



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey  
Governor

Henry Darwin  
Interim Director

March 17, 2017

To: Community Action Network

From: Rhonda Coates, Interim Assistant Director  
Division of Aging and Adult Services *RC*

Subject: State Fiscal Year (SFY) 2018 Initial Allocations

The following ALERTS are attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY-18-A	Community Services Block Grant (CSBG) – SFY 2018 Planning Levels
ALERT SFY-18-B	Low Income Home Energy Assistance Program (LIHEAP) – SFY 2018 Planning Levels
ALERT SFY-18-E	Temporary Assistance for Needy Families (TANF) – SFY 2018 Planning Levels
ALERT SFY-18-G	Social Services Block Grant (SSBG) – Locally Planned SFY 2018 Planning Levels
ALERT SFY-18-I	Neighbors Helping Neighbors (NHN) – SFY 2018 Planning Levels
ALERT SFY-18-K	Technical Assistance – Income Eligibility Thresholds for SFY 2018
ALERT SFY-18-L	CSBG and LIHEAP State Plans for SFY 2018

ALERTS are available on the DAAS Website using the link: <https://www.azdes.gov/daas/alerts>. Scroll down to ALERTS at the bottom of the Webpage and select the respective ALERT. Community Action Programs and Services Policies and Procedures are available on the DAAS Website at the following link: <https://www.azdes.gov/daas/policy>.

Should you have any questions, please contact your assigned Contract Specialist, or Tammy Frazee at (602) 542-2895.

cc: Rhonda Coates, Charles Shipman, Tammy Frazee, Sabrina Freeman, Diana Gravett, Nina Sutton, Bridget Casey, Camille Kowal, Matt Lecrone, Annette Maggio, Rose Larsen, and DAAS FSA Team, DAAS file

Division of Aging and Adult Services  
ALERT

SFY-18-A

**Community Services Block Grant (CSBG)  
for SFY-2018**

**State Fiscal Year (SFY) 2018 CSBG Discretionary Awards:** The Division of Aging and Adult Services (DAAS) is pleased to announce the CSBG Discretionary Special Project Fund awards for SFY 2018 in the amount of \$105,560 to the following CSBG eligible entities listed below:

<b>CSBG Funds Discretionary Funds Special Projects</b>	
<b>Agency</b>	<b>Amount</b>
Coconino County Community Services Department – Collective Impact Initiative – collaborative project	\$16,569
City of Phoenix Human Services Department – Public Information Delivery - equipment	\$ 23,611
Pima County Community Services Department	\$ 28,101
Arizona Community Action Association – Public Information Delivery – website redevelopment	\$ 8,284
Mesa Community Action Network – Workforce Opportunity Initiative – collaborative project	\$28,995
<b>Total CSBG Discretionary Awarded</b>	<b>\$105,560</b>

The total amount of awards was increased since agencies submitted Itemized Service Budgets (ISBs) due to an increase in CSBG allocations. Agencies receiving awards are requested to provide revised ISBs by March 30, 2017.

**Discretionary funds must be fully expended by June 30, 2018.**

Reporting for CSBG Discretionary Special Projects will consist of a brief narrative description of activities and expenditures, accompanied by outcomes and the deployment status of any equipment purchased with CSBG dollars. Each agency will use the Results Oriented Management and Accountability/National Performance Indicators (ROMA/NPIs), as set forth in the agency's proposal and/or information request responses, to track outcomes. The outcomes and a narrative description of activities and expenditures for Discretionary projects shall be included in the new CSBG Annual Report that is due October 1, 2019. DAAS/CAPS will provide assistance in reporting outcomes for these projects in the new CSBG Annual Report system following the close of SFY 2018.

Should you have any questions, please contact your assigned Contract Specialist or CSBG Program Specialist, Diana Gravett, at [dgravett@azdes.gov](mailto:dgravett@azdes.gov) or (602) 542-6594.

**Community Services Block Grant (CSBG)  
for SFY 2018**

The Division of Aging and Adult Services (DAAS) allocated \$5,868,290 of CSBG funding for State Fiscal Year (SFY) 2018. This amount is significantly higher than the SFY 2017 initial allocation, due to an increase in the FFY 2016 grant that was not placed in the SFY 2017 contracts. This causes a “bubble” in the SFY 2018 funding that will result in a decrease for SFY 2019 if grant funding remains the same. Following deliberations with the Network that led to an agreement on data sources and funding factors to be used, beginning in SFY 2018 and going forward, the funding formula for CSBG has been revised for SFY 2018 as follows:

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level, urban or rural status, individuals under 50 percent of the Federal Poverty Level considered extreme poverty and a minimum funding variable. The sources used for the poverty data were the 2015 Five year American Community Survey and the 2010 United States Census for the rural factors, respectively.

Poverty Factor	Rural Factor	Extreme Poverty	Tribal Adjustment	Migrant/ Seasonal Farmworker Adjustment	Minimum Funding Variable
90%	5%	5%	Yes	2%	\$150,000

The unemployment factor has been removed; the poverty factor was increased from 85 percent to 90 percent, the extreme poverty factor of five percent was added, and the minimum funding variable remained unchanged.

For SFY 2018, agencies were to be held harmless for 50 percent of reductions, if said reduction is eight percent or greater. However, due to increased allocations, no eligible entities lost sufficient funding to trigger the hold-harmless formula.

CSBG Funds are allocated to designated Community Action Agencies.

Agency	Allocation
City of Glendale Community Action Program	\$232,350
City of Phoenix Human Services Department	\$1,609,418
Coconino County Community Services Department	\$150,000
Community Action Human Resources Agency	\$355,893
Gila County Division of Health and Community Services	\$150,000
Maricopa County Human Services Department	\$977,885
Mesa Community Action Network	\$361,063
Northern Arizona Council of Governments	\$305,074
Pima County Community Action Agency	\$887,354
Southeastern Arizona Community Action Program	\$225,162
Western Arizona Council of Governments	\$496,725
<b>Subtotal</b>	
Portable Practical Educational Preparation, Inc.	\$117,366
<b>Total</b>	<b>\$5,868,290</b>



Division of Aging and Adult Services  
ALERT

SFY-18-A1

**Community Services Block Grant (CSBG)  
for SFY 2018**

Should you have any questions or require additional information, please contact your assigned Contract Specialist.

No changes will be made to the following CSBG discretionary funds for SFY 2018. DAAS will be working with Arizona Community Action Association to update and refine service deliverables to meeting Network and Department of Economic Security (DES)/DAAS projected needs.

<b>Agency</b>	<b>Priority Area</b>	<b>Allocation</b>
Arizona Community Action Association	Statewide Coordination, Training and Technical Assistance Among Eligible Entities and DES/DAAS	\$155,000
	<b>Total</b>	<b>\$155,000</b>

**Discretionary funds must be fully expended by June 30, 2018.**

Should you have any questions or require additional information, please contact Tammy Frazee, Community Action Program Administrator, at 602-542-2895.

**CSBG  
SFY 2018**

SFY 18-A

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - CSBG (Funding \$5,868,290)

District	Agency	Served	5% Funds distributed based on urban or rural status	5% Rural Population Internal Percentage	5% Balance Distributed Based on Extreme Poverty	5% Extreme Poverty	2010 census % of persons @ or below 125% of poverty	90% of service \$ distributed based on % of persons @ or below 125% of poverty	% of Total Allocation	Total Allocation Using Rural and Poverty Factors	Minimum Funding Variable	\$150,000	Adjusted for \$ 150,000 Minimum Funding Variable	12 Month Total Allocation	FY 2018 Hold Harmless	Revised 12 Month Total Allocation
District 1	MesaCAN	Maricopa/Mesa	\$ -	0.00%	6.45%	\$ 18,551	6.80%	\$ 351,734	6.31%	\$ 370,285	\$ -	\$ 370,285	\$ (9,222)	\$ 361,063	\$ -	361,063.00
	CITY OF GLENDALE	Maricopa/Glendale	\$ -	0.00%	4.48%	\$ 12,892	4.35%	\$ 225,393	4.06%	\$ 238,285	\$ -	\$ 238,285	\$ (5,935)	\$ 232,350	\$ -	232,350.00
	CITY OF PHOENIX	Maricopa/Phx	\$ -	0.00%	31.21%	\$ 89,757	30.15%	\$ 1,560,767	28.13%	\$ 1,650,524	\$ -	\$ 1,650,524	\$ (41,106)	\$ 1,609,418	\$ -	1,609,418.00
	MARICOPA COUNTY	Maricopa/balance	\$ 13,067	4.54%	18.89%	\$ 54,317	18.07%	\$ 935,477	17.09%	\$ 1,002,861	\$ -	\$ 1,002,861	\$ (24,976)	\$ 977,885	\$ -	977,885.00
District 2	PIMA COUNTY	Pima	\$ 10,328	3.59%	16.36%	\$ 47,052	16.47%	\$ 852,638	15.51%	\$ 910,018	\$ -	\$ 910,018	\$ (22,664)	\$ 887,354	\$ -	887,354.00
District 3	COCONINO COUNTY	Coconino	\$ 19,015	6.61%	1.91%	\$ 5,505	1.74%	\$ 89,967	1.95%	\$ 114,487	\$ 35,513	\$ -	\$ -	\$ 150,000	\$ -	150,000.00
	NACOG	Totals	\$ 52,356			\$ 12,790	4.79%	\$ 247,720	5.33%	\$ 312,866	\$ -	\$ 312,866	\$ (7,792)	\$ 305,074	\$ -	305,074.00
		Apache	\$ 3,570	1.24%	0.25%	\$ 724	0.33%	\$ 16,891		\$ 21,185		7%	\$ (528)	\$ 20,657		20,657.00
		Yavapai	\$ 33,642	11.70%	2.78%	\$ 7,998	3.08%	\$ 159,176		\$ 200,816		64%	\$ (5,001)	\$ 195,815		195,815.00
		Navajo	\$ 15,144	5.27%	1.41%	\$ 4,068	1.38%	\$ 71,653		\$ 90,865		29%	\$ (2,263)	\$ 88,602		88,602.00
District 4	WACOG	Totals	\$ 85,595			\$ 18,830	7.82%	\$ 404,987	8.68%	\$ 509,412	\$ -	\$ 509,412	\$ (12,687)	\$ 496,725	\$ -	496,725.00
		La Paz	\$ 4,090	1.42%	0.28%	\$ 808	0.37%	\$ 19,350		\$ 24,248		5%	\$ (604)	\$ 23,644		23,644.00
		Mohave	\$ 38,230	13.30%	3.22%	\$ 9,259	3.49%	\$ 180,882		\$ 228,371		45%	\$ (5,688)	\$ 222,683		222,683.00
		Yuma	\$ 43,275	15.05%	3.05%	\$ 8,763	3.96%	\$ 204,755		\$ 256,793		50%	\$ (6,395)	\$ 250,398		250,398.00
District 5	CAHRA	Pinal	\$ 60,780	21.14%	5.78%	\$ 16,619	5.56%	\$ 287,584	6.22%	\$ 364,983	\$ -	\$ 364,983	\$ (9,090)	\$ 355,893	\$ -	355,893.00
	GILA COUNTY	Gila	\$ 7,768	2.70%	0.61%	\$ 1,765	0.71%	\$ 36,757	0.79%	\$ 46,290	\$ 103,710	\$ -	\$ -	\$ 150,000	\$ -	150,000.00
District 6	SEACAP	Totals	\$ 38,637			\$ 9,468	3.53%	\$ 182,808	3.93%	\$ 230,913	\$ -	\$ 230,913	\$ (5,751)	\$ 225,162	\$ -	225,162.00
		Cochise	\$ 21,200	7.37%	1.94%	\$ 5,587	1.94%	\$ 100,309		\$ 127,096		55%	\$ (3,165)	\$ 123,931		123,931.00
		Graham	\$ 4,795	1.67%	0.53%	\$ 1,514	0.44%	\$ 22,685		\$ 28,994		13%	\$ (722)	\$ 28,272		28,272.00
		Greenlee	\$ 1,442	0.50%	0.12%	\$ 340	0.13%	\$ 6,823		\$ 8,605		4%	\$ (214)	\$ 8,391		8,391.00
		Santa Cruz	\$ 11,200	3.89%	0.70%	\$ 2,027	1.02%	\$ 52,991		\$ 66,218		29%	\$ (1,649)	\$ 64,569		64,569.00
<b>Totals</b>			\$ 287,546	100%	100%	\$ 287,546	100.00%	\$ 5,175,832	98.00%	\$ 5,750,924	\$ 139,223	\$ 5,590,147	\$ (139,223)	\$ 5,750,924	\$ -	5,750,924.00
								PPEP	2.00%	\$ 117,366			\$ 117,366	\$ -	117,366.00	
								Totals	100.00%	\$ 5,868,290			\$ 5,868,290	\$ -	5,868,290.00	
GRAND TOTALS			\$ 287,546.00			\$ 287,546.00				\$ 5,175,832.00			\$ 5,868,290			
			\$ 287,546.00			\$ 287,546.00				\$ 5,175,832.00						
			\$ -			\$ -				\$ -			\$ -	\$ -	\$ -	

PPEP	\$ 117,366.00	\$ 117,366.00	\$ 117,366.00
5% Rural	287,546.00	\$ 287,546.00	\$ 287,546.00
5% Extreme Poverty	287,546.00	\$ 287,546.00	\$ 287,546.00
90% Poverty	5,175,832.00	\$ 5,175,832.00	\$ 5,175,832.00
Total	5,868,290.00	5,868,290.00	5,868,290.00

# CSBG Discretionary SFY 2018

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - CSBG Discretionary (Funding \$260,560)

ALERT 18-A1

District	Agency	Served	FY 2018 Initial Allocation	Increase/ (Decrease)	FY 2018 Revised Allocation
<b>District 1</b>					
	MesaCAN				
		Maricopa/Mesa	\$ 28,995	\$ -	\$ 28,995
	CITY OF GLENDALE				
		Maricopa/Glendale	\$ -	\$ -	\$ -
	CITY OF PHOENIX				
		Maricopa/Phx	\$ 23,611	\$ -	\$ 23,611
	MARICOPA COUNTY				
		Maricopa/balance	\$ -	\$ -	\$ -
<b>District 2</b>					
	PIMA COUNTY				
		Pima	\$ 28,101	\$ -	\$ 28,101
<b>District 3</b>					
	COCONINO COUNTY				
		Coconino	\$ 16,569	\$ -	\$ 16,569
	NACOG	Totals	\$ -	\$ -	\$ -
		Apache	\$ -	\$ -	\$ -
		Yavapai	\$ -	\$ -	\$ -
		Navajo	\$ -	\$ -	\$ -
<b>District 4</b>					
	WACOG	Totals	\$ -	\$ -	\$ -
		La Paz	\$ -	\$ -	\$ -
		Mohave	\$ -	\$ -	\$ -
		Yuma	\$ -	\$ -	\$ -
<b>District 5</b>					
	CAHRA				
		Pinal	\$ -	\$ -	\$ -
	GILA COUNTY				
		Gila	\$ -	\$ -	\$ -
<b>District 6</b>					
	SEACAP	Totals	\$ -	\$ -	\$ -
		Cochise	\$ -	\$ -	\$ -
		Graham	\$ -	\$ -	\$ -
		Greenlee	\$ -	\$ -	\$ -
		Santa Cruz	\$ -	\$ -	\$ -
<b>Statewide</b>					
	ACAA	Statewide	\$ 163,284	\$ -	\$ 163,284
<b>Totals</b>			<b>\$ 260,560</b>	<b>\$ -</b>	<b>\$ 260,560</b>
FY 2018 Total Allocated					<b>\$ 260,560</b>

Division of Aging and Adult Services  
ALERT

SFY-18-B

**Low Income Home Energy Assistance Program (LIHEAP)  
for SFY 2018**

The Division of Aging and Adult Services (DAAS) allocated \$18,542,309 of LIHEAP funding for State Fiscal Year (SFY) 2018. This amount is significantly lower than the SFY 2017 initial allocation, due to a decrease in the FFY 2016 grant that was received late and not placed in the SFY 2017 contracts, as requested by the CAA Network. As a result, the SFY 2019 allocation should be higher if grant funding remains the same. Following deliberations with the Network that led to an agreement on data sources and funding factors to be used beginning in SFY 2018 and going forward, the funding formula for LIHEAP has been revised for SFY 2018 as follows:

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level and urban or rural status. The sources used for the poverty and rural factors were the 2015 Five year American Community Survey and the 2010 United States Census, respectively.

Poverty Factor	Rural Factor	Tribal Adjustment
95%	5%	Yes

For SFY 2018, agencies were to be held harmless for 50 percent of reductions if said reduction is eight percent or greater. However, due to a decrease in allocations, all eligible entities lost funding and the hold-harmless formula was not triggered.

Tucson Urban League will not be receiving LIHEAP funding for SFY 2018. The funds will be allocated to Pima County Community Action Agency for SFY 2018 and future years.

The following revised initial contract allocations are being made to designated LIHEAP providers.

Agency	Allocation
City of Glendale Community Action Program	\$649,861
City of Phoenix Human Services Department	\$4,500,051
Maricopa County Human Services Department	\$2,675,630
Mesa Community Action Network	\$1,014,129
Pima County Community Action Agency	\$2,404,900
Coconino County Community Services Department	\$313,479
Northern Arizona Council of Governments	\$863,147
Western Arizona Council of Governments	\$1,371,851
Community Action Human Resources Agency	\$931,460
Gila County Division of Health and Community Services	\$128,071
Southeastern Arizona Community Action Program	\$636,972
<b>Subtotal</b>	<b>\$15,489,551</b>
Arizona Department of Housing	\$2,965,186
Tohono O'odham Nation	\$62,572
<b>Subtotal</b>	<b>\$18,517,309</b>
Arizona Community Action Association	\$25,000
<b>Total</b>	<b>\$18,542,309</b>



Division of Aging and Adult Services  
ALERT

SFY-18-B

**Low Income Home Energy Assistance Program (LIHEAP)  
for SFY 2018**

**These funds must be fully expended by June 30, 2018.**

The LIHEAP funds include provider administration, vouchers, and Assurance 16. Please note that Assurance 16 funds are to be used for services that encourage and enable households to reduce their home energy needs and, thereby, the need for energy assistance, including needs assessments, counseling, and assistance with energy education.

