Inability to see interrelated parts of case management. Perception that case management system is fragmented and siloed, that activities do not impact each other.
	Mental Models_Experiences	Ability to speak about experiential hardships and how that helped transform their own behavior.
	Mental Models_Attitudes	Negative percpetion of self and role in conflict and decision-making. Views setbacks as challenge, does not challenge own assumptions, lacks self-accountability (engages in blame). Negative attitute towards work, team, leadershp etc.
	Mental Model_Vision	Expressed desire and committement to continously learn and grow. Continous pursuit of clarification, has a personal vision with goals etc.
	Mental Model_Efficacy	Exhibits self-confidence and efficacy or ability to perform with assurance.
	Vision_External	Perception that the vision is externally motivated and does not resonate with the team or work. Vision is disconnected from the work.
	Vision_Team Learning	Perception that team is synchonized and supportive. Perception that realtionships are sincere and genuine, that there is an investment in team discovery and group learning.
	Vision_Stress	Perception of team stress, and feeling overwhelmed. Negative group think. The perception that negativivity is pervasive throughout their team.
3. *What are the opportunities to enhance the current performance management system for CUA case management service providers?* a. What supports are needed for CUA leadership and CUA organizations to demonstrate performance within the current PMS?	Existing_Elements	Indicating that suggested enhancements support codes delineated above for organizational or leaderhip characteristics
	Emerging_Elements	Indicating that suggested enhancements are new orgnizational and or leadership elements than otherwise stated above.
4. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*	Existing_Elements	Recommentations will be organized using existing codes and will support the future of the CUA performance management system
	Emerging_Elements	Recommendations will be organizaed using newly emerged codes/themes and will support the future of the CUA performance management system

Research Questions	Codes	Definitions
1. *What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?*	Supports_Standards	Evidence that performance supports and is working toward achieving mission and vision of the local child welfare system as well as the goals and national standards.
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	Learning_Quality Improvement	Evidence that there is a quality improvement process implace to promote learning (e.g. Plan, Do, Study, Act). Evidence that there is a techinical assistance component to promote learning and create new strategies to implement.
	Learning_Reporting	Evidence that there is a process in place to analyze, synthesize information, share lessons learned, and promote knowledge transfer.
	Reward_Incentives	Evidence that good performance is incentivized through meaningful rewards such as fiscal gains, public value etc.
2. *What organizational factors influence performance among CUA case management service providers?*	Structure_Role Clarity	Evidence that the organization has a strucutre that supports performance. Items such as a clear division of labor and role definition (job descriptions, org charts, understanding of job function etc), policy manuals, etc. Also, does this function/role contribute to organizational goals and support mission and vision.
	Structure_Flexibility	Evidence of organizational structure type. Functional or bureaucratic/hierarchical (Inflexible), 2) Matrix or network, which is more multi-layered and complex with fluid reporting lines (inflexible), 3) Divisional whereby the structure of leadership mirrors differing projects/products/divisions (Flexible), and lastly, 4) Flat where reporting structures are more informal and collaborative (Flexible) .
	Human Resources_Human Capital Mngmt	Evidence that the organization has a functioning human resource department to manage human capital. Items include: existence of executive team member responsible for HR department, compensation components (mention of health benefits, tuition reimbursement, trainings etc).
	Human Resources_Empowerment	Evidence that the organization engages in positive messaging, helps employees manage conflict, recognizes burnout, has policies specific to anti-bullying and other codes of conduct.
	Political_Engagement	Evidence that the organization has engaged and supportive political stakeholders and other strategic partnerships. Evidence includes: engagement plans, regular meetings, communications etc.
	Political_Value	Evidence that the organization has obtained public support from their political stakeholders which has increased public value and has led to increased budget allocations, resources and other strategic partnerships.
	Symbolic_Learning	Evidence that there is an organizational culture that values learning. Evidence includes ongoing innovation and the value of new ideas, and a safe space to express opposing thoughts and that this kind if idea generation is an organizational norm.
	Symbolic_Stability	Evidence that there is organizational stability and longevity. Perceptions of the organization's ability to withstand dynamic times.
3. *How are leadership factors influencing performance among CUA case management service providers?*	Systems Thinking_Connections	Perceptions of self's ability to see all components of the organization as interrelated. Understand how role interrelates with other roles/functions within the organization to drive performance.
	Systems Thinking_Learning Culture	Perception of a flexible and adaptive learning environment. Descrpitive words associated with learning culture (ex. adaptive, data-driven, learning, strategy, innovative etc).
	Mental Models_Experiences	Experiential leadership traits associated with Transactional vs. Transformational leadership. Transactional leadership values order and structure (ex. Organized, Directness, communication etc). Transformational leadership values vision (ex. flexibility, creativity, vision etc.)
	Mental Models_Mastery	Demonstrated ability to hold one's self accountable. Ability to be critical of self and identify leadership growth opportunities. Desire to grow and learn from tough situations.
	Mental Model_Vision	Has a personal vision with goals etc. that is supported by the organization's vision. Understands how the organization plays into their own career aspirations. Intentionalality.
	Mental Model_Efficacy	Understands role with clarity. Exhibits self-confidence and efficacy or ability to perform with assurance.
	Vision_External	Perception that the vision or culture is externally motivated and does not resonate with the staff (driven by Board of Directors or parent companies). Lack of internally developed strategic plan to drive desired vision and culture.
	Vision_Team Learning	Perception that team is synchonized and supportive. Perception that realtionships are sincere and genuine, that there is value in inclusion, diversity, team discovery and group
	Vision_Stress	Perception of team stress and conflict. Sees value in healthy conflict and is willing to navigate conflict with purpose of better outcomes.
4. *What are the opportunities to enhance the current performance management system for CUA case management service providers?* a. What supports are needed for CUA leadership and CUA organizations to demonstrate performance within the current PMS?	Existing_Elements	Indicating that suggested enhancements support codes delineated above for organizational or leaderhip characteristics
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5. *What are recommendations to increase performance for systems utilizing a public-private child welfare case management service model?*	Existing_Elements	Recommentations will be organized using existing codes and will support the future of the CUA performance management system
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CONTENT ANALYSIS