There is a 15 percent set-aside for low-income residential weatherization to be coordinated through the Arizona Department of Housing. One percent (\$29,652) of the total weatherization allocation is approved for training purposes. This amount is unchanged.

An allocation of \$25,000 is made to the Arizona Community Action Association for Leveraging Activities allowed under the governing legislation. This amount is unchanged.

Should you have any questions or require additional information, please contact your assigned Contract Specialist.



**LIHEAP  
SFY 2018**

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - LIHEAP (Funding \$18,542,309)

SFY 18-B

District	Agency	Served	5%		95%		% of Total Allocation	12 Month Total Allocation	FY 2018 Hold Harmless	SFY 2018 Allocation
			Funds distributed based on urban or rural status	% of Allocation based on urban/rural status	Funds distributed based on % of persons @ or below 125%	2010 census % of persons @ or below 125% of poverty				
<b>District 1</b>	CITY OF GLENDALE	Maricopa/Glendale		0.00%	\$ 649,861	4.42%	4.20%	\$ 649,861	\$ -	\$ 649,861
	CITY OF PHOENIX	Maricopa/Phx		0.00%	\$ 4,500,051	30.58%	29.05%	\$ 4,500,051	\$ -	\$ 4,500,051
	MARICOPA COUNTY	Maricopa/balance	\$ 27,033	3.49%	\$ 2,648,597	18.00%	17.27%	\$ 2,675,630	\$ -	\$ 2,675,630
	MesaCAN	Maricopa/Mesa		0.00%	\$ 1,014,129	6.89%	6.55%	\$ 1,014,129	\$ -	\$ 1,014,129
<b>District 2</b>	PIMA COUNTY	Pima	\$ 15,085	1.95%	\$ 2,389,815	16.24%	15.53%	\$ 2,404,900	\$ -	\$ 2,404,900
<b>District 3</b>	COCONINO COUNTY	Coconino	\$ 54,083	6.98%	\$ 259,396	1.76%	2.02%	\$ 313,479	\$ -	\$ 313,479
	NACOG	Totals	\$ 148,913		\$ 714,234		5.57%	\$ 863,147	\$ -	\$ 863,147
		Apache	\$ 10,154	1.31%	\$ 48,702	0.33%		\$ 58,856		
		Navajo	\$ 43,073	5.56%	\$ 206,592	1.40%		\$ 249,665		
	Yavapai	\$ 95,686	12.35%	\$ 458,940	3.12%		\$ 554,626			
<b>District 4</b>	WACOG	Totals	\$ 236,678		\$ 1,135,173		8.86%	\$ 1,371,851	\$ -	\$ 1,371,851
		La Paz	\$ 6,002	0.77%	\$ 28,785	0.20%		\$ 34,787		
		Mohave	\$ 108,735	14.04%	\$ 521,524	3.54%		\$ 630,259		
		Yuma	\$ 121,941	15.74%	\$ 584,864	3.97%		\$ 706,805		
<b>District 5</b>	CAHRA	Pinal	\$ 160,698	20.75%	\$ 770,762	5.24%	6.01%	\$ 931,460	\$ -	\$ 931,460
	GILA COUNTY	Gila	\$ 22,095	2.85%	\$ 105,976	0.72%	0.83%	\$ 128,071	\$ -	\$ 128,071
<b>District 6</b>	SEACAP	Totals	\$ 109,893		\$ 527,079		4.11%	\$ 636,972	\$ -	\$ 636,972
		Cochise	\$ 60,300	7.79%	\$ 289,215	1.97%		\$ 349,515		
		Graham	\$ 13,637	1.76%	\$ 65,407	0.44%		\$ 79,044		
		Greenlee	\$ 4,101	0.53%	\$ 19,671	0.13%		\$ 23,772		
		Santa Cruz	\$ 31,855	4.11%	\$ 152,786	1.04%		\$ 184,641		
<b>Totals</b>			\$ 774,478	100%	\$ 14,715,073	100%	100%	\$ 15,489,551	\$ -	\$ 15,489,551

ACAA - Leveraging	\$ 25,000	\$ 25,000
AZ Dept. of Housing (ADOH)	\$ 2,965,186	\$ 2,965,186
Tohono O'odham	\$ 62,572	\$ 62,572
<b>Total (Tohono/ACAA/ADOH)</b>	<b>\$ 3,052,758</b>	<b>\$ 3,052,758</b>
<b>Total</b>	<b>\$ 18,542,309</b>	<b>\$ 18,542,309</b>

LIHEAP		
5% Rural	\$ 774,478.00	\$ 774,478
95% Poverty	\$ 14,715,073.00	\$ 14,715,073
Tohono O'odham	\$ 62,572.00	\$ 62,572
ACAA - Leveraging	\$ 25,000.00	\$ 25,000
AZ Dept. of Housing	\$ 2,965,186.00	\$ 2,965,186
	\$ 15,489,551.00	\$ 15,489,551
<b>Total</b>	<b>\$ 18,542,309.00</b>	<b>\$ 18,542,309</b>

\$ 15,489,551

Diff \$ - \$ -

Division of Aging and Adult Services  
ALERT

SFY-18-E

**Temporary Assistance for Needy Families (TANF)  
for SFY 2018**

The Division of Aging and Adult Services (DAAS) estimates receipt of Temporary Assistance for Needy Families (TANF) State Fiscal Year (SFY) 2018 appropriation in the amount of \$3,724,000. The final SFY 2018 TANF appropriation has not been received. Consequently, level funding estimates have been used to determine SFY 2018 contract allocations. When DAAS receives the final SFY 2018 appropriation for Community and Emergency Services, TANF allocations may be adjusted accordingly and a new ALERT may be issued.

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level, low-income families with children under 18, urban or rural status, and a minimum funding variable. The sources used for the poverty and low income families with children under 18 data was the 2015 Five Year American Community Survey and the 2010 United States Census for the rural factors, respectively.

Poverty Factor	Rural Factor	Extreme Poverty	Tribal Adjustment	Migrant/ Seasonal Farmworker Adjustment	Minimum Funding Variable
90%	5%	5%	Yes	2%	\$150,000

The following initial contract allocations are being made to designated Community Action Agencies and the Limited Purpose Agency serving Migrant and Seasonal Farm Workers for SFY 2018.

Agency	Allocation
City of Glendale Community Action Program	\$ 150,000
City of Phoenix Human Services Department	\$ 985,710
Coconino County Community Services Department	\$ 150,000
Community Action Human Resources Agency	\$ 216,673
Gila County Division of Health and Community Services	\$ 150,000
Maricopa County Human Services Department	\$ 593,324
Mesa Community Action Network	\$ 221,232
Northern Arizona Council of Governments	\$ 186,134
Pima County Community Action Agency	\$ 540,565
Southeastern Arizona Community Action Program	\$ 150,000
Western Arizona Council of Governments	\$ 305,882
<b>Subtotal</b>	<b>\$ 3,649,520</b>
Portable, Practical Education Preparation	\$ 74,480
<b>Total</b>	<b>\$ 3,724,000</b>

**These funds must be fully expended by June 30, 2018.**

Should you have any questions or require further information, please contact your assigned Contract Specialist.



Division of Aging and Adult Services  
ALERT

SFY-18-G

**Social Services Block Grant (SSBG)  
Locally Planned for SFY 2018**

The State of Arizona's allotment of the national Social Services Block Grant (SSBG) appropriation is determined by the United States Department of Health and Human Services, based on the portion of the national population that resides in Arizona.

The locally planned SSBG allocations of \$1,194,236 listed below reflect current State Fiscal Year (SFY) 2017 funding levels. After SFY 2017 locally planned SSBG funding levels are received, adjustments will be made. SSBG allocations are made to Community Services Block Grant (CSBG) eligible entities and allocated based on the proportional share of low-income persons residing in a service area.

<b>Agency</b>	<b>Allocation</b>
City of Glendale Community Action Program	\$ 77,890
City of Phoenix Human Services Department	\$ 574,714
Coconino County Community Services Department	\$ 18,305
Community Action Human Resources Agency	\$ 16,096
Gila County Division of Health and Community Services	\$ 8,048
Maricopa County Human Services Department	\$ 316,323
Mesa Community Action Network	\$ 116,279
Northern Arizona Council of Governments	\$ 66,581
Pima County Community Action Agency	\$ -
Southeastern Arizona Community Action Program	\$ -
Western Arizona Council of Governments	\$ -
<b>Total</b>	<b>\$ 1,194,236</b>

**These funds must be fully expended by June 30, 2018.**

Should you have any questions or require additional information, please contact your assigned Contract Specialist.

**SSBG  
SFY 2018**

Community Action Network Funding  
Proposed Funding Components  
Fund Source - SSBG (Funding \$1,194,236)  
Locally Planned

**Alert 18-G**

District	Agency		Served	% of State	Allocation
<b>District I</b>	City of Glendale		Maricopa/Glendale	6.52%	\$ 77,890
	City of Phoenix		Maricopa/Phx	48.11%	\$ 574,714
	Maricopa County		Maricopa/balance	26.49%	\$ 316,323
	MesaCAN		Maricopa/Mesa	9.74%	\$ 116,279
<b>District II</b>	Pima County		Pima/balance	0.00%	\$ -
<b>District III</b>	Coconino County		Coconino	1.53%	\$ 18,305
	NACOG		Multi-county	5.58%	\$ 66,581
<b>District IV</b>	WACOG		Multi-county	0.00%	\$ -
<b>District V</b>	CAHRA		Pinal	1.35%	\$ 16,096
	Gila County		Gila	0.67%	\$ 8,048
<b>District VI</b>	SEACAP		Multi-county	0.00%	\$ -
<b>TOTAL</b>				100%	\$ 1,194,236

**DIVISION OF AGING & ADULT SERVICES**

**Alert 18-G**

**SSBG FUNDS FOR SFY 2018**

**CONTRACTING LEVELS**

COUNTY/PROVIDER	SERVICE	TARGET GROUP	SFY-2018 LOCAL PLAN SSBG	SFY-2018 TOTAL FUNDS	SFY-2018 LOCAL SSBG (+)/(-)
<b>DISTRICT I</b>					
<b>MARICOPA</b>					
City of Phoenix	CMT	AFC	\$ 574,714.00	\$ 574,714.00	\$ -
City of Glendale	CMT	AFC	\$ 77,890.00	\$ 77,890.00	\$ -
Maricopa County	CMT	AFC	\$ 316,323.00	\$ 316,323.00	\$ -
MesaCAN	CMT	AFC	\$ 116,279.00	\$ 116,279.00	\$ -
<b>DISTRICT 1 TOTAL</b>			<b>\$ 1,085,206.00</b>	<b>\$ 1,085,206.00</b>	<b>\$ -</b>

**DIVISION OF AGING & ADULT SERVICES**

**Alert 18-G**

**SSBG FUNDS FOR SFY 2018**

**CONTRACTING LEVELS**

COUNTY/PROVIDER	SERVICE	TARGET GROUP	SFY-2018 LOCAL PLAN SSBG	SFY-2018 TOTAL FUNDS	SFY-2018 LOCAL SSBG (+)/(-)
<b>DISTRICT III</b>					
<b>APACHE</b>					
	<b>COUNTY TOTAL</b>		\$ -	\$ -	\$ -
<b>COCONINO</b>					
Coconino County	CMT	AFC - Crisis Intervention	\$ 6,745.00	\$ 6,745.00	\$ -
Coconino County	TNS	ELD/PWD Low Income	\$ 11,560.00	\$ 11,560.00	\$ -
	<b>COUNTY TOTAL</b>		\$ 18,305.00	\$ 18,305.00	\$ -
<b>NAVAJO</b>					
NACOG	CMT	AFC - Crisis Intervention	\$ 15,460.00	\$ 15,460.00	\$ -
NACOG	TNS	AFC	\$ 4,548.00	\$ 4,548.00	\$ -
	<b>COUNTY TOTAL</b>		\$ 20,008.00	\$ 20,008.00	\$ -
<b>YAVAPAI</b>					
NACOG	CMT	AFC - Crisis Intervention	\$ 11,644.00	\$ 11,644.00	
NACOG	CMT	AFC - Crisis Intervention	\$ 5,821.00	\$ 5,821.00	
NACOG	TNS	AFC	\$ 29,108.00	\$ 29,108.00	\$ -
	<b>COUNTY TOTAL</b>		\$ 46,573.00	\$ 46,573.00	\$ -
<b>DISTRICT 3 TOTAL</b>			\$ 84,886.00	\$ 84,886.00	\$ -

**DIVISION OF AGING & ADULT SERVICES**

**Alert 18-G**

**SSBG FUNDS FOR SFY 2018**

**CONTRACTING LEVELS**

COUNTY/PROVIDER	SERVICE	TARGET GROUP	SFY-2018 LOCAL PLAN SSBG	SFY-2018 TOTAL FUNDS	SFY-2018 LOCAL SSBG (+)/(-)
<b>DISTRICT V</b>					
<b>GILA</b>					
Gila County	CMT	AFC	\$ 8,048.00	\$ 8,048.00	\$ -
	<b>COUNTY TOTAL</b>		\$ 8,048.00	\$ 8,048.00	\$ -
<b>PINAL</b>					
CAHRA	CMT	AFC	\$ 16,096.00	\$ 16,096.00	\$ -
	<b>COUNTY TOTAL</b>		\$ 16,096.00	\$ 16,096.00	\$ -
<b>DISTRICT 5 TOTAL</b>			\$ 24,144.00	\$ 24,144.00	\$ -



**DIVISION OF AGING & ADULT SERVICES**

**Alert 18-G**

**SSBG FUNDS FOR SFY 2018**

**CONTRACTING LEVELS**

<b>DISTRICT</b>	<b>INITIAL SFY-2018 LOCAL PLAN SSBG</b>	<b>REVISED SFY-2018 LOCAL PLAN SSBG</b>	<b>SFY-2018 TOTAL SSBG</b>
<b>I</b>	<b>\$ 1,085,206.00</b>	<b>\$ -</b>	<b>\$ 1,085,206.00</b>
<b>II</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>III</b>	<b>\$ 84,886.00</b>	<b>\$ -</b>	<b>\$ 84,886.00</b>
<b>IV</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>V</b>	<b>\$ 24,144.00</b>	<b>\$ -</b>	<b>\$ 24,144.00</b>
<b>VI</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>TOTAL</b>	<b>\$ 1,194,236.00</b>	<b>\$ -</b>	<b>\$ 1,194,236.00</b>

Division of Aging and Adult Services  
ALERT

SFY-18-I

**Neighbors Helping Neighbors (NHN)  
for SFY 2018**

The Division of Aging and Adult Services (DAAS) estimates receiving \$35,000 in Neighbors Helping Neighbors (NHN) funds for State Fiscal Year (SFY) 2018 to provide utility assistance services. There has been a decrease in the number of taxpayers currently selecting to contribute to NHN through the tax check-off box on Arizona State Income Tax forms. If deposits lessen, allocations may be adjusted accordingly and a new ALERT may be issued. NHN funds are utilized in the same manner as Low Income Home Energy Assistance Program (LIHEAP) Base Funds.

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level and urban or rural status. The sources used for the poverty and rural factors were the 2015 Five year American Community Survey and the 2010 United States Census, respectively.

Tucson Urban League will not be receiving Neighbors Helping Neighbors funding for SFY 2018. The funds will be allocated to Pima County Community Action Agency for SFY 2018 and future years.

Poverty Factor	Rural Factor	Tribal Adjustment
95%	5%	Yes

The following initial contract allocations are being made to the respective contractors:

Agency	Allocation
City of Glendale Community Action Program	\$ 1,468
City of Phoenix Human Services Department	\$ 10,168
Coconino County Community Services Department	\$ 708
Community Action Human Resources Agency	\$ 2,105
Gila County Division of Health and Community Services	\$ 289
Maricopa County Human Services Department	\$ 6,046
Mesa Community Action Network	\$ 2,292
Northern Arizona Council of Governments	\$ 1,950
Pima County Community Action Agency	\$ 5,434
Southeastern Arizona Community Action Program	\$ 1,439
Western Arizona Council of Governments	\$ 3,101
<b>Total</b>	<b>\$ 35,000</b>

**These funds must be fully expended by June 30, 2018.**

Should you have any questions or require additional information, please contact your assigned Contract Specialist.

**NHN  
SFY 2018**

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - NHN (Funding \$35,000)

SFY 18-1

District	Agency	Served	5%		95%		% of Total Allocation	12 Month Total Allocation	SFY 2018 Allocation
			Funds distributed based on urban or rural status	% of Allocation based on urban/rural status	Funds distributed based on % of persons @ or below 125% of poverty	2010 census % of persons @ or below 125% of poverty			
District 1	CITY OF GLENDALE	Maricopa/Glendale	\$ -	0.00%	\$ 1,468	4.42%	4.20%	\$ 1,468	\$ 1,468
	CITY OF PHOENIX	Maricopa/Phx	\$ -	0.00%	\$ 10,168	30.58%	29.05%	\$ 10,168	\$ 10,168
	MARICOPA COUNTY	Maricopa/balance	\$ 61	3.49%	\$ 5,985	18.00%	17.27%	\$ 6,046	\$ 6,046
	MesaCAN	Maricopa/Mesa	\$ -	0.00%	\$ 2,292	6.89%	6.55%	\$ 2,292	\$ 2,292
District 2	PIMA COUNTY	Pima/balance	\$ 34	1.95%	\$ 5,400	16.24%	15.53%	\$ 5,434	\$ 5,434
District 3	COCONINO COUNTY	Coconino	\$ 122	6.98%	\$ 586	1.76%	2.02%	\$ 708	\$ 708
	NACOG	Totals	\$ 336		\$ 1,614		5.57%	\$ 1,950	\$ 1,950
		Apache	\$ 23	1.31%	\$ 110	0.33%		\$ 133	
		Navajo	\$ 97	5.56%	\$ 467	1.40%		\$ 564	
		Yavapai	\$ 216	12.35%	\$ 1,037	3.12%		\$ 1,253	
District 4	WACOG	Totals	\$ 535		\$ 2,566		8.86%	\$ 3,101	\$ 3,101
		La Paz	\$ 14	0.77%	\$ 65	0.20%		\$ 79	
		Mohave	\$ 246	14.04%	\$ 1,178	3.54%		\$ 1,424	
		Yuma	\$ 276	15.74%	\$ 1,322	3.97%		\$ 1,597	
District 5	CAHRA	Pinal	\$ 363	20.75%	\$ 1,742	5.24%	6.01%	\$ 2,105	\$ 2,105
	GILA COUNTY	Gila	\$ 50	2.85%	\$ 239	0.72%	0.83%	\$ 289	\$ 289
District 6	SEACAP	Totals	\$ 248		\$ 1,191		4.11%	\$ 1,439	\$ 1,439
		Cochise	\$ 136	7.79%	\$ 654	1.97%		\$ 790	
		Graham	\$ 31	1.76%	\$ 148	0.44%		\$ 179	
		Greenlee	\$ 9	0.53%	\$ 44	0.13%		\$ 54	
		Santa Cruz	\$ 72	4.11%	\$ 345	1.04%		\$ 417	
Totals			\$ 1,751	100%	\$ 33,250	100%	100%	\$ 35,000	\$ 35,000

**NHN**

5% Rural	\$ 1,750.00	\$ 1,750
95% Poverty	\$ 33,250.00	\$ 33,250
Total	\$ 35,000.00	\$ 35,000

**COMMUNITY ACTION NETWORK FORMULA  
SFY 2018 ALLOCATIONS**

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	NHN	SFY 2018 ALLOCATION
ACAA	\$ -	\$ 163,284	\$ -	\$ 25,000	\$ -	\$ -	\$ -	\$ -	\$ 188,284
CAHRA	\$ 355,893	\$ -	\$ -	\$ 931,460	\$ -	\$ 216,673	\$ 16,096	\$ 2,105	\$ 1,522,227
City of Glendale	\$ 232,350	\$ -	\$ -	\$ 649,861	\$ -	\$ 150,000	\$ 77,890	\$ 1,468	\$ 1,111,569
City of Phoenix	\$ 1,609,418	\$ 23,611	\$ -	\$ 4,500,051	\$ -	\$ 985,710	\$ 574,714	\$ 10,168	\$ 7,703,672
Coconino County	\$ 150,000	\$ 16,569	\$ -	\$ 313,479	\$ -	\$ 150,000	\$ 18,305	\$ 708	\$ 649,061
Arizona Dept of Housing	\$ -	\$ -	\$ -	\$ 2,965,186	\$ -	\$ -	\$ -	\$ -	\$ 2,965,186
Gila County	\$ 150,000	\$ -	\$ -	\$ 128,071	\$ -	\$ 150,000	\$ 8,048	\$ 289	\$ 436,408
Maricopa County	\$ 977,885	\$ -	\$ -	\$ 2,675,630	\$ -	\$ 593,324	\$ 316,323	\$ 6,046	\$ 4,569,208
MesaCAN	\$ 361,063	\$ 28,995	\$ -	\$ 1,014,129	\$ -	\$ 221,232	\$ 116,279	\$ 2,292	\$ 1,743,990
NACOG	\$ 305,074	\$ -	\$ -	\$ 863,147	\$ -	\$ 186,134	\$ 66,581	\$ 1,950	\$ 1,422,886
Pima County	\$ 887,354	\$ 28,101	\$ -	\$ 2,404,900	\$ -	\$ 540,565	\$ -	\$ 5,434	\$ 3,866,354
PPEP	\$ 117,366	\$ -	\$ -	\$ -	\$ -	\$ 74,480	\$ -	\$ -	\$ 191,846
SEACAP	\$ 225,162	\$ -	\$ -	\$ 636,972	\$ -	\$ 150,000	\$ -	\$ 1,439	\$ 1,013,573
Tohono O'odham	\$ -	\$ -	\$ -	\$ 62,572	\$ -	\$ -	\$ -	\$ -	\$ 62,572
WACOG	\$ 496,725	\$ -	\$ -	\$ 1,371,851	\$ -	\$ 305,882	\$ -	\$ 3,101	\$ 2,177,559
<hr/>									
<hr/>									
Totals	\$ 5,868,290	\$ 260,560	\$ -	\$ 18,542,309	\$ -	\$ 3,724,000	\$ 1,194,236	\$ 35,000	\$ 29,624,395

ACAA

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	<b>\$ 163,284</b>	\$ -	<b>\$ 163,284</b>
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	<b>\$ 25,000</b>	\$ -	<b>\$ 25,000</b>
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
<b>TOTAL</b>	<b>\$ 188,284</b>	\$ -	<b>\$ 188,284</b>

Bolded numbers represent changes in funding.

CAHRA

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 355,893	\$ -	\$ 355,893
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 931,460	\$ -	\$ 931,460
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 216,673	\$ -	\$ 216,673
SSBG	\$ 16,096	\$ -	\$ 16,096
NHN	\$ 2,105	\$ -	\$ 2,105
<b>TOTAL</b>	<b>\$ 1,522,227</b>	<b>\$ -</b>	<b>\$ 1,522,227</b>

Bolded numbers represent changes in funding.

CITY OF GLENDALE

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 232,350	\$ -	\$ 232,350
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 649,861	\$ -	\$ 649,861
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 77,890	\$ -	\$ 77,890
NHN	\$ 1,468	\$ -	\$ 1,468
<b>TOTAL</b>	<b>\$ 1,111,569</b>	<b>\$ -</b>	<b>\$ 1,111,569</b>

Bolded numbers represent changes in funding.

CITY OF PHOENIX

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 1,609,418	\$ -	\$ 1,609,418
CSBG Discretionary	\$ 23,611	\$ -	\$ 23,611
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 4,500,051	\$ -	\$ 4,500,051
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 985,710	\$ -	\$ 985,710
SSBG	\$ 574,714	\$ -	\$ 574,714
NHN	\$ 10,168	\$ -	\$ 10,168
<b>TOTAL</b>	<b>\$ 7,703,672</b>	<b>\$ -</b>	<b>\$ 7,703,672</b>

Bolded numbers represent changes in funding.



COCONINO COUNTY

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 150,000	\$ -	\$ 150,000
CSBG Discretionary	\$ 16,569	\$ -	\$ 16,569
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 313,479	\$ -	\$ 313,479
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 18,305	\$ -	\$ 18,305
NHN	\$ 708	\$ -	\$ 708
<b>TOTAL</b>	<b>\$ 649,061</b>	<b>\$ -</b>	<b>\$ 649,061</b>

Bolded numbers represent changes in funding.

GILA COUNTY

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 150,000	\$ -	\$ 150,000
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 128,071	\$ -	\$ 128,071
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 8,048	\$ -	\$ 8,048
NHN	\$ 289	\$ -	\$ 289
<b>TOTAL</b>	<b>\$ 436,408</b>	<b>\$ -</b>	<b>\$ 436,408</b>

Bolded numbers represent changes in funding.

ARIZONA DEPARTMENT OF HOUSING

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	<b>\$ 2,965,186</b>	\$ -	<b>\$ 2,965,186</b>
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
<b>TOTAL</b>	<b>\$ 2,965,186</b>	\$ -	<b>\$ 2,965,186</b>

Bolded numbers represent changes in funding.

MARICOPA COUNTY

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 977,885	\$ -	\$ 977,885
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 2,675,630	\$ -	\$ 2,675,630
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 593,324	\$ -	\$ 593,324
SSBG	\$ 316,323	\$ -	\$ 316,323
NHN	\$ 6,046	\$ -	\$ 6,046
<b>TOTAL</b>	<b>\$ 4,569,208</b>	<b>\$ -</b>	<b>\$ 4,569,208</b>

Bolded numbers represent changes in funding.

MESA CAN

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 361,063	\$ -	\$ 361,063
CSBG Discretionary	\$ 28,995	\$ -	\$ 28,995
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 1,014,129	\$ -	\$ 1,014,129
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 221,232	\$ -	\$ 221,232
SSBG	\$ 116,279	\$ -	\$ 116,279
NHN	\$ 2,292	\$ -	\$ 2,292
<b>TOTAL</b>	<b>\$ 1,743,990</b>	<b>\$ -</b>	<b>\$ 1,743,990</b>

Bolded numbers represent changes in funding.

NACOG

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 305,074	\$ -	\$ 305,074
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 863,147	\$ -	\$ 863,147
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 186,134	\$ -	\$ 186,134
SSBG	\$ 66,581	\$ -	\$ 66,581
NHN	\$ 1,950	\$ -	\$ 1,950
<b>TOTAL</b>	<b>\$ 1,422,886</b>	<b>\$ -</b>	<b>\$ 1,422,886</b>

Bolded numbers represent changes in funding.

PIMA COUNTY

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 887,354	\$ -	\$ 887,354
CSBG Discretionary	\$ 28,101	\$ -	\$ 28,101
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 2,404,900	\$ -	\$ 2,404,900
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 540,565	\$ -	\$ 540,565
SSBG	\$ -	\$ -	\$ -
NHN	\$ 5,434	\$ -	\$ 5,434
<b>TOTAL</b>	<b>\$ 3,866,354</b>	<b>\$ -</b>	<b>\$ 3,866,354</b>

Bolded numbers represent changes in funding.

PPEP

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 117,366	\$ -	\$ 117,366
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ -	\$ -	\$ -
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 74,480	\$ -	\$ 74,480
SSBG	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
<b>TOTAL</b>	<b>\$ 191,846</b>	<b>\$ -</b>	<b>\$ 191,846</b>

Bolded numbers represent changes in funding.



SEACAP

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 225,162	\$ -	\$ 225,162
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 636,972	\$ -	\$ 636,972
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ -	\$ -	\$ -
NHN	\$ 1,439	\$ -	\$ 1,439
<b>TOTAL</b>	<b>\$ 1,013,573</b>	<b>\$ -</b>	<b>\$ 1,013,573</b>

Bolded numbers represent changes in funding.

TOHONO O'ODHAM

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	<b>\$ 62,572</b>	\$ -	<b>\$ 62,572</b>
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
<b>TOTAL</b>	<b>\$ 62,572</b>	\$ -	<b>\$ 62,572</b>

Bolded numbers represent changes in funding.

WACOG

Fund Source	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
CSBG	\$ 496,725	\$ -	\$ 496,725
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 1,371,851	\$ -	\$ 1,371,851
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 305,882	\$ -	\$ 305,882
SSBG	\$ -	\$ -	\$ -
NHN	\$ 3,101	\$ -	\$ 3,101
<b>TOTAL</b>	<b>\$ 2,177,559</b>	<b>\$ -</b>	<b>\$ 2,177,559</b>

Bolded numbers represent changes in funding.

**STATE TOTALS**

Fund Source	ALERT	DATE ISSUED	SFY 2018 Initial Allocation	SFY 2018 Allocation Increase/(Decrease)	SFY 2018 Revised Allocation
<b>CSBG</b>	<b>ALERT SFY 18-A</b>	<b>3/17/2017</b>	<b>\$ 5,868,290</b>	\$ -	<b>\$ 5,868,290</b>
<b>CSBG Discretionary</b>	<b>ALERT SFY 18-A1</b>	<b>3/17/2017</b>	<b>\$ 260,560</b>	\$ -	<b>\$ 260,560</b>
<b>CSBG Carryover</b>			\$ -	\$ -	\$ -
<b>LIHEAP</b>	<b>ALERT SFY 18-B</b>	<b>3/17/2017</b>	<b>\$ 18,542,309</b>	\$ -	<b>\$ 18,542,309</b>
<b>LIHEAP Re-distributed</b>			\$ -	\$ -	\$ -
<b>TANF</b>	<b>ALERT SFY 18-E</b>	<b>3/17/2017</b>	<b>\$ 3,724,000</b>	\$ -	<b>\$ 3,724,000</b>
<b>SSBG</b>	<b>ALERT SFY 18-G</b>	<b>3/17/2017</b>	<b>\$ 1,194,236</b>	\$ -	<b>\$ 1,194,236</b>
<b>NHN</b>	<b>ALERT SFY 18-I</b>	<b>3/17/2017</b>	<b>\$ 35,000</b>	\$ -	<b>\$ 35,000</b>
<b>TOTAL</b>			<b>\$ 29,624,395</b>	\$ -	<b>\$ 29,624,395</b>

**Bolded numbers represent changes in funding.**

**Technical Assistance  
for SFY 2018**

Technical Assistance ALERTS are generated periodically to update contractual and/or programmatic requirements and/or clarifications. Please ensure that appropriate Community Action Agency (CAA) staff are aware of this technical assistance.

**Community Action Program Services (CAPS) – Income Eligibility Thresholds for SFY 2018**

The SFY 2018 Income Threshold Chart for CAPS becomes effective on **July 1, 2017 and will remain in effect until June 30, 2018**. Both the Federal Poverty Guideline (FPG) and the State Median Income (SMI) have risen slightly for 2017. The income threshold for Low Income Home Energy Assistance (LIHEAP) eligibility is set at 60 percent of the current SMI, as determined by the 2015 American Community Survey (ACS), Five-Year Estimates, or 150 percent of the current Federal Poverty Guideline (FPG), whichever is greater. Similar to SFY 2017, in SFY 2018, the 150 percent FPG threshold will still be greater than 60 percent of the SMI for households sized seven and larger. The income thresholds on the simplified LIHEAP income chart are derived from the comprehensive CAPS chart (Attachment #1) for all other Community Action Program Services. An abbreviated chart for use with LIHEAP only is also included in this ALERT (Attachment #2). The current FPGs are used to determine income eligibility according to the rules and income limits for each specific program.

These charts will replace the SFY 2017 Income Threshold charts in the LIHEAP and Short-Term Crisis Services (STCS) Policy and Procedure Manuals beginning July 1, 2017.

If you have any questions or require additional information, please contact Diana Gravett, Community Action Program Specialist, at [dgravett@azdes.gov](mailto:dgravett@azdes.gov) or (602) 542-6594.



# Department of Economic Security (DES)

## Division of Aging and Adult Services (DAAS) SFY 2018 Simplified LIHEAP Income Chart

Effective July 1, 2017 to June 30, 2018

**60 percent of State Median Income (SMI) is used for households sized 6 and under**

**150 percent of Federal Poverty Guideline (FPG) is used for households sized 7 and over**

<u>Household Size</u>	<u>30 Day Gross Income Limit</u> (Dollar Amount)	
1	SM 160 percent	\$1,786
2		2,336
3		2,885
4		3,435
5		3,985
6		4,534
<b>7</b>	<b>FPG 150 percent</b>	<b>4,643</b>
<b>8</b>		<b>5,165</b>
<b>9</b>		<b>5,688</b>
<b>10</b>		<b>6,210</b>
<b>11</b>		<b>6,733</b>
<b>12</b>		<b>7,255</b>

**For each additional household member, add \$523**

# Arizona Department of Economic Security - Division of Aging and Adult Services (DAAS)

## Community Action Programs and Services

Income Thresholds for Community Action Program Services - Effective July 1, 2017 - June 30, 2018

<b>Federal Poverty Guidelines (FPG) - Income thresholds for the last 30 days by percent of FPG</b>														
<b>Number of Household Members&gt;&gt;</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>	<i>For &gt;12 Add</i>	
<b>0%-75%</b> of Poverty = At or under 75% of the FPG, FYI..	\$754	\$1,015	\$1,015	\$1,538	\$1,799	\$2,060	\$2,321	\$2,583	\$2,844	\$3,105	\$3,366	\$3,628	\$261	
<b>76%-100%</b> of Poverty = Above 75% and at or below 100% of FPG. FYI - for reporting and programs with an income limit of 100% of poverty.	\$1,005	\$1,353	\$1,353	\$2,050	\$2,398	\$2,747	\$3,095	\$3,443	\$3,792	\$4,140	\$4,488	\$4,837	\$348	
<b>101%-125%</b> of Poverty = Above 100% and at or below 125% of FPG. Threshold for: NHN STCS, CSBG clients aged 59 and under without disabilities. <i>For CSBG/STCS clients 60+ or persons with disabilities see: 126%-150% of Poverty below.</i>	\$1,256	\$1,692	\$1,692	\$2,563	\$2,998	\$3,433	\$3,869	\$4,304	\$4,740	\$5,175	\$5,610	\$6,046	\$435	
<b>126%-150%</b> of Poverty = Above 125% and at or below 150% of FPG. Threshold for: STCS, NHN and CSBG clients aged 60+, persons with disabilities. <i>For LIHEAP clients see next section, LIHEAP ONLY.</i>	\$1,508	\$2,030	\$2,030	\$3,075	\$3,598	\$4,120	\$4,643	\$5,165	\$5,688	\$6,210	\$6,733	\$7,255	\$523	
<b>LIHEAP ONLY - Income Thresholds by Household Size</b>														
<b>Number of Household Members&gt;&gt;</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>	<i>For &gt;12 Add</i>	
The household income limit for the <u>last 30 days</u> for <b>LIHEAP</b> is <b>60% of SMI</b> for households sized <b>6 and under</b> . For households sized <b>7 and over</b> , the income limit is <b>150% of FPG - FPL UPDATED FOR SFY 2018</b>	\$1,786	\$2,336	\$2,885	\$3,435	\$3,985	\$4,534	\$4,643	\$5,165	\$5,688	\$6,210	\$6,733	\$7,255	\$523	
	Income limits for <b>LIHEAP</b> households sized <b>6</b> and under using 60% of State Median Income						Income limits for <b>LIHEAP</b> households sized <b>7</b> and over (using Federal Poverty Guidelines)							
<b>LIHEAP ONLY - Energy Points for Income by Household Size</b>														
<b>Number of Household Members&gt;&gt;</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>	<i>For &gt;12 Add</i>	
<b>To determine energy points based upon poverty level</b>														
A) 5 points	At or below <b>25%</b> of 60% of <b>SMI</b> or 150% of FPG for households sized <b>7</b> or more >>	\$447	\$584	\$721	\$859	\$996	\$1,134	\$1,161	\$1,291	\$1,422	\$1,553	\$1,683	\$1,814	\$131
B) 4 points	Above <b>25%</b> and up to <b>50%</b> of 60% of <b>SMI</b> >> or above 150% for households sized <b>7</b> or	\$893	\$1,168	\$1,443	\$1,718	\$1,992	\$2,267	\$2,321	\$2,583	\$2,844	\$3,105	\$3,366	\$3,628	\$261
C) 3 points	Above <b>50%</b> and up to <b>75%</b> of 60% of the <b>SMI</b> >> or above 150% for households sized	\$1,340	\$1,752	\$2,164	\$2,576	\$2,988	\$3,401	\$3,482	\$3,874	\$4,266	\$4,658	\$5,049	\$5,441	\$392
D) 2 points	Above <b>75%</b> of 60% of <b>SMI</b> or above 150% of FPG for households sized <b>7</b> or more. >>	\$1,786	\$2,336	\$2,885	\$3,435	\$3,985	\$4,534	\$4,643	\$5,165	\$5,688	\$6,210	\$6,733	\$7,255	\$523

**Technical Assistance  
for SFY 2018**

Technical Assistance ALERTS are generated periodically to update contractual and/or programmatic requirements and/or clarifications. Please ensure that appropriate Community Action Agency (CAA) staff are aware of this technical assistance.