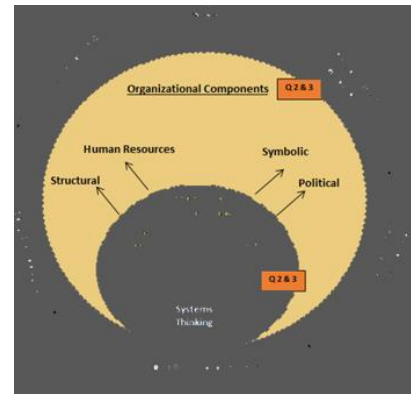### Performance Management System.

What are the characteristics of the current performance management system for Philadelphia's child welfare CUA case management services?

Literature/Construct	Evidence	Discussion NOTES
Performance Standards- Evidence that performance supports and is working toward achieving mission and vision of the local child welfare system.	X	
Performance Measurements- Evidence that there was a process that engaged stakeholders in selecting and prioritizing PMS measures	?	Some evidence suggests that there was a feedback process for selecting and prioritizing Scorecard metrics that engaged the CUAs. Thoughts?
Quality Improvement- Evidence that there is a quality improvement process in place to promote learning (e.g. Plan, Do, Study, Act). Evidence that there is a technical assistance component to promote learning and create new strategies to implement.	?	DHSU is represented, however, I could not tell whether or not they are using some sort of intentional process to capture and share CUA specific learnings and how that learning contributes to strategy development. Thoughts?
Reporting Progress Evidence that there is a process in place to analyze, synthesize information, share lessons learned, and promote knowledge transfer.	X	
Incentivizing Evidence that good performance is incentivized through meaningful rewards such as fiscal gains, public value etc.	?	I could not find any sort of "Reward" systems for good performance? Financial or otherwise. Thoughts?

Organizational Supports.

How are <u>organizational</u> and leadership factors influencing performance in the current performance management system?

| Literature/Construct	Prelim Themes	Discussion NOTES
Structure (Role Clarity & Flexibility)	Role Clarity good across all, some orgs have rigid structures	Interesting that given the complexity of the work, organizational structures seem to be more rigid than flexible. Creating flexibility in org structure may allow for more creativity supports to meet performance demands? Thoughts?
Human Resources (human management & empowerment)	Some orgs have clear HR Mngmt support, Some orgs have positive (empowering) messaging for workforce.	The workforce is arguably the most important resource in an organization's performance. This is an area where it seems more investment could benefit performance? Not just financial...empowerment language etc...Thoughts?
Symbolic (learning & stability)	All orgs have longevity (stable), but some appear to have heavier focus on learning culture	Learning culture is important in creating a strong performing organization because being adaptive allows the organization to embrace innovations that push performance. Thoughts?
Political (engagement & value)	All organizations appear to engage stakeholders (community & political). *Public value remains an issue across sector*.	Public value is important in the public sector. Being intentional about addressing negative public perception and increasing positive perception and value would positively impact performance. Thoughts?

INTERVIEWS

*Still being collected.

Leadership Supports.

How are organizational and <u>leadership</u> factors influencing performance in the current performance management system?