**Division of Aging and Adult Services, Community Action Program Services (DAAS/CAPS) – Annual Report/ Results Oriented Management and Accountability (ROMA), Template and crosswalk documents.** Attached are the CSBG Annual Report Template, Attachment #1 and #1B Module 4 ROMA Catalogue Template, the DAAS/CAPS prepared crosswalk, Attachment #2, and the crosswalk documents provided by the National Association of State Community Services Providers (NASCSPP), Attachments #3 and #4. During the remainder of State Fiscal Year (SFY), 2017, DAAS/CAPS will work with the Network to determine common indicators for outcome reporting, and will assist agencies in determining unique indicators on the NPI portions of the report.

The ROMA catalogue is to be submitted to DAAS/CAPS by June 30, 2017. Information regarding what is needed for each module is provided below.

Annual Report: **For Module 2**, agencies are only to report on the capacity and resource elements that are relevant to their respective activities.

**Module 3, Sections A and B, Community Level:** agencies will be requested to report on at least one community level initiative in their Annual Report. Agencies will not be requested to set targets for the community level initiative in Module 3 Section B in SFY 2018, as part of their ROMA catalogue.

DAAS/CAPS will assist individual agencies with completing this section. In preparation for reporting on a community-level initiative, DAAS/CAPS suggests comparing narrative elements of Module 3 of the new CSBG Annual Report to Section D of the current CSBG IS Report, as this is the comparable section. When this Module 3, Section A is completed for a particular initiative, the only ROMA reporting tables that need a response in Section B, are those that match the domains selected in Section A, Item 5. Example: if “Employment” is selected in Item 5, only the table labeled “Employment Indicators” in Section B, will need to be completed for that initiative. In targeted NPI of Module 3, agencies will not complete the “Rates of Change” tables for SFY 2018, as SFY 2018 is the baseline year.

**Module 4, Section A, Individual and Family National Performance Indicators (NPIs):** agencies should use the targeted tables in this section to create their ROMA catalogue for SFY2018. Section A also included a separate attachment in this ALERT (#1B)

Section B, Individual and Family Services; these items reflect service counts. Agencies will only report services counts on the services they provide. Section C., Individual and Family Characteristics (Demographics), agencies will not be required to report new data elements for SFY 2018, but will be requested to provide responses for any new elements for which they are able to report.

Should you have any questions or require additional information, please contact Diana Gravett, Community Action Program Specialist, at [dgravett@azdes.gov](mailto:dgravett@azdes.gov) or (602) 542-6594.



# **Module 2**

## **CSBG Eligible Entity Expenditures, Capacity, and Resources**

## Instructional Notes

# Module 2 - CSBG Eligible Entity Expenditures, Capacity, and Resources

### Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form

**Section A: CSBG Expenditures by CSBG Eligible Entity Data Entry Form** meets the Congressional requirement for an explanation of the total amount of CSBG funding expended during the reporting period (identified below) based on categories referenced in the CSBG Act.

CSBG funding expended during the reporting period should be identified in the domain that best reflects the services delivered and strategies implemented, as well as the administrative costs associated with the domains. Further instructions will be provided, but please keep the following in mind, per domain:

**Services Supporting Multiple Domains:** Expenditures reported under Services Supporting Multiple Domains are those that span or support outcomes achieved across multiple domains for families and individuals, such as case management, transportation, and childcare.

**Linkages:** Many of the activities that were associated with Linkages are now captured in Domain 9: Agency Capacity Building. This narrows the definition of Linkages, but continues to include community initiatives and information and referral calls.

**Agency Capacity Building:** Expenditures for Agency Capacity Building are detailed in Table B on this form.

**Reporting on Administration:** Administrative costs for CSBG reporting are defined by the Office of Community Services as "equivalent to typical indirect costs or overhead." As distinguished from program administration or management expenditures that qualify as direct costs, administrative costs refer to central executive functions that do not directly support a specific project or service.

### Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

**Section B: CSBG Eligible Entity Capacity Building Data Entry Form** provides detail on agency capacity building funded by CSBG and other funding sources.

### Module 2, Section C: Allocated Resources per CSBG Eligible Entity - Data Entry Form

**Section C: Allocated Resources per CSBG Eligible Entity data entry form** provides data on resources allocated to, administered through, and generated by the CSBG Eligible Entity. This report provides valuable information on how CSBG leverages funds from multiple federal, state, local, and private sources as required in the CSBG Act.

## Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

A. CSBG Eligible Entity Reporting Period	"X"
1. July 1 - June 30	
2. October 1 - September 30	
3. January 1 - December 31	

B. CSBG Expenditures Domains	CSBG Funds
1. Employment	
2. Education and Cognitive Development	
3. Income, Infrastructure, and Asset Building	
4. Housing	
5. Health and Social/Behavioral Development <i>(includes nutrition)</i>	
6. Civic Engagement and Community Involvement	
7. Services Supporting Multiple Domains	
8. Linkages <i>(e.g. partnerships that support multiple domains)</i>	
9. Agency Capacity Building <i>(detailed below in Table C)</i>	
10. Other <i>(e.g. emergency management/disaster relief)</i>	
<b>Total CSBG Expenditures (auto calculated)</b>	<b>\$0</b>

Of the CSBG funds reported above, report the total amount used for Administration. <a href="#">For more information on what qualifies as Administration, refer to IM37.</a>	
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C. Details on Agency Capacity Building Activities Funded by CSBG:
<p>1. Please identify which activities were funded by CSBG under Agency Capacity in Table B. Please check all that apply.</p> <p> <input type="checkbox"/> Community Needs Assessment                <input type="checkbox"/> Data Management &amp; Reporting                <input type="checkbox"/> Other*  <input type="checkbox"/> Strategic Planning                <input type="checkbox"/> Training &amp; Technical Assistance         </p> <p><i>*Below please specify Other Activities funded by CSBG under Agency Capacity:</i></p> <div style="border: 1px solid black; height: 50px; margin-top: 5px;"></div>

## Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

Name of CSBG Eligible Entity: \_\_\_\_\_

A. CSBG Eligible Entity Reporting Period	"X"
1. July 1 - June 30	<i>auto-populated from Module 2, Section A</i>
2. October 1 - September 30	
3. January 1 - December 31	

B. Hours of Agency Capacity Building (e.g. training, planning, assessment):	Hours
1. Hours of Board Members in capacity building activities	
2. Hours of Agency Staff in capacity building activities	

C. Volunteer Hours of Agency Capacity Building (e.g. program support, service delivery, fundraising):	Hours
1. Total number of volunteer hours donated to the agency	
a. Of the above, the total number of volunteer hours donated by individuals with low-incomes	

D. The number of staff who hold certifications that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:	Number
1. Number of Nationally Certified ROMA Trainers	
2. Number of Nationally Certified ROMA Implementers	
3. Number of Certified Community Action Professionals (CCAP)	
4. Number of Staff with a child development certification	
5. Number of Staff with a family development certification	
6. Number of Pathways Reviewers	
7. Number of Staff with Home Energy Professional Certifications	
a. Number of Energy Auditors	
b. Number of Retrofit Installer Technicians	
c. Number of Crew Leaders	
d. Number of Quality Control Inspectors (QCI)	
8. Number of LEED Risk Certified assessors	
9. Number of Building Performance Institute (BPI) certified professionals	
10. Number of Classroom Assessment Scoring System (CLASS) certified professionals	
11. Number of Certified Housing Quality Standards (HQS) Inspectors	
12. Number of American Institute of Certified Planners (AICP)	
13. Other ( <i>Please specify others below</i> ):	

E. Number of organizations, both public and private, that the CSBG Eligible Entity actively works with to expand resources and opportunities in order to achieve family and community outcomes:	Unduplicated Number of Organizations
1. Non-Profit	
2. Faith Based	
3. Local Government	
4. State Government	
5. Federal Government	
6. For-Profit Business or Corporation	
7. Consortia/Collaborations	
8. School Districts	
9. Institutions of Post-Secondary Education/Training	
10. Financial/Banking Institutions	
11. Health Service Organizations	
12. Statewide Associations or Collaborations	

## Module 2, Section C: Allocated Resources per CSBG Eligible Entity - Data Entry Form

Name of CSBG Eligible Entity: \_\_\_\_\_

A. CSBG Eligible Entity Reporting Period		"X"
1. July 1 - June 30	<i>auto-populated from Module 2, Section A</i>	
2. October 1 - September 30		
3. January 1 - December 31		
B. Amount of FY 20XX CSBG allocated to reporting entity		[ ]
C. Federal Resources Allocated (Other than CSBG)		
1. Weatherization (DOE) (include oil overcharge \$\$)		1. [ ]
2. Health and Human Services (HHS)		
a. LIHEAP - Fuel Assistance (include oil overcharge \$\$)	2a.	[ ]
b. LIHEAP - Weatherization (include oil overcharge \$\$)	2b.	[ ]
c. Head Start	2c.	[ ]
d. Early Head Start	2d.	[ ]
e. Older Americans Act	2e.	[ ]
f. Social Services Block Grant (SSBG)	2f.	[ ]
g. Medicare/Medicaid	2g.	[ ]
h. Assets for Independence (AFI)	2h.	[ ]
i. Temporary Assistance for Needy Families (TANF)	2i.	[ ]
j. Child Care Development Block Grant (CCDBG)	2j.	[ ]
k. Community Economic Development (CED)	2k.	[ ]
l. Other HHS Resources		
i. [ ]	CFDA #: [ ]	2l.i. [ ]
ii. [ ]	CFDA #: [ ]	2l.ii. [ ]
iii. [ ]	CFDA #: [ ]	2l.iii. [ ]
iv. [ ]	CFDA #: [ ]	2l.iv. [ ]
2l. Total Other HHS Resources (autocalculated)		2l. \$ -
3. Department of Agriculture (USDA)		
a. Special Supplemental Nutrition for Women, Infants, and Children (WIC)	3a.	[ ]
b. All USDA Non-Food programs (e.g. rural development)	3b.	[ ]
c. All other USDA Food programs	3c.	[ ]
4. Department of Housing and Urban Development (HUD)		
a. Community Development Block Grant (CDBG) - Federal, State, and Local	4a.	[ ]
b. Section 8	4b.	[ ]
c. Section 202	4c.	[ ]
d. Home Tenant-Based Rental Assistance (HOME TBRA)	4d.	[ ]
e. HOPE for Homeowners Program (H4H)	4e.	[ ]
f. Emergency Solutions Grant (ESG)	4f.	[ ]
g. Continuum of Care (CoC)	4g.	[ ]
h. All other HUD programs, including homeless programs	4h.	[ ]
5. Department of Labor (DOL)		
a. Workforce Innovation and Opportunity Act (WIOA) *previously WIA	5a.	[ ]
b. Other DOL Employment and Training programs	5b.	[ ]
c. All other DOL programs	5c.	[ ]
6. Corporation for National and Community Service (CNCS) programs		6. [ ]
7. Federal Emergency Management Agency (FEMA)		7. [ ]
8. Department of Transportation		8. [ ]
9. Department of Education		9. [ ]
10. Department of Justice		10. [ ]
11. Department of Treasury		11. [ ]
12. Other Federal Resources		
i. [ ]	CFDA #: [ ]	12.i. [ ]
ii. [ ]	CFDA #: [ ]	12.ii. [ ]
iii. [ ]	CFDA #: [ ]	12.iii. [ ]
iv. [ ]	CFDA #: [ ]	12.iv. [ ]
13. Total Other Federal Resources (autocalculated)		13. \$ -
14. Total: Non-CSBG Federal Resources Allocated (autocalculated)		14. \$ -

**D. State Resources Allocated**

1.	a.	State appropriated funds used for the same purpose as Federal CSBG funds	1a.	
	b.	State Housing and Homeless programs (include housing tax credits)	1b.	
	c.	State Nutrition programs	1c.	
	d.	State Early Childhood Programs (e.g. Head Start, Day Care)	1d.	
	e.	State Energy programs	1e.	
	f.	State Health programs	1f.	
	g.	State Youth Development programs	1g.	
	h.	State Employment and Training programs	1h.	
	i.	State Senior programs	1i.	
	j.	State Transportation programs	1j.	
	k.	State Education programs	1k.	
	l.	State Community, Rural and Economic Development programs	1l.	
	m.	State Family Development programs	1m.	
	n.	<b>Other State Resources</b>		
	i.		1n.i	
	ii.		1n.ii	
	iii.		1n.iii	
	iv.		1n.iv	
	<b>1n.</b>	<b>Total Other State Resources (autocalculated)</b>	1n.	\$ -
<b>2.</b>	<b>Total: State Resources Allocated (autocalculated)</b>		2.	\$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15 (Federal Resources), please estimate the amount.</i>		3.	

**E. Local Resources Allocated**

1.	a.	Amount of unrestricted funds appropriated by local government	1a.	
	b.	Amount of restricted funds appropriated by local government	1b.	
	c.	Value of Contract Services	1c.	
	d.	Value of in-kind goods/services received from local government	1d.	
<b>2.</b>	<b>Total: Local Resources Allocated (autocalculated)</b>		2.	\$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15 or 17 (Federal or State Resources), please estimate the amount.</i>		3.	

**F. Private Sector Resources Allocated**

1.	a.	Funds from foundations, corporations, United Way, other nonprofits	1a.	
	b.	Other donated funds	1b.	
	c.	Value of other donated items, food, clothing, furniture, etc.	1c.	
	d.	Value of in-kind services received from businesses	1d.	
	e.	Payments by clients for services	1e.	
	f.	Payments by private entities for goods or services for low income clients or communities	1f.	
<b>2.</b>	<b>Total: Private Sector Resources Allocated (autocalculated)</b>		2.	\$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15, 17, or 20 (Federal, State or Local Resources), please estimate the amount.</i>		3.	

<b>G. Total Non-CSBG Resources Allocated: (Federal, State, Local &amp; Private) (autocalculated)</b>			G.	\$ -
<b>H. Total Resources in CSBG Eligible Entity (including CSBG) (autocalculated)</b>			H.	\$ -

Note : \* All totals are autocalculated

# **Module 3**

## **Community Level**

## Instructional Notes

### Module 3 - Community Level

#### Module 3, Section A: Community Initiative Status Form

CSBG Eligible Entities will complete the **Community Initiative Status Form** for the CSBG Eligible Entity identified initiatives intended to achieve community level outcomes. This form provides a central place to report valuable information about a single community initiative that started, continued, or ended during the current reporting period. The information reported on the status form will be selected via a dropdown menu or written as a narrative. In future reporting periods, CSBG Eligible Entities will update the status form based on the initiative's progress. Please see additional notes below:

**Problem Identification:** CSBG Eligible Entities will provide information on how the problem was identified in the Community Needs Assessment. This will include any data collected.

**Issue/CSBG Community Domains:** Select the domain(s) category(ies) that best describe the issue addressed by the initiative. A full list is provided in the Status Form.

**Ultimate Expected Outcomes:** Select the indicator(s) from the Community Level NPIs (full list is found in Section B) that measures the ultimate expected outcome of the initiative OR enter an "Other Outcome Indicator".

**Partnership Type:** Select the partnership type from the choices provided. For example, a multi-partner initiative includes the CSBG Eligible Entity and one or more partners.

#### Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form

To facilitate the reporting, use, and learning from Community NPIs the Annual Report provides two types of indicators (**Counts of Change** and **Rates of Change**). Based on the community-level work in which the CSBG Eligible Entity is engaged, select the appropriate NPIs in either section. All the NPIs are **optional** and a category of "other" exists for a CSBG Eligible Entity to create its own indicator if none of those provided captures what the CSBG Eligible Entity is trying to achieve.

The first way to report impact is the **Counts of Change** indicators. These are basic measures that provide the number of units being measured, e.g. jobs, houses, resources, etc. that have been added (created) or subtracted (eliminated), and in some cases maintained, in the community the CSBG Eligible Entity has targeted.

The second way to report impact is the **Rates of Change** indicators. While requiring a bit more information, these indicators tell the full story of the *magnitude of the impact* a community initiative (usually involving multiple organizations) has had in a community.



## Instructional Notes

### Module 3 - Community Level

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In the **Rates of Change** section, the measures call for reporting the “percent change”—the increase or decrease of something from one year to the next. Please see the examples below.

Example 1: If you are measuring a percent increase in shelter beds, you would provide the following information:

**II.) Baseline existing starting point used for comparisons (#):** Total Number of shelter beds (last year)

**III.) Target (#):** Targeted Number of shelter beds

**V.) Actual Results (#):** Actual number of shelter beds for the year

Example 2: If you are measuring a percent increase in the high school **graduation rate** in the identified community (in this case one school district), you would provide the following information:

**II.) Baseline existing starting point used for comparisons (#):** High School Graduation Rate (last year)

**III.) Target (#):** Targeted High School Graduation Rate

**V.) Actual Results (#):** Actual High School Graduation Rate (at the end of the initiative)

The calculation for a percent increase or decrease for the community NPI rates of change is auto calculated in column VI (actual percent change from baseline). The same logic applies when reporting a percent decrease.

Note, outcomes will only be reported once a community initiative has been reached or when progress has been made toward the ultimate expected outcome. If progress has not been made, there is a place to identify this in the Community Initiative Status Form.

Assistance with these types of calculations can either be obtained locally or from the national partners.

#### Module 3, Section C: Community Strategies List

CSBG Eligible Entities will use the Community Strategies field provided in the Community Initiative Status form to identify relevant strategies community level initiative. A complete listing of the Community Strategies is found in Section C. The Community Strategies List provides a basic identification of strategies, arranged by Domain and by topic area. The list cannot be all-inclusive, as such an “other” category is included. This standardized list will aid in local and state analysis of the relationship between community-level strategies and outcomes.

## Module 3, Section A: Community Initiative Status Form

Name of CSBG Eligible Entity Reporting:

	Use the dropdown menu to select the response where appropriate.
<b>1. Initiative Name</b>	
<b>2. Initiative Year</b>	1-7+ years
<b>3. Problem Identification</b>	Narrative (Provide a narrative on the scope of the problem)
<b>4. Goal/Agenda</b>	Narrative (Provide a narrative on the goal/agenda)
<b>5. Issue/CSBG Community Domains</b>	Employment; Education and Cognitive Development; Income, Infrastructure, and Asset Building; Housing; Health and Social/Behavioral Development; or Civic Engagement and Community Involvement
<b>6. Ultimate Expected Outcome</b>	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
<b>7. Identified Community</b>	Neighborhood, City, School District, County, Service Area, State, Region, or Other
<b>8. Expected Duration</b>	Narrative (Provide the range in years, e.g. 1-3 years)
<b>9. Partnership Type</b>	Independent CAA Initiative, CAA is the core organizer of multi-partner Initiative, or CAA is one of multiple active investors and partners
<b>10. Partners</b>	Narrative (Provide a narrative on the key 1-3 partners)
<b>11. Strategy(ies)</b>	Select from the Community Level Strategies listed in Section C
<b>12. Progress on Outcomes/Indicators</b>	No Outcomes to Report, Interim Outcomes, Final Outcomes
<b>13. Impact of Outcomes</b>	Narrative (Provide additional information on the scope of the impact of these outcomes. e.g. If an initiative created a health clinic, please describe how many individuals and families are expected to be impacted.)
<b>14. Outcomes/Indicators to Report</b>	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
<b>15. Final Status</b>	Initiative Active, Initiative Ended Early, Initiative Ended as Planned, Completed Still Delivering Value
<b>16. Lessons Learned</b>	Narrative

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Employment Indicators**

Name of CSBG Eligible Entity Reporting:

Counts of Change	Counts of Change for Employment Indicators				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
	1. Number of jobs <b>created</b> to increase opportunities for people with low incomes in the identified community.							
	2. Number of job opportunities <b>maintained</b> in the identified community.							
	3. Number of "living wage" jobs <b>created</b> in the identified community*.							
	4. Number of "living wage" jobs <b>maintained</b> in the identified community*.							
	5. Number of jobs <b>created</b> in the identified community with a benefit package.							

\*When reporting on indicators related to living wage, agencies can provide their own definition or select from national or locally-defined models. Please indicate the living wage definition used in the General Comment box.

Other Counts of Change	Other Counts of Change for Employment Indicators - Please specify below.				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

Rates of Change	Rates of Change for Employment Indicators				I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease of the <b>unemployment rate</b> .										
	2. Percent decrease of the <b>youth unemployment rate</b> .										
	3. Percent decrease of the <b>underemployment rate</b> .										

Other Rates of Change	Other Rates of Change for Employment Indicators - Please specify below.				I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting:

Counts of Change for Education and Cognitive Development Indicators		I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
Counts of Change	1. Number of accessible and affordable <u>early childhood or pre-school education</u> assets or resources added to the identified community.				
	2. Number of accredited or licensed <u>affordable child care facilities</u> added in the identified community.				
	3. Number of new <u>Early Childhood Screenings</u> offered to <b>children</b> (ages 0-5) of families with low-incomes in the identified community.				
	4. Number of accessible and affordable education assets or resources added for <u>school age children</u> in the identified community. (e.g., academic, enrichment activities, before/after school care, summer programs)				
	5. Number of accessible and affordable <u>post secondary education</u> assets or resources added for newly graduating <b>youth</b> in the identified community. (e.g. college tuition, scholarships, vocational training, etc.)				
	6. Number of accessible and affordable <u>basic or secondary education</u> assets or resources added for <b>adults</b> in the identified community. (e.g. literacy, ESL, ABE/GED, etc.)				
Other Counts of Change	Other Counts of Change for Education and Cognitive Development Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

	<b>Rates of Change for Education and Cognitive Development Indicators</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent increase of <b>children</b> in the identified community who are <b>kindergarten ready</b> .							
	2. Percent increase of <b>children</b> in the identified community at (or above) the <b>basic reading level</b> .							
	3. Percent increase of <b>children</b> in the identified community at (or above) the <b>basic math level</b> .							
	4. Percent increase in high school (or high school equivalency) <b>graduation rate</b> in the identified community.							
	5. Percent increase of the rate of <b>youth</b> in the identified community who <b>attend post-secondary education</b> .							
	6. Percent increase of the rate of <b>youth</b> in the identified community who <b>graduate from post-secondary education</b> .							
	7. Percent increase of <b>adults</b> in the identified community who <b>attend post-secondary education</b> .							
	8. Percent increase of <b>adults</b> in the identified community who <b>graduate from post-secondary education</b> .							
	9. Percent increase in the <b>adult literacy rate</b> in the identified community.							

	<b>Other Rates of Change for Education and Cognitive Development Indicators</b> - Please specify below.	<b>I.) Identified Community</b> (auto populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Other Rates of Change</b>								

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Infrastructure and Asset Building Indicators	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
		1. Number of <b>new</b> accessible assets/resources <b>created</b> in the identified community:			
	a. Commercial				
	b. Financial				
	c. Technological/ Communications (e.g. broadband)				
	d. Transportation				
	e. Recreational (e.g. parks, gardens, libraries)				
	f. Other Public Assets/Physical Improvements				
	2. Number of <b>existing</b> assets/resources <b>made accessible</b> to the identified community:				
	a. Commercial				
	b. Financial				
	c. Technological/ Communications (e.g. broadband)				
	d. Transportation				
	e. Recreational (e.g. parks, gardens, libraries)				
	f. Other Public Assets/Physical Improvements				
Other Counts of Change	Other Counts of Change for Infrastructure and Asset Building Indicators - Please specify below.	I.) Identified Community (auto populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

	<b>Rates of Change for Infrastructure and Asset Building Indicators</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent decrease of <u>abandoned or neglected buildings</u> in the identified community.							
	2. Percent decrease in <u>emergency response time</u> measured in minutes in the identified community. (EMT, Police, Fire, etc.).							
	3. Percent decrease of <u>predatory lenders and/or lending practices</u> in the identified community.							
	4. Percent decrease of <u>environmental threats</u> to households (toxic soil, radon, lead, air quality, quality of drinking water, etc.) in the identified community.							
	5. Percent increase of <u>transportation services</u> in the identified community.							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Infrastructure and Asset Building Indicators</b> - Please specify below.	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting:

Counts of Change for Housing Indicators		I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
Counts of Change	1. Number of safe and affordable housing units <b>developed in</b> the identified community (e.g. built or set aside units for people with low incomes).							
	2. Number of safe and affordable housing units <b>maintained</b> and/or <b>improved</b> through WAP or other rehabilitation efforts in the identified community.							
	3. Number of shelter beds <b>created</b> in the identified community.							
	4. Number of shelter beds <b>maintained</b> in the identified community.							
Other Counts of Change	Other Counts of Change for Housing Indicators- Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
Rates of Change	Rates of Change for Housing Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease in the <b>rate of homelessness</b> in the identified community.							
	2. Percent decrease in the <b>foreclosure rate</b> in the identified community.							
	3. Percent increase in the <b>rate of home ownership</b> of people with low incomes in the identified community.							
	4. Percent increase of <b>affordable housing</b> in the identified community.							
	5. Percent increase of <b>shelter beds</b> in the identified community.							
Other Rates of Change	Other Rates of Change for Housing Indicators - Please specify below.	I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:



**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Health and Social/Behavioral Indicators				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto-calculated)	
	1. Number of accessible and affordable <b>physical health</b> assets or resources created in the identified community.								
	2. Number of accessible and affordable <b>behavioral and mental health</b> assets or resources created in the identified community.								
	3. Number of <b>public safety</b> assets and resources created in the identified community.								
	4. Number of accessible and affordable healthy <b>food resources</b> created in the identified community.								
	5. Number of activities designed to <b>improve police and community relations</b> within the identified community.								
Other Counts of Change	Other Counts of Change for Health and Social/Behavioral Indicators- Please specify below.				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto-calculated)	
Rates of Change	Rates of Change for Physical Health, Wellbeing, and Development Indicators		I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto-calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto-calculated)	VII.) Performance target accuracy (% auto-calculated)
	1. Percent decrease in <b>infant mortality rate</b> in the identified community.								
	2. Percent decrease in <b>childhood obesity rate</b> in the identified community.								
	3. Percent decrease in <b>adult obesity rate</b> in the identified community.								
	4. Percent increase in <b>child immunization rate</b> in the identified community.								
	5. Percent decrease in <b>uninsured families</b> in the identified community.								

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

	<b>Rates of Change for Behavioral and Mental health, Emotional Wellbeing, and Development Indicators</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent decrease in the <b>teen pregnancy rate</b> in the identified community.							
	2. Percent decrease in <b>unplanned pregnancies</b> in the identified community.							
	3. Percent decrease in <b>substance abuse rate</b> in the identified community.(e.g. cigarettes, prescription drugs, narcotics, alcohol).							
	4. Percent decrease in <b>domestic violence rate</b> in the identified community.							
	5. Percent decrease in the <b>child abuse rate</b> in the identified community.							
	6. Percent decrease in the <b>child neglect rate</b> in the identified community.							
	7. Percent decrease in the <b>elder abuse rate</b> in the identified community.							
	8. Percent decrease in the <b>elder neglect rate</b> in the identified community.							
<b>Rates of Change</b>	<b>Rates of Change for Public Safety Indicators</b>	<b>I.) Identified Community</b> (auto populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
	1. Percent decrease in <b>recidivism rate</b> in the identified community.							
	2. Percent decrease in <b>non-violent crime rate</b> in the identified community.							
	3. Percent decrease in <b>violent crime rate</b> in the identified community.							
	4. Percent decrease in <b>teens involved with the juvenile court system</b> in the identified community.							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Health and Social/Behavioral Indicators</b> - Please specify below.	<b>I.) Identified Community</b> (auto populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting:

	<b>Rates of Change for Civic Engagement and Community Involvement Indicators</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent increase of <b>donated time</b> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community.							
	2. Percent increase of <b>donated resources</b> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community.							
	3. Percent increase of <b>people participating</b> in public hearings, policy forums, community planning, or other advisory boards related to the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community.							

	<b>Other Rates of Change for Civic Engagement and Community Involvement Indicators</b> - Please specify below.	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Other Rates of Change</b>								

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 3: People with low-incomes are engaged and active in building opportunities in communities.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting:

Rates of Change	Rates of Change for Civic Engagement and Community Involvement Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	
		1. Percent increase of people with low incomes <u>who support</u> the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community.							
		2. Percent increase of people with low incomes <u>who acquire and maintain leadership roles</u> with the CSBG Eligible Entity or other organizations within the identified community.							
Other Rates of Change	Other Rates of Change for Civic Engagement and Community Involvement Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	

General comments:

## Module 3, Section C: Community Strategies List

Employment Strategies
Minimum/Living Wage Campaign
Job Creation/Employment Generation
Job Fairs
Earned Income Tax Credit (EITC) Promotion
Commercial Space Development
Employer Education
Employment Policy Changes
Employment Legislative Changes
Other Employment Strategy: (please specify)

Education and Cognitive Development Strategies
Preschool for All Campaign
Charter School Development
After School Enrichment Activities Promotion
Pre K-College/Community College Support
Children’s Trust Fund Creation
Scholarship Creation
Child Tax Credit (CTC) Promotion
Adoption Child Care Quality Rating
Adult Education Establishment
Education and Cognitive Development Policy Changes
Education and Cognitive Development Legislative Changes
Other Education and Cognitive Development Strategy: (please specify)

Infrastructure and Asset Building Strategies
Cultural Asset Creation
Police/Community Relations Campaign
Neighborhood Safety Watch Programs
Anti-Predatory Lending Campaign
Asset Building and Savings Promotion
Develop/Build/Rehab Spaces
Maintain or Host Income Tax Preparation Sites
Community-Wide Data Collection Systems Development
Local 211 or Resource/Referral System Development
Water/Sewer System Development
Community Financial Institution Creation
Infrastructure Planning Coalition
Park or Recreation Creation and Maintenance
Rehabilitation/Weatherization of Housing Stock
Community Center/Community Facility Establishment
Asset Limit Barriers for Benefits Policy Changes
Infrastructure and Asset Building Policy Changes
Infrastructure and Asset Building Legislative Changes
Other Infrastructure and Asset Building Strategy: (please specify)

## Module 3, Section C: Community Strategies List

Housing Strategies
End Chronic Homelessness Campaign
New Affordable Single Unit Housing Creation
New Affordable Multi- Unit Housing Creation (Single Resident Occupancy (SRO), temporary housing, transitional housing)
Tenants' Rights Campaign
New Shelters Creation (including day shelters and domestic violence shelters)
Housing or Land Trust Creation
Building Codes Campaign
Housing Policy Changes
Housing Legislative Changes
Other Housing Strategy: (please specify)

Health and Social/Behavioral Development Strategies
Health Specific Campaign
Farmers Market or Community Garden Development
Grocery Store Development
Gun Safety/Control Campaign
Healthy Food Campaign
Nutrition Education Collaborative
Food Bank Development
Domestic Violence Court Development
Drug Court Development
Alternative Energy Source Development
Develop or Maintain a Health Clinic
Health and Social/Behavioral Development Policy Changes
Health and Social/Behavioral Development Legislative Changes
Other Health and Social/Behavioral Development Strategy: (please specify)

Community Support Strategies
Off-Hours (Non-Traditional Hours) Child Care Development
Transportation System Development
Transportation Services Coordination and Support
Community Support Policy Changes
Community Support Legislative Changes
Other Community Support Strategy: (please specify)

Emergency Management Strategies
State or Local Emergency Management Board Enhancement
Community wide Emergency Disaster Relief Service Creation
Disaster Preparation Planning
Emergency Management Policy Changes
Emergency Management Legislative Changes
Other Emergency Management Strategy: (please specify)

### Module 3, Section C: Community Strategies List

<b>Civic Engagement and Community Involvement Strategies- Goal 2</b>
Development of Health and Social Service Provider Partnerships
Recruiting and Coordinating Community Volunteers
Poverty Simulations
Attract Capital Investments
Build/Support Increased Equity
Equity Awareness Campaign
Coordinated Community-wide Needs Assessment
Civic Engagement and Community Involvement in Advocacy Efforts
Civic Engagement Policy Changes
Civic Engagement Legislative Changes
Other Civic Engagement and Community Involvement Strategy: (please specify)

<b>Civic Engagement and Community Involvement Strategies — Goal 3</b>
Empowerment of Individuals/Families with Low-Incomes
Campaign to Ensure Individuals with Low-Incomes are Represented on Local Governing Bodies
Social Capital Building Campaign for Individuals/Families with Low-Incomes
Campaign for Volunteer Placement and Coordination
Civic Engagement Policy Changes
Civic Engagement Legislative Changes
Other Civic Engagement and Community Involvement Strategy: (please specify)

# **Module 4**

## **Individual and Family Level**



# Instructional Notes

## Module 4 - Individual and Family Level

### Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form

All Individual and Family NPIs are **optional** there is a category for "Other Outcome Indicator". CSBG Eligible Entities will only report an "Other Outcome Indicator" if the current NPIs do not capture the outcomes the CSBG Eligible Entity is trying to achieve. Sample language is provided in the "Other Outcome Indicator" data entry section and will be modified by the CSBG Eligible Entity as necessary.

Please see additional notes below:

#### For All Individual and Family Domains:

**Targeting:** Targets are set in the Community Action Plan and are identified through the planning phase of the CAA's ROMA (Results Oriented Management and Accountability) cycle. The following will be reported for every indicator:

Column I: Number of Participants Served

Column II: Target (number planned to achieve an outcome in the reporting period)

Column III: Actual Results (actual number of participants who achieved the outcome)

Please note, it is rare that 100% of the people served will achieve the proposed outcome.

#### Domain Specific Instructions:

#### Employment, Income and Asset Building, and Housing Domains

**Indicators tracking outcomes for 90 or 180 days:** CSBG Eligible Entities are **only** expected to report on indicators with retention time frames for programs that specifically include follow up. If the CSBG Eligible Entity does not conduct follow up activities as a part of their programs, outcomes for indicators with retention time frames **will not be reported**.

#### Employment Domain

**NPI 5-7:** When reporting on indicators related to **living wage**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the living wage definition used in the General Comments Section.

#### Income and Asset Building Domain

**NPI 1 and 2:** CSBG Eligible Entities are **only expected** to report on basic needs indicators as applicable to the CSBG Eligible Entity's programs. When reporting on indicators related to **basics needs**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the basic needs definition used in the General Comments Section.

**NPI 8:** This indicator requires agencies to keep an unduplicated count of people who report improved financial well-being based on responses to the CFPB Financial Well Being Scale (found in the link below)

<http://www.consumerfinance.gov/reports/financial-well-being-scale/>

## Instructional Notes

### Module 4 - Individual and Family Level

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#### Outcomes Across Multiple Domains:

The data from this indicator will help tell the story of how many lives were improved because of the CSBG Network. Reporting on this indicator requires CSBG Eligible Entities to keep an unduplicated count of individuals who achieved one or more outcomes reported in the NPIs.

#### Module 4, Section B: Individual and Family Services - Data Entry Form

CSBG Eligible Entities will report unduplicated counts of individuals receiving any of the services listed on the **Individual and Family Services form**. This standardized Individual and Family Services list will aid in analysis of the relationship between people, services, and outcomes.

#### Module 4, Section C: All Characteristics Report - Data Entry Form

The **All Characteristics Report** collects data on all individuals and households, whether or not funded directly by CSBG. This demographic information will strengthen the CSBG Annual Report by demonstrating who is being served by CSBG Eligible Entities.

To obtain unduplicated counts, a CSBG Eligible Entity will need to have a system that distinguishes the characteristics for each individual/household. While some individuals and households may be served by several programs within a reporting year and entered into multiple data systems (e.g. LIHEAP, WIC, etc.), they must be reported as unduplicated individuals (in row A) and unduplicated households (in row B) in this report. Please note, a single person is reported as an unduplicated individual and an unduplicated household.

We recognize that CSBG Eligible Entities have multiple data systems and may not be able to have an unduplicated count across several systems. If you are unable to collect any characteristics on unduplicated individuals or households due to data systems issues, include those individuals in row E and households in row F at the end of this report. Additionally, please indicate the programs in which these individuals and households were enrolled. The system will allow multiple programs to be added.