What are the opportunities to enhance the current performance management system for CUA case management service providers?
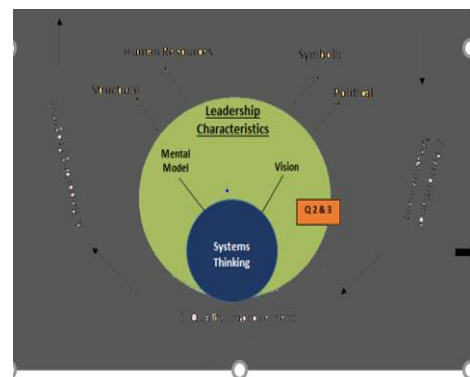
Exemption Granted

August 30, 2019

Tinesha Banks
Public Health

RE: **Protocol # 2019-0965**
        "Systems Transformation in Child Welfare: Lessons Learned about Managing
        Performance during the Privatization of Case Management Services in
        Philadelphia, PA"

For informational purposes only: **Effective October 1, 2019, all UIC investigators and key research personnel will be required to complete the CITI Information Privacy and Security (IPS) training for Researchers Basic Course.** Please note that the processing and approval of IRB protocol submissions may be delayed if these minimum requirements are not met for all personnel, particularly for those individuals listed on new Initial Review submissions and for those being added to an existing protocol via an Amendment. For more information, please refer to the following OPRS eBlast:
https://emails.uofi.uic.edu/newsletter/224787.html

Dear Tinesha Banks:

Your application was reviewed on **August 30, 2019** and it was determined that your research meets the criteria for exemption as defined in the U.S. Department of Health and Human Services Regulations for the Protection of Human Subjects [45 CFR 46.104(d)]. You may now begin your research.

Exemption Granted Date: August 30, 2019
Sponsor: None

The specific exemption category under 45 CFR 46.104(d) is: 2

You are reminded that investigators whose research involving human subjects is determined to be exempt from the federal regulations for the protection of human subjects still have responsibilities for the ethical conduct of the research under state law and UIC policy.

Please remember to:
→   Use your research protocol number (2019-0965) on any documents or correspondence
      with the IRB concerning your research protocol.
→   Review and comply with the policies of the UIC Human Subjects Protection Program
      (HSPP) and the guidance ***Investigator Responsibilities***.

We wish you the best as you conduct your research. If you have any questions or need further help, please contact me at (312) 355-2908 or the OPRS office at (312) 996-1711. Please send any correspondence about this protocol to OPRS via OPRS Live.

Sincerely,
Charles W. Hoehne, B.S., C.I.P.
Assistant Director, IRB #7
Office for the Protection of Research Subjects

cc: Paul Brandt-Rauf
Christina Welter

Informed Consent Form

Key Informant Interview Participant Name: _____

Organization: _____

Role/Title: _____

Purpose: The purpose of these interviews is to gather information from professionals that are knowledgeable about the current CUA performance management system and/or serve as CUA leaders responsible for CUA performance. This information will help us better understand facilitators and barriers to performance at the organizational and leadership level. It will also help us better understand how we are systematically capturing that performance in an effort to continually deliver quality services to youth and families throughout Philadelphia. This research study is being conducted by Tinesha Banks, a doctoral candidate in the Public Health Leadership program at the University of Illinois at Chicago.

The Key Informant Interviews will take between approximately 60 minutes; and will be audio recorded in order to accurately capture your responses.

Your rights as a participant: Your participation in this study is completely voluntarily and you have the right to decline participation at any point in the process. Should you choose not to participate, there will be no penalty or negative consequences. Your decision to participate or not participate will be kept confidential and will not be shared with anyone other than the researcher. A recorder will be used to ensure accuracy of your responses but it is your right to request that the recording be paused at any time during the interview process. You may choose how much or how little you want to speak during the interview. Your individual answers will not be shared as part of reporting study findings. Thus, all responses will be aggregated to protect participants' confidentiality. Audio recordings and subsequent typed transcripts will be kept on a password-protected computer and audio files will be destroyed after study completion.

Benefits and risks of participation: Your participation in this study, will contribute to the researcher's understanding of performance management systems as well as how organizational and leadership elements contribute to improved performance and outcomes. What is learned can help inform how to improve the CUA performance management system as well and how to strengthen CUA organizations.

What will happen with the information shared today: The information shared during the interview will be kept confidential—we will not release any information that identifies you or your organization without your prior consent, except as required by law. The information will be aggregated and shared with study participants as a means of learning about facilitators and barriers to performance.

I have read the consent form and understand that the Key Informant Interviews will be recorded. I agree to participate in this study.

Signature _____ **Date:** _____