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Employment Indicators**

Name of CSBG Eligible Entity Reporting:

Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of unemployed <b>youth</b> who obtained employment to gain skills or income.					
2. The number of unemployed <b>adults</b> who obtained employment ( <b>up to a living wage</b> ).					
3. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>up to a living wage</b> ).					
4. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>up to a living wage</b> ).					
5. The number of unemployed <b>adults</b> who obtained employment ( <b>with a living wage or higher</b> ).					
6. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>with a living wage or higher</b> ).					
7. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>with a living wage or higher</b> ).					
Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
8. The number of employed participants in a career-advancement related program who <b>entered or transitioned</b> into a position that provided increased income and/or benefits.					
a. Of the above, the number of employed participants who increased income from employment through <b>wage or salary amount increase</b> .					
b. Of the above, the number of employed participants who increased income from employment through <b>hours worked increase</b> .					
c. Of the above, the number of employed participants who <b>increased benefits</b> related to employment.					
Other Employment Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Education and Cognitive Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of <b>children</b> (0 to 5) who demonstrated improved emergent literacy skills.					
2. The number of <b>children</b> (0 to 5) who demonstrated skills for school readiness.					
3. The number of <b>children</b> and <b>youth</b> who demonstrated improved positive approaches toward learning, including improved attention skills. (auto total).					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
4. The number of <b>children</b> and <b>youth</b> who are achieving at basic grade level (academic, social, and other school success skills). (auto total)					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
5. The number of <b>parents/caregivers</b> who improved their home environments.					
6. The number of <b>adults</b> who demonstrated improved basic education.					
7. The number of <b>individuals</b> who obtained a high school diploma and/or obtained an equivalency certificate or diploma.					
8. The number of <b>individuals</b> who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills.					
9. The number of <b>individuals</b> who obtained an Associate's degree.					
10. The number of <b>individuals</b> who obtained a Bachelor's degree.					

Other Education and Cognitive Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
11. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Income and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Income and Asset Building	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> .					
2. The number of individuals who achieved and maintained capacity to meet basic needs for <b>180 days</b> .					
3. The number of individuals who opened a <b>savings account or IDA</b> .					
4. The number of individuals who <b>increased their savings</b> .					
5. The number of individuals who used their savings to <b>purchase an asset</b> .					
a. Of the above, the number of individuals who <b>purchased a home</b> .					
6. The number of individuals who <b>improved their credit scores</b> .					
7. The number of individuals who <b>increased their net worth</b> .					
8. The number of individuals engaged with the Community Action Agency who report <b>improved financial well-being</b> .					

Other Income and Asset Building Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of households experiencing homelessness who obtained <b>safe temporary shelter</b> .					
2. The number of households who obtained <b>safe and affordable housing</b> .					
3. The number of households who maintained safe and affordable housing for <b>90 days</b> .					
4. The number of households who maintained safe and affordable housing for <b>180 days</b> .					
5. The number of households who <b>avoided eviction</b> .					
6. The number of households who <b>avoided foreclosure</b> .					
7. The number of households who <b>experienced improved health and safety</b> due to improvements within their home (e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc).					
8. The number of households with <b>improved energy efficiency and/or energy burden reduction</b> in their homes.					

Other Housing Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Health and Social/Behavioral Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who demonstrated <b>increased nutrition skills</b> (e.g. cooking, shopping, and growing food).					
2. The number of individuals who demonstrated <b>improved physical health</b> and well-being.					
3. The number of individuals who demonstrated <b>improved mental and behavioral health and well-being</b> .					
4. The number of individuals who <b>improved skills</b> related to the adult role of parents/ caregivers.					
5. The number of parents/caregivers who <b>demonstrated increased sensitivity and responsiveness</b> in their interactions with their children.					
6. The number of <b>seniors (65+)</b> who maintained an independent living situation.					
7. The number of <b>individuals with disabilities</b> who maintained an independent living situation.					
8. The number of <b>individuals with chronic illness</b> who maintained an independent living situation.					
9. The number of individuals with <b>no recidivating event</b> for six months.					
a. Youth (ages 14-17)					
b. Adults (ages 18+)					

Other Health and Social/Behavioral Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
10. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of Community Action program participants who increased skills, knowledge, and abilities to enable them to work with Community Action to improve conditions in the community.					
a. Of the above, the number of Community Action program participants who <b><u>improved their leadership skills.</u></b>					
b. Of the above, the number of Community Action program participants who <b><u>improved their social networks.</u></b>					
c. Of the above, the number of Community Action program participants who gained other skills, knowledge and abilities to <b><u>enhance their ability to engage.</u></b>					

Other Civic Engagement and Community Involvement Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.					

Comments:



**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Outcomes Across Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Outcomes Across Multiple Domains	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who achieved one or more outcomes as identified by the National Performance Indicators in various domains.					

Other Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.					

Comments:

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

**Employment Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Employment Services	Unduplicated Number of Individuals Served
<b>Skills Training and Opportunities for Experience</b>	
Vocational Training	
On-the-Job and other Work Experience	
Youth Summer Work Placements	
Apprenticeship/Internship	
Self-Employment Skills Training	
Job Readiness Training	
<b>Career Counseling</b>	
Workshops	
Coaching	
<b>Job Search</b>	
Coaching	
Resume Development	
Interview Skills Training	
Job Referrals	
Job Placements	
Pre-employment physicals, background checks, etc.	
<b>Post Employment Supports</b>	
Coaching	
Interactions with employers	
<b>Employment Supplies</b>	
Employment Supplies	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

**Education and Cognitive Development Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Education and Cognitive Development Services	Unduplicated Number of Individuals Served
<b>Child/Young Adult Education Programs</b>	
Early Head Start	
Head Start	
Other Early-Childhood (0-5 yr. old) Education	
K-12 Education	
K-12 Support Services	
Financial Literacy Education	
Literacy/English Language Education	
College-Readiness Preparation/Support	
Other Post Secondary Preparation	
Other Post Secondary Support	
<b>School Supplies</b>	
School Supplies	
<b>Extra-curricular Programs</b>	
Before and After School Activities	
Summer Youth Recreational Activities	
Summer Education Programs	
Behavior Improvement Programs (attitude, self-esteem, Dress-for-Success, etc.)	
Mentoring	
Leadership Training	
<b>Adult Education Programs</b>	
Adult Literacy Classes	
English Language Classes	
Basic Education Classes	
High School Equivalency Classes	
Leadership Training	
Parenting Supports (may be a part of the early childhood programs identified above)	
Applied Technology Classes	
Post-Secondary Education Preparation	
Financial Literacy Education	
<b>Post-Secondary Education Supports</b>	
College applications, text books, computers, etc.	
<b>Financial Aid Assistance</b>	
Scholarships	
<b>Home Visits</b>	
Home Visits	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Income and Asset Building Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Income and Asset Building Services	Unduplicated Number of Individuals Served
<b>Training and Counseling Services</b>	
Financial Capability Skills Training	
Financial Coaching/Counseling	
Financial Management Programs (including budgeting, credit management, credit repair, credit counseling, etc.)	
First-time Homebuyer Counseling	
Foreclosure Prevention Counseling	
Small Business Start-Up and Development Counseling Sessions/Classes	
<b>Benefit Coordination and Advocacy</b>	
Child Support Payments	
Health Insurance	
Social Security/SSI Payments	
Veteran's Benefits	
TANF Benefits	
SNAP Benefits	
<b>Asset Building</b>	
Saving Accounts/IDAs and other asset building accounts	
Other financial products (IRA accounts, MyRA, other retirement accounts, etc.)	
VITA, EITC, or Other Tax Preparation programs	
<b>Loans And Grants</b>	
Micro-loans	
Business incubator/business development loans	

**Module 4, Section B: Individual and Family Services - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

**Housing Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing Services	Unduplicated Number of Individuals Served
<b>Housing Payment Assistance</b>	
Financial Capability Skill Training	
Financial Coaching/Counseling	
Rent Payments (includes Emergency Rent Payments)	
Deposit Payments	
Mortgage Payments (includes Emergency Mortgage Payments)	
<b>Eviction Prevention Services</b>	
Eviction Counseling	
Landlord/Tenant Mediations	
Landlord/Tenant Rights Education	
<b>Utility Payment Assistance</b>	
Utility Payments (LIHEAP-includes Emergency Utility Payments)	
Utility Deposits	
Utility Arrears Payments	
Level Billing Assistance	
<b>Housing Placement/Rapid Re-housing</b>	
Temporary Housing Placement (includes Emergency Shelters)	
Transitional Housing Placements	
Permanent Housing Placements	
Rental Counseling	
<b>Housing Maintenance &amp; Improvements</b>	
Home Repairs (e.g. structural, appliance, heating systems. etc.) (Including Emergency Home Repairs)	
<b>Weatherization Services</b>	
Independent-living Home Improvements (e.g. ramps, tub and shower grab bars, handicap accessible modifications, etc.)	
Healthy Homes Services(e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc.)	
Energy Efficiency Improvements (e.g. insulation, air sealing, furnace repair, etc.)	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development Services	Unduplicated Number of Individuals Served
<b>Health Services, Screening and Assessments</b>	
Immunizations	
Physicals	
Developmental Delay Screening	
Vision Screening	
Prescription Payments	
Doctor Visit Payments	
Maternal/Child Health	
Nursing Care Sessions	
In-Home Affordable Seniors/Disabled Care Sessions (Nursing, Chores, Personal Care Services)	
Health Insurance Options Counseling	
<b>Reproductive Health Services</b>	
Coaching Sessions	
Family Planning Classes	
Contraceptives	
STI/HIV Prevention Counseling Sessions	
STI/HIV Screenings	
<b>Wellness Education</b>	
Wellness Classes (stress reduction, medication management, mindfulness, etc.)	
Exercise/Fitness	
<b>Mental/Behavioral Health</b>	
Detoxification Sessions	
Substance Abuse Screenings	
Substance Abuse Counseling	
Mental Health Assessments	
Mental Health Counseling	
Crisis Response/Call-In Responses	
Domestic Violence Programs	
<b>Support Groups</b>	
Substance Abuse Support Group Meetings	
Domestic Violence Support Group Meetings	
Mental Health Support Group Meeting	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

<b>Health and Social/Behavioral Development Services (Cont'd.)</b>	<b>Unduplicated Number of Individuals Served</b>
<b>Dental Services, Screenings and Exams</b>	
Adult Dental Screening/Exams	
Adult Dental Services (including Emergency Dental Procedures)	
Child Dental Screenings/Exams	
Child Dental Services (including Emergency Dental Procedures)	
<b>Nutrition and Food/Meals</b>	
Skills Classes (Gardening, Cooking, Nutrition)	
Community Gardening Activities	
Incentives (e.g. gift card for food preparation, rewards for participation, etc.)	
Prepared Meals	
Food Distribution (Food Bags/Boxes, Food Share Program, Bags of Groceries)	
<b>Family Skills Development</b>	
Family Mentoring Sessions	
Life Skills Coaching Sessions	
Parenting Classes	
<b>Emergency Hygiene Assistance</b>	
Kits/boxes	
Hygiene Facility Utilizations (e.g. showers, toilets, sinks)	

**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Services Supporting Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

<b>Services Supporting Multiple Domains</b>	<b>Unduplicated Number of Individuals Served</b>
<b>Case Management</b>	
Case Management	
<b>Eligibility Determinations</b>	
Eligibility Determinations	
<b>Referrals</b>	
Referrals	
<b>Transportation Services</b>	
Transportation Services (e.g. bus passes, bus transport, support for auto purchase or repair; including emergency services)	
<b>Childcare</b>	
Child Care subsidies	
Child Care payments	
<b>Eldercare</b>	
Day Centers	
<b>Identification Documents</b>	
Birth Certificate	
Social Security Card	
Driver's License	
<b>Re-Entry Services</b>	
Criminal Record Expungements	
<b>Immigration Support Services</b>	
Immigration Support Services (relocation, food, clothing)	
<b>Legal Assistance (includes emergency legal assistance)</b>	
Legal Assistance	
<b>Emergency Clothing Assistance</b>	
Emergency Clothing Assistance	
<b>Mediation/Customer Advocacy Interventions (debt forgiveness, negotiations or issues with landlords, coordinating with other services or government)</b>	
Mediation/Customer Advocacy Interventions	



**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Civic Engagement and Community Involvement**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement Services	Unduplicated Number of Individuals Served
Voter Education and Access	
Leadership Training	
Tri-partite Board Membership	
Citizenship Classes	
Getting Ahead Classes	
Volunteer Training	

## Module 4, Section C: All Characteristics Report - Data Entry Form

### Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.

Name of CSBG Eligible Entity Reporting:

A. Total unduplicated number of all INDIVIDUALS about whom one or more characteristics were obtained:

B. Total unduplicated number of all HOUSEHOLDS about whom one or more characteristics were obtained:

#### C. INDIVIDUAL LEVEL CHARACTERISTICS

1. Gender	Number of Individuals	
a. Male		
b. Female		
c. Other		
d. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

2. Age	Number of Individuals	
a. 0-5		
b. 6-13		
c. 14-17		
d. 18-24		
e. 25-44		
f. 45-54		
g. 55-59		
h. 60-64		
i. 65-74		
j. 75+		
k. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

3. Education Levels	Number of Individuals	
	[ages 14-24]	[ages 25+]
a. Grades 0-8		
b. Grades 9-12/Non-Graduate		
c. High School Graduate/ Equivalency Diploma		
d. 12 grade + Some Post-Secondary		
e. 2 or 4 years College Graduate		
f. Graduate of other post-secondary school		
g. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

4. Disconnected Youth	Number of Individuals	
a. Youth ages 14-24 who are neither working or in school		

5. Health	Number of Individuals		
	Yes	No	Unknown
a. Disabling Condition			
	Yes	No	Unknown
b. Health Insurance*			

\*If an individual reported that they had Health Insurance please identify the source of health insurance below.

#### Health Insurance Sources

i. Medicaid		
ii. Medicare		
iii. State Children's Health Insurance Program		
iv. State Health Insurance for Adults		
v. Military Health Care		
vi. Direct-Purchase		
vii. Employment Based		
viii. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

6. Ethnicity/Race	Number of Individuals	
<i>I. Ethnicity</i>		
a. Hispanic, Latino or Spanish Origins		
b. Not Hispanic, Latino or Spanish Origins		
c. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

<i>II. Race</i>		
a. American Indian or Alaska Native		
b. Asian		
c. Black or African American		
d. Native Hawaiian and Other Pacific Islander		
e. White		
f. Other		
g. Multi-race (two or more of the above)		
h. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

7. Military Status	Number of Individuals	
a. Veteran		
b. Active Military		
c. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

8. Work Status (Individuals 18+)	Number of Individuals	
a. Employed Full-Time		
b. Employed Part-Time		
c. Migrant Seasonal Farm Worker		
d. Unemployed (Short-Term, 6 months or less)		
e. Unemployed (Long-Term, more than 6 months)		
f. Unemployed (Not in Labor Force)		
g. Retired		
h. Unknown/not reported		
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

## Module 4, Section C: All Characteristics Report - Data Entry Form

### Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.

Name of CSBG Eligible Entity Reporting:

#### D. HOUSEHOLD LEVEL CHARACTERISTICS

9. Household Type	Number of Households
a. Single Person	
b. Two Adults NO Children	
c. Single Parent Female	
d. Single Parent Male	
e. Two Parent Household	
f. Non-related Adults with Children	
g. Multigenerational Household	
h. Other	
i. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

10. Household Size	Number of Households
a. Single Person	
b. Two	
c. Three	
d. Four	
e. Five	
f. Six or more	
g. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

11. Housing	Number of Households
a. Own	
b. Rent	
c. Other permanent housing	
d. Homeless	
e. Other	
f. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

12. Level of Household Income <small>(% of HHS Guideline)</small>	Number of Households
a. Up to 50%	
b. 51% to 75%	
c. 76% to 100%	
d. 101% to 125%	
e. 126% to 150%	
f. 151% to 175%	
g. 176% to 200%	
h. 201% to 250%	
i. 250% and over	
j. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

13. Sources of Household Income	Number of Households
a. Income from Employment Only	
b. Income from Employment and Other Income Source	
c. Income from Employment, Other Income Source, and Non-Cash Benefits	
d. Income from Employment and Non-Cash Benefits	
e. Other Income Source Only	
f. Other Income Source and Non-Cash Benefits	
g. No Income	
h. Non-Cash Benefits Only	
i. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

*Below, please report the types of Other income and/or non-cash benefits received by the households who reported sources other than employment*

14. Other Income Source	Number of Households
a. TANF	
b. Supplemental Security Income (SSI)	
c. Social Security Disability Income (SSDI)	
d. VA Service-Connected Disability Compensation	
e. VA Non-Service Connected Disability Pension	
f. Private Disability Insurance	
g. Worker's Compensation	
h. Retirement Income from Social Security	
i. Pension	
j. Child Support	
k. Alimony or other Spousal Support	
l. Unemployment Insurance	
m. EITC	
n. Other	
o. Unknown/not reported	

15. Non-Cash Benefits	Number of Households
a. SNAP	
b. WIC	
c. LIHEAP	
d. Housing Choice Voucher	
e. Public Housing	
f. Permanent Supportive Housing	
g. HUD-VASH	
h. Childcare Voucher	
i. Affordable Care Act Subsidy	
j. Other	
k. Unknown/not reported	

#### E. Number of Individuals Not Included in the Totals Above (due to data collection system integration barriers)

1. Please list the unduplicated number of INDIVIDUALS served in each program\*:

Program Name	Number of Individuals

#### F. Number of Households Not Included in the Totals Above (due to data collection system integration barriers)

1. Please list the unduplicated number of HOUSEHOLDS served in each program\*:

Program Name	Number of Households

\*The system will add rows to allow reporting on multiple programs.



THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 203 hours per response for State CSBG Lead Agencies and 756 hours per response for eligible entities, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please send to: [infocollection@acf.hhs.gov](mailto:infocollection@acf.hhs.gov)



**Module 4**  
**Individual and Family Level**  
**ROMA Catalogue**



## Instructional Notes

### Module 4 –ROMA - Individual and

#### Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form

All Individual and Family NPIs are **optional** there is a category for "Other Outcome Indicator". CSBG Eligible Entities will only report an "Other Outcome Indicator" if the current NPIs do not capture the outcomes the CSBG Eligible Entity is trying to achieve. Sample language is provided in the "Other Outcome Indicator" data entry section and will be modified by the CSBG Eligible Entity as necessary.

Please see additional notes below:

#### For All Individual and Family Domains:

**Targeting:** Targets are set in the Community Action Plan and are identified through the planning phase of the CAA's ROMA (Results Oriented Management and Accountability) cycle. The following will be reported for every indicator:

Column I: Number of Participants Served

Column II: Target (number planned to achieve an outcome in the reporting period)

Column III: Actual Results (actual number of participants who achieved the outcome)

Please note, it is rare that 100% of the people served will achieve the proposed outcome.

#### Domain Specific Instructions:

#### Employment, Income and Asset Building, and Housing Domains

**Indicators tracking outcomes for 90 or 180 days:** CSBG Eligible Entities are **only** expected to report on indicators with retention time frames for programs that specifically include follow up. If the CSBG Eligible Entity does not conduct follow up activities as a part of their programs, outcomes for indicators with retention time frames **will not be reported**.

#### Employment Domain

**NPI 5-7:** When reporting on indicators related to **living wage**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the living wage definition used in the General Comments Section.

#### Income and Asset Building Domain

**NPI 1 and 2:** CSBG Eligible Entities are **only expected** to report on basic needs indicators as applicable to the CSBG Eligible Entity's programs. When reporting on indicators related to **basics needs**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the basic needs definition used in the General Comments Section.

**NPI 8:** This indicator requires agencies to keep an unduplicated count of people who report improved financial well-being based on responses to the CFPB Financial Well Being Scale (found in the link below)

<http://www.consumerfinance.gov/reports/financial-well-being-scale/>



**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

**Outcomes Across Multiple Domains:**

The data from this indicator will help tell the story of how many lives were improved because of the CSBG Network. Reporting on this indicator requires CSBG Eligible Entities to keep an unduplicated count of individuals who achieved one or more outcomes reported in the NPIs.

**Employment Indicators**

Name of CSBG Eligible Entity Reporting:

Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of unemployed <b>youth</b> who obtained employment to gain skills or income.					
2. The number of unemployed <b>adults</b> who obtained employment ( <b>up to a living wage</b> ).					
3. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>up to a living wage</b> ).					
4. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>up to a living wage</b> ).					
5. The number of unemployed <b>adults</b> who obtained employment ( <b>with a living wage or higher</b> ).					
6. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>with a living wage or higher</b> ).					
7. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>with a living wage or higher</b> ).					
Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
8. The number of employed participants in a career-advancement related program who <b>entered or transitioned</b> into a position that provided increased income and/or benefits.					
a. Of the above, the number of employed participants who Increased income from employment through <b>wage or salary amount increase</b> .					
b. Of the above, the number of employed participants who increased income from employment through <b>hours worked increase</b> .					
c. Of the above, the number of employed participants who <b>increased benefits</b> related to employment.					
Other Employment Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

9. The number of individuals or households					
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**Comments:**

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Education and Cognitive Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
1. The number of <b>children</b> (0 to 5) who demonstrated improved emergent literacy skills.					
2. The number of <b>children</b> (0 to 5) who demonstrated skills for school readiness.					
3. The number of <b>children</b> and <b>youth</b> who demonstrated improved positive approaches toward learning, including improved attention skills. (auto total).					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
4. The number of <b>children</b> and <b>youth</b> who are achieving at basic grade level (academic, social, and other school success skills). (auto total)					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
5. The number of <b>parents/caregivers</b> who improved their home environments.					
6. The number of <b>adults</b> who demonstrated improved basic education.					
7. The number of <b>individuals</b> who obtained a high school diploma and/or obtained an equivalency certificate or diploma.					
8. The number of <b>individuals</b> who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills.					
9. The number of <b>individuals</b> who obtained an Associate's degree.					
10. The number of <b>individuals</b> who obtained a Bachelor's degree.					

Other Education and Cognitive Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
11. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Income and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

<b>Income and Asset Building</b>	<b>I.) Number of Participants Served in program(s) (#)</b>	<b>II.) Target (#)</b>	<b>III.) Actual Results (#)</b>	<b>IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)</b>	<b>V.) Performance Target Accuracy (III/II = V] (% auto calculated)</b>
1. The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> .					
2. The number of individuals who achieved and maintained capacity to meet basic needs for <b>180 days</b> .					
3. The number of individuals who opened a <b>savings account or IDA</b> .					
4. The number of individuals who <b>increased their savings</b> .					
5. The number of individuals who used their savings to <b>purchase an asset</b> .					
a. Of the above, the number of individuals who <b>purchased a home</b> .					
6. The number of individuals who <b>improved their credit scores</b> .					
7. The number of individuals who <b>increased their net worth</b> .					
8. The number of individuals engaged with the Community Action Agency who report <b>improved financial well-being</b> .					

<b>Other Income and Asset Building Outcome Indicator</b>	<b>I.) Number of Participants Served in program(s) (#)</b>	<b>II.) Target (#)</b>	<b>III.) Actual Results (#)</b>	<b>IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)</b>	<b>V.) Performance Target Accuracy (III/II = V] (% auto calculated)</b>
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of households experiencing homelessness who obtained <b>safe temporary shelter</b> .					
2. The number of households who obtained <b>safe and affordable housing</b> .					
3. The number of households who maintained safe and affordable housing for <b>90 days</b> .					
4. The number of households who maintained safe and affordable housing for <b>180 days</b> .					
5. The number of households who <b>avoided eviction</b> .					
6. The number of households who <b>avoided foreclosure</b> .					
7. The number of households who <b>experienced improved health and safety</b> due to improvements within their home (e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc).					
8. The number of households with <b>improved energy efficiency and/or energy burden reduction</b> in their homes.					

Other Housing Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Health and Social/Behavioral Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who demonstrated <b>increased nutrition skills</b> (e.g. cooking, shopping, and growing food).					
2. The number of individuals who demonstrated <b>improved physical health</b> and well-being.					
3. The number of individuals who demonstrated <b>improved mental and behavioral health and well-being</b> .					
4. The number of individuals who <b>improved skills</b> related to the adult role of parents/ caregivers.					
5. The number of parents/caregivers who <b>demonstrated increased sensitivity and responsiveness</b> in their interactions with their children.					
6. The number of <b>seniors (65+)</b> who maintained an independent living situation.					
7. The number of <b>individuals with disabilities</b> who maintained an independent living situation.					
8. The number of <b>individuals with chronic illness</b> who maintained an independent living situation.					
9. The number of individuals with <b>no recidivating event</b> for six months.					
a. Youth (ages 14-17)					
b. Adults (ages 18+)					

Other Health and Social/Behavioral Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
10. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of Community Action program participants who increased skills, knowledge, and abilities to enable them to work with Community Action to improve conditions in the community.					
a. Of the above, the number of Community Action program participants who <b><u>improved their leadership skills.</u></b>					
b. Of the above, the number of Community Action program participants who <b><u>improved their social networks.</u></b>					
c. Of the above, the number of Community Action program participants who gained other skills, knowledge and abilities to <b><u>enhance their ability to engage.</u></b>					

Other Civic Engagement and Community Involvement Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.					

Comments:

Outcomes Across Multiple Domains	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who achieved one or more outcomes as identified by the National Performance Indicators in various domains.					

Other Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.					





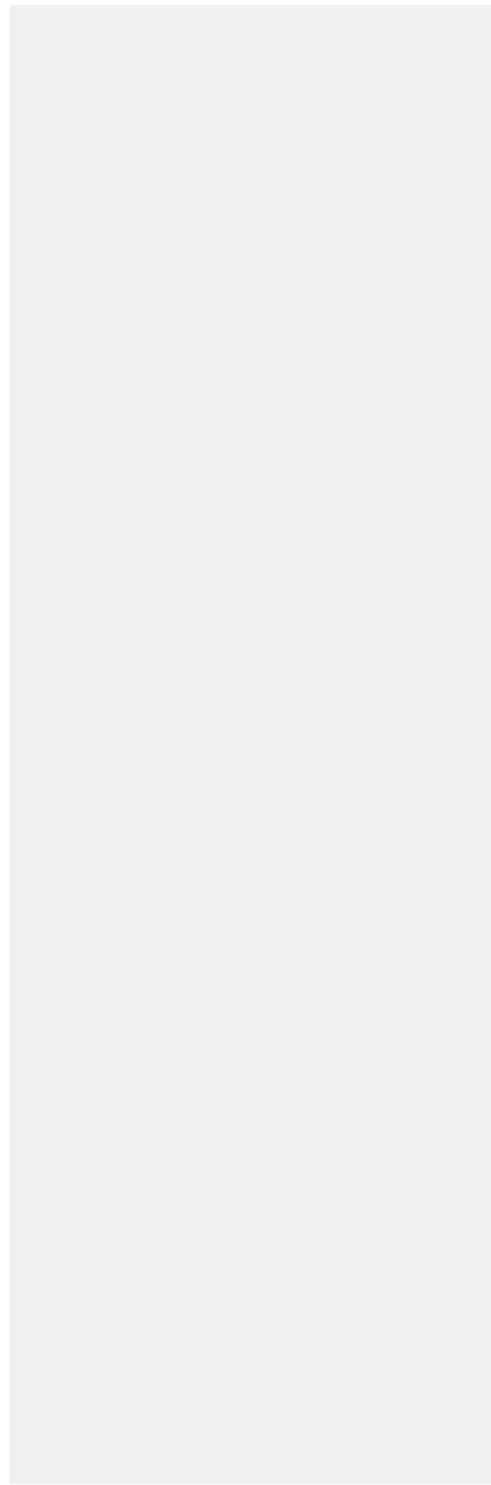
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Expiration date: XX/XX/XX



# Community Services Block Grant (CSBG) Annual Report

OMB PRA Clearance  
FRN #2

October 2016



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**Module 2**  
**CSBG Eligible Entity Expenditures,  
Capacity, and Resources**



## Instructional Notes

### Module 2 - CSBG Eligible Entity Expenditures, Capacity, and Resources

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#### Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form

**Section A: CSBG Expenditures by CSBG Eligible Entity Data Entry Form** meets the Congressional requirement for an explanation of the total amount of CSBG funding expended during the reporting period (identified below) based on categories referenced in the CSBG Act.

CSBG funding expended during the reporting period should be identified in the domain that best reflects the services delivered and strategies implemented, as well as the administrative costs associated with the domains. Further instructions will be provided, but please keep the following in mind, per domain:

**Services Supporting Multiple Domains:** Expenditures reported under Services Supporting Multiple Domains are those that span or support outcomes achieved across multiple domains for families and individuals, such as case management, transportation, and childcare.

**Linkages:** Many of the activities that were associated with Linkages are now captured in Domain 9: Agency Capacity Building. This narrows the definition of Linkages, but continues to include community initiatives and information and referral calls.

**Agency Capacity Building:** Expenditures for Agency Capacity Building are detailed in Table B on this form.

**Reporting on Administration:** Administrative costs for CSBG reporting are defined by the Office of Community Services as "equivalent to typical indirect costs or overhead." As distinguished from program administration or management expenditures that qualify as direct costs, administrative costs refer to central executive functions that do not directly support a specific project or service.

#### Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

**Section B: CSBG Eligible Entity Capacity Building Data Entry Form** provides detail on agency capacity building funded by CSBG and other funding sources.

#### Module 2, Section C: Allocated Resources per CSBG Eligible Entity - Data Entry Form

**Section C: Allocated Resources per CSBG Eligible Entity data entry form** provides data on resources allocated to, administered through, and generated by the CSBG Eligible Entity. This report provides valuable information on how CSBG leverages funds from multiple federal, state, local, and private sources as required in the CSBG Act.

**Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form**

▶ Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

▶ A. CSBG Eligible Entity Reporting Period <b>NEW – not asked on Section E</b>		"X"
1. July 1 - June 30	▶	X
2. October 1 - September 30		
3. January 1 - December 31		

▶ B. CSBG Expenditures Domains <i>See Changes and crosswalk matrix – Section E</i>	CSBG Funds
1. ▶ Employment <b>SAME</b>	
2. ▶ Education and Cognitive Development <b>SAME</b>	
3. ▶ Income, <i>Infrastructure</i> , and Asset Building <b>SAME – need to define “Infrastructure”</b>	
4. ▶ Housing <b>SAME</b>	
5. ▶ Health and Social/Behavioral Development ( <i>includes nutrition</i> ) ▶ <b>Moved - Formerly Section E Items 6 + 9.</b>	
6. Civic Engagement and Community Involvement – <b>New – Report if available for 2018 ▶ report in 2019. Report board activity expense, community-based activities, public events, workshops, community-wide facilities, recreation and any activities open to the general public that do not require an intake/eligibility process</b>	
7. ▶ Services Supporting Multiple Domains – <b>New - ▶ Place Emergency Services and Self-Sufficiency here, from Section E, Items 5+8. This will be where case management and program management dollars go also.</b>	
8. ▶ Linkages ( <i>e.g. partnerships that support multiple domains</i> ) <b>Moved - Formerly Section E, Items 7. Item 8, - Self-Sufficiency, eliminated.</b>	
▶ 9. Agency Capacity Building (detailed below in Table C) <b>New – Report if available for 2018 the report in 2019. Report staff training, fundraising, grant writing activities here if available.</b>	
10. Other ( <i>e.g. emergency management/disaster relief</i> ) <b>Report any CSBG Discretionary Emergency Funds here</b>	
<b>SAME - Total CSBG Expenditures (auto calculated)</b>	<b>\$0</b>

If the CSBG funds reported above, report the total amount used for Administration. [For more information on what qualifies as Administration, refer to IM37. SAME as on Section E.](#)

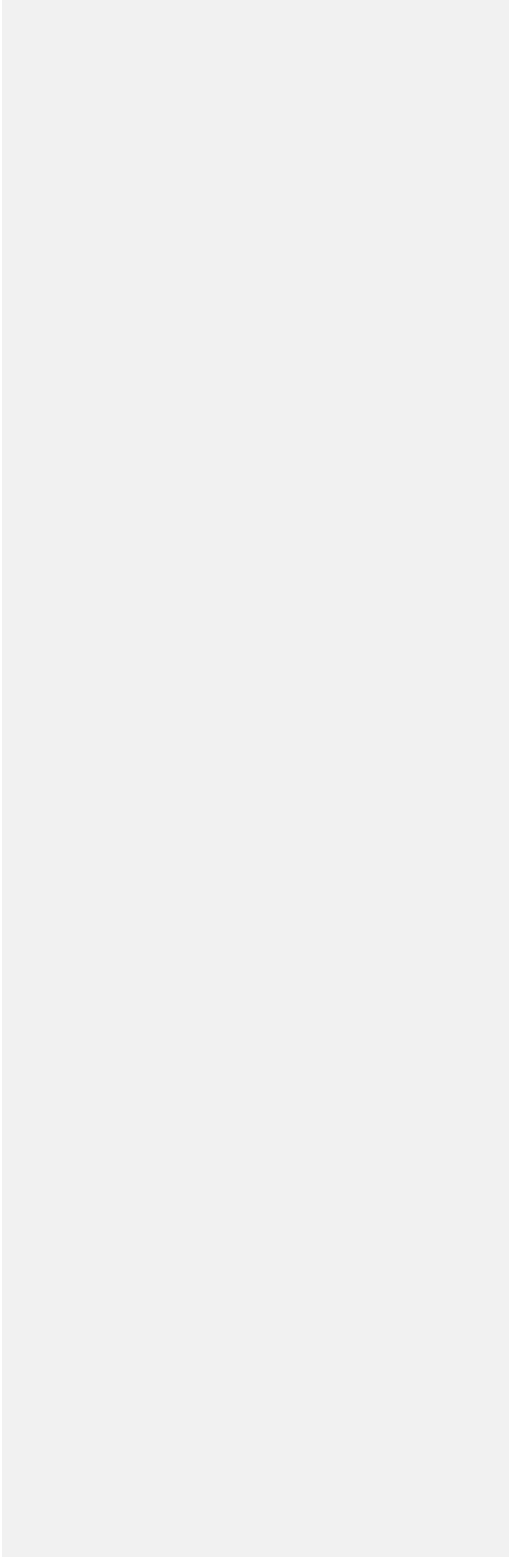
▶ C. Details on Agency Capacity Building Activities Funded by CSBG: - NEW
<p>1. Please identify which activities were funded by CSBG under Agency Capacity in Table B. Please check all that apply.</p> <p><input type="checkbox"/> Community Needs Assessment    <input type="checkbox"/> Data Management &amp; Reporting    <input type="checkbox"/> Strategic Planning    <input type="checkbox"/> Training &amp; Technical Assistance</p> <p><input type="checkbox"/> Other*</p>
<p>*▶ Below please specify Other Activities funded by CSBG under Agency Capacity:</p>

## Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

▶ Name of CSBG Eligible Entity: \_\_\_\_\_

<b>▶ A. CSBG Eligible Entity Reporting Period</b>		<b>"X"</b>
1. July 1 - June 30		<i>auto-populated from Module 2, Section A</i>
▶ 2. October 1 - September 30		
3. January 1 - December 31		
<b>B. Hours of Agency Capacity Building (e.g. training, planning, assessment):</b>		<b>Hours</b>
<b>NPI – Goal 5.1</b>	▶ 1. Hours of Board Members in capacity building activities <b>Closest NPI: 5.1 H</b> . Include also hours fundraising and meetings where capacity building is discussed or an activity takes place such as a partnership event/conference or training.	
	▶ 2. Hours of Agency Staff in capacity building activities <b>Staff Training – Closest NPI – 5.1 G</b> .	
<b>C. Volunteer Hours of Agency Capacity Building (e.g. program support, service delivery, fundraising):</b>		<b>H</b>
<b>NPI</b>	<b>Crosswalk: NPIS Goals 2 and 3</b>	
<b>2.3B</b>	▶ 1. Total number of volunteer hours donated to the agency <b>NPI 2.3 B. SAME</b>	
<b>3.1 B</b>	▶ a. <b>Of the above</b> , the total number of volunteer hours donated by individuals with low-incomes <b>NPI 3.1</b>	
<b>D. The number of staff who hold certifications that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:</b>		<b>Number</b>
<b>NPI</b>	<b>Crosswalk:</b>	
<b>5.1 B</b>	▶ 1. Number of Nationally Certified ROMA Trainers <b>NPI 5.1 B</b>	
<b>None</b>	▶ 2. <b>Number of Nationally Certified ROMA Implementers New - Provide if applicable</b>	
<b>5.1 A</b>	▶ 3. Number of Certified Community Action Professionals (CCAP) <b>NPI 5.1 A</b>	
<b>5.1 D</b>	▶ 4. Number of Staff with a child development certification <b>NPI 5.1 D</b>	
<b>5.1 C</b>	▶ 5. Number of Staff with a family development certification <b>NPI 5.1 C</b>	
<b>None</b>	▶ 6. Number of Pathways Reviewers <b>New – provide if applicable</b>	
<b>None</b>	▶ 7. <b>Number of Staff with Home Energy Professional Certifications WAP Only – NEW provide if applicable</b>	
	a. Number of Energy Auditors - <b>NEW</b>	
	b. Number of Retrofit Installer Technicians - <b>NEW</b>	
	c. Number of Crew Leaders - <b>NEW</b>	
	d. Number of Quality Control Inspectors (QCI) - <b>NEW</b>	
<b>None</b>	▶ 8. Number of LEED Risk Certified assessors <b>NEW</b>	
<b>None</b>	▶ 9. Number of Building Performance Institute (BPI) certified professionals <b>NEW</b>	
<b>None</b>	▶ 10. Number of Classroom Assessment Scoring System (CLASS) certified professionals <b>NEW</b>	
<b>None</b>	▶ 11. Number of Certified Housing Quality Standards (HQS) Inspectors <b>NEW</b>	
<b>None</b>	▶ 12. Number of American Institute of Certified Planners (AICP) <b>NEW</b>	
<b>None</b>	▶ 13. Other (Please specify others below): <b>Provide if available (optional)</b>	
<b>▶ E. Number of organizations, both public and private, that the CSBG Eligible Entity actively works with to expand resources and opportunities in order to achieve family and community outcomes: NPIS – Goal 4.1, A-M - SAME. Column II, Number of agreements dropped</b>		<b>Unduplicated Number of Organizations</b>

<b>Same</b>	1. Non-Profit	
<b>Same</b>	2. Faith Based	
<b>Same</b>	3. Local Government	
<b>Same</b>	4. State Government	
<b>Same</b>	5. Federal Government	
<b>Same</b>	6. For-Profit Business or Corporation	
<b>Same</b>	7. Consortia/Collaborations	
<b>Same</b>	8. School Districts	
<b>Same</b>	9. Institutions of Post-Secondary Education/Training	
<b>Same</b>	10. Financial/Banking Institutions	
<b>Same</b>	11. Health Service Organizations	
<b>Same</b>	12. Statewide Associations or Collaborations	





**Module 2, Section C: Allocated Resources per CSBG Eligible Entity -  
Data Entry Form**

▶ Name of CSBG Eligible Entity: \_\_\_\_\_ ▶ Section F, 1. \_\_\_\_\_

<b>A. CSBG Eligible Entity Reporting Period – NEW - AUTO</b>		<b>"X"</b>
1. July 1 - June 30	<i>auto-populated from Module 2, Section A</i>	
2. October 1 - September 30		
3. January 1 - December 31		

B. Amount of FY 20XX CSBG allocated to reporting entity ▶ Section F. 2. \_\_\_\_\_

**C. Federal Resources Allocated (Other than CSBG) From Section F, Part 1, heading/no comparable number.**

1. Weatherization (DOE) <i>(include oil overcharge \$\$)</i>	▶ Section F. 3.	1.	_____
2. Health and Human Services (HHS)	▶ Section F. 4		
a. LIHEAP - Fuel Assistance <i>(include oil overcharge \$\$)</i>	▶ SAME	2a.	_____
b. LIHEAP - Weatherization <i>(include oil overcharge \$\$)</i>	▶ SAME	2b.	_____
c. Head Start	▶ SAME	2c.	_____
d. Early Head Start	▶ SAME	2d.	_____
e. Older Americans Act	▶ SAME	2e.	_____
f. Social Services Block Grant (SSBG)	▶ SAME	2f.	_____
g. Medicare/Medicaid	▶ SAME	2g.	_____
h. Assets for Independence (AFI)	▶ SAME	2h.	_____
i. Temporary Assistance for Needy Families (TANF)	▶ SAME	2i.	_____
j. Child Care Development Block Grant (CCDBG)	▶ SAME	2j.	_____
k. <b>Community Economic Development (CED) New</b>	If applicable	2k.	_____
l. <b>Other HHS Resources ▶ F., 3 K, i-iv., SAME</b>			
i. _____	CFDA #:	2l.i	_____
ii. _____	CFDA #:	2l.ii	_____
iii. _____	CFDA #:	2l.iii	_____
iv. _____	CFDA #:	2l.iv	_____
			\$ -
3. ▶ Department of Agriculture (USDA) Section F, 5. SAME			
a. Special Supplemental Nutrition for Women, Infants, and Children (WIC)		3a.	_____
b. All USDA Non-Food programs (e.g. rural development)		3b.	_____
c. All other USDA Food programs		3c.	_____
4. ▶ Department of Housing and Urban Development (HUD) Section F, 6. SAME			
a. Community Development Block Grant (CDBG) - Federal, State, and Local Section 8		4a.	_____
b. Section 8		4b.	_____
c. Section 202		4c.	_____
d. Home Tenant-Based Rental Assistance (HOME TBRA)		4d.	_____
e. HOPE for Homeowners Program (H4H)		4e.	_____
f. Emergency Solutions Grant (ESG)		4f.	_____
g. Continuum of Care (CoC)		4g.	_____
h. All other HUD programs, including homeless programs		4h.	_____
5. ▶ Department of Labor (DOL) Section F, 7. SAME			
a. Workforce Innovation and Opportunity Act (WIOA) *previously WIA		5a.	_____
b. Other DOL Employment and Training programs		5b.	_____
c. All other DOL programs		5c.	_____
6. ▶ Corporation for National and Community Service (CNCS) programs Section F. 8. SAME		6.	_____
7. ▶ Federal Emergency Management Agency (FEMA) Section F.9. SAME		7.	_____
8. ▶ Department of Transportation Section F.10. SAME		8.	_____
9. ▶ Department of Education Section F. 11. SAME		9.	_____
10. ▶ Department of Justice Section F. 12 SAME		10.	_____
11. ▶ Department of Treasury Section F. 13 SAME		11.	_____
12. ▶ Other Federal Resources Section F. 14. SAME			
i. _____	CFDA #:	12.i	_____
ii. _____	CFDA #:	12.ii	_____
iii. _____	CFDA #:	12.iii	_____
iv. _____	CFDA #:	12.iv	_____
13. ▶ Total Other Federal Resources (auto-calculated) Section F. 14. SAME -		13.	\$ -
14. ▶ Total: Non-CSBG Federal Resources Allocated (auto-calculated) Section F. 15 SAME		14	\$ -

**D. State Resources Allocated Section F. 16 ALL THE SAME EXCEPT FOR ITEM I**

1.	a.	State appropriated funds used for the same purpose as Federal CSBG funds	1a.	
	b.	State Housing and Homeless programs (include housing tax credits)	1b.	
	c.	State Nutrition programs	1c.	
	d.	State Early Childhood Programs (e.g. Head Start, Day Care)	1d.	
	e.	State Energy programs	1e.	
	f.	State Health programs	1f.	
	g.	State Youth Development programs	1g.	
	h.	State Employment and Training programs	1h.	
	i.	State Head-Start Programs State Senior programs (was j.)	1i.	
	j.	State Transportation programs (was k.)	1j.	
	k.	State Education programs (was l.)	1k.	
	l.	State Community, Rural and Economic Development programs (Was m.)	1l.	
	m.	State Family Development programs (Was n.)	1m.	
	n.	<b>Other State Resources (Was o.) SAME</b>		
	i.		1n.i	
	ii.		1n.ii	
	iii.		1n.iii	
	iv.		1n.iv	
	<b>1n.</b>	<b>Total Other State Resources (auto calculated) Section F.16.o. - Auto</b>	<b>1n.</b>	<b>\$ -</b>

2.	Total: State Resources Allocated (auto-calculated) Section F. 17. - Auto	2.	\$ -
3.	If any of these resources were also reported under Item 15 (Federal Resources), please estimate the amount Section F. 18 - SAME	3.	

**E. Local Resources Allocated Section F. 19 SAME**

1.	a.	Amount of unrestricted funds appropriated by local government	1a.	
	b.	Amount of restricted funds appropriated by local government	1b.	
	c.	Value of Contract Services	1c.	
	d.	Value of in-kind goods/services received from local government	1d.	
2.	Total: Local Resources Allocated (auto-calculated) Section F. 20 - SAME	2.	\$ -	
3.	If any of these resources were also reported under Item 15 or 17 (Federal or State Resources), please estimate the amount. Section F. 21 - SAME	3.		

**F. Private Sector Resources Allocated Section F. 22 SAME**

1.	a.	Funds from foundations, corporations, United Way, other nonprofits	1a.	
	b.	Other donated funds	1b.	
	c.	Value of other donated items, food, clothing, furniture, etc.	1c.	
	d.	Value of in-kind services received from businesses	1d.	
	e.	Payments by clients for services	1e.	
	f.	Payments by private entities for goods or services for low income clients or communities	1f.	
2.	Total: Private Sector Resources Allocated (auto-calculated)	2.	\$ -	
3.	If any of these resources were also reported under Item 15, 17, or 20 (Federal, State or Local Resources), please estimate the amount.	3.		

<b>G.</b>	<b>Total Non-CSBG Resources Allocated: (Federal, State, Local &amp; Private) (autocalculated)</b>	<b>G.</b>	<b>\$ -</b>
<b>H.</b>	<b>Total Resources in CSBG Eligible Entity (including CSBG) (autocalculated)</b>	<b>H.</b>	<b>\$ -</b>

Note : \* All totals are autocalculated

# **Module 3**

## **Community Level**

## Instructional Notes

### Module 3 - Community Level

#### Module 3, Section A: Community Initiative Status Form

CSBG Eligible Entities will complete the **Community Initiative Status Form** for the CSBG Eligible Entity identified initiatives intended to achieve community level outcomes. This form provides a central place to report valuable information about a single community initiative that started, continued, or ended during the current reporting period. The information reported on the status form will be selected via a dropdown menu or written as a narrative. In future reporting periods, CSBG Eligible Entities will update the status form based on the initiative's progress. Please see additional notes below:

**Problem Identification:** CSBG Eligible Entities will provide information on how the problem was identified in the Community Needs Assessment. This will include any data collected.

**Issue/CSBG Community Domains:** Select the domain(s) category(ies) that best describe the issue addressed by the initiative. A full list is provided in the Status Form.

**Ultimate Expected Outcomes:** Select the indicator(s) from the Community Level NPIs (full list is found in Section B) that measures the ultimate expected outcome of the initiative OR enter an "Other Outcome Indicator".

**Partnership Type:** Select the partnership type from the choices provided. For example, a multi-partner initiative includes the CSBG Eligible Entity and one or more partners.

#### Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form

To facilitate the reporting, use, and learning from Community NPIs the Annual Report provides two types of indicators (**Counts of Change** and **Rates of Change**). Based on the community-level work in which the CSBG Eligible Entity is engaged, select the appropriate NPIs in either section. All the NPIs are **optional** and a category of "other" exists for a CSBG Eligible Entity to create its own indicator if none of those provided captures what the CSBG Eligible Entity is trying to achieve.

The first way to report impact is the **Counts of Change** indicators. These are basic measures that provide the number of units being measured, e.g. jobs, houses, resources, etc. that have been added (created) or subtracted (eliminated), and in some cases maintained, in the community the CSBG Eligible Entity has targeted.

The second way to report impact is the **Rates of Change** indicators. While requiring a bit more information, these indicators tell the full story of the *magnitude of the impact* a community initiative (usually involving multiple organizations) has had in a community.

## Instructional Notes

### Module 3 - Community Level

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In the **Rates of Change** section, the measures call for reporting the “percent change” —the increase or decrease of something from one year to the next. Please see the examples below.

Example 1: If you are measuring a percent increase in shelter beds, you would provide the following information:

- II.) Baseline existing starting point used for comparisons (#):** Total Number of shelter beds (last year)
- III.) Target (#):** Targeted Number of shelter beds
- V.) Actual Results (#):** Actual number of shelter beds for the year

Example 2: If you are measuring a percent increase in the high school **graduation rate** in the identified community (in this case one school district), you would provide the following information:

- II.) Baseline existing starting point used for comparisons (#):** High School Graduation Rate (last year)
- III.) Target (#):** Targeted High School Graduation Rate
- V.) Actual Results (#):** Actual High School Graduation Rate (at the end of the initiative)

The calculation for a percent increase or decrease for the community NPI rates of change is auto calculated in column VI (actual percent change from baseline). The same logic applies when reporting a percent decrease.

Note, outcomes will only be reported once a community initiative has been reached or when progress has been made toward the ultimate expected outcome. If progress has not been made, there is a place to identify this in the Community Initiative Status Form.

Assistance with these types of calculations can either be obtained locally or from the national partners.

#### Module 3, Section C: Community Strategies List

CSBG Eligible Entities will use the Community Strategies field provided in the Community Initiative Status form to identify relevant strategies community level initiative. A complete listing of the Community Strategies is found in Section C. The Community Strategies List provides a basic identification of strategies, arranged by Domain and by topic area. The list cannot be all-inclusive, as such an “other” category is included. This standardized list will aid in local and state analysis of the relationship between community-level strategies and outcomes.

## Module 3, Section A: Community Initiative Status Form

### Crosswalk: CSBG IS Section D:

Name of CSBG Eligible Entity Reporting:

Use the dropdown menu to select the response where appropriate.	
1. ▶ Initiative Name	Indicate program/initiative name here.
2. ▶ Initiative Year	1-7+ years
3. ▶ Problem Identification	Narrative (Provide a narrative on the scope of the problem)
4. ▶ Goal/Agenda	Narrative (Provide a narrative on the goal/agenda)
5. ▶ Issue/CSBG Community Domains	Employment; Education and Cognitive Development; Income, Infrastructure, and Asset Building; Housing; Health and Social/Behavioral Development; or Civic Engagement and Community Involvement
6. ▶ Ultimate Expected Outcome	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
7. ▶ Identified Community	Neighborhood, City, School District, County, or Service Area, State, Region, or Other
8. ▶ Expected Duration	Narrative (Provide the range in years, e.g. 1-3 years)
9. ▶ Partnership Type	Independent CAA Initiative, CAA is the core organizer of multi-partner Initiative, or CAA is one of multiple active investors and partners
10. ▶ Partners	Narrative (Provide a narrative on the key 1-3 partners)
11. ▶ Strategy(ies)	Select from the Community Level Strategies listed in Section C
12. ▶ Progress on Outcomes/Indicators	No Outcomes to Report, Interim Outcomes, Final Outcomes
13. ▶ Impact of Outcomes	Narrative (Provide additional information on the scope of the impact of these outcomes. e.g. If an initiative created a health clinic, please describe how many individuals and families are expected to be impacted.)
14. ▶ Outcomes/Indicators to Report	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
15. ▶ Final Status	Initiative Active, Initiative Ended Early, Initiative Ended as Planned, Completed Still Delivering Value
16. ▶ Lessons Learned	Narrative

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Employment Indicators**

▶ Name of CSBG Eligible Entity Reporting:

Counts of Change	Counts of Change for Employment Indicators	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
		1. Number of jobs <b>created</b> to increase opportunities for people with low incomes in the identified community.			
	▶ 2. Number of job opportunities <b>maintained</b> in the identified community. <b>NPI 2.1A</b>				
	▶ 3. Number of "living wage" jobs <b>created</b> in the identified community*. <b>Parsed from NPI 2.1B, 'created' only</b>				
	▶ 4. Number of "living wage" jobs <b>maintained</b> in the identified community*. <b>Parsed from NPI 2.1B, 'maintained' only</b>				
	5. Number of jobs <b>created</b> in the identified community with a benefit package. <b>No NPI equivalent</b>				

\*When reporting on indicators related to living wage, agencies can provide their own definition or select from national or locally-defined models. Please indicate the living wage definition used in the General Comment box.

Other Counts of Change	Other Counts of Change for Employment Indicators - Please specify below. <b>No NPI equivalent</b>	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

Rates of Change	Rates of Change for Employment Indicators <b>No NPI equivalent</b>	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
		▶ 1. Percent decrease of the <b>unemployment rate</b> .						
	▶ 2. Percent decrease of the <b>youth unemployment rate</b> .							
	▶ 3. Percent decrease of the <b>underemployment rate</b> .							

Other Rates of Change	Other Rates of Change for Employment Indicators <b>No NPI equivalent</b> - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting:

Counts of Change for Education and Cognitive Development Indicators		I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
Counts of Change	1. Number of accessible and affordable <u>early childhood or pre-school education</u> assets or resources added to the identified community.				
	▶ 2. Number of accredited or licensed <u>affordable child care facilities</u> added in the identified community. <b>Parsed from NPI 2.1 F – adding a target.</b>				
	3. Number of new <u>Early Childhood Screenings</u> offered to <b>children</b> (ages 0-5) of families with low-incomes in the identified community. <b>No NPI equivalent being reported by any agency.</b>				
	▶ 4. Number of accessible and affordable education assets or resources added for <u>school age children</u> in the identified community. (e.g., academic, enrichment activities, before/after school care, summer programs) <b>NPI 2.1 G – add a target.</b>				
	▶ 5. Number of accessible and affordable <u>post-secondary education</u> assets or resources added for newly graduating <b>youth</b> in the identified community. (e.g. college tuition, scholarships, vocational training, etc.) <b>2.1 I, adding a target and parsed for post-secondary ed., if available.</b>				
	▶ 6. Number of accessible and affordable <u>basic or secondary education</u> assets or resources added for <b>adults</b> in the identified community. (e.g. literacy, ESL, ABE/GED, etc.) <b>NPI 2.1 I – adding a target and parsed for secondary ed. if available.</b>				
Other Counts of Change	Other Counts of Change for Education and Cognitive Development Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)



**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

	<b>Rates of Change for Education and Cognitive Development Indicators = derived from former Goal 6 – NPIs 6.3</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	▶ 1. Percent increase of <b>children</b> in the identified community who are <b>kindergarten ready</b> . <b>NPI 6.3 Child D added target</b>							
	2. Percent increase of <b>children</b> in the identified community at (or above) the basic <b>reading level</b> . <b>No NPI equivalent</b>							
	3. Percent increase of <b>children</b> in the identified community at (or above) the <b>basic math level</b> . <b>No NPI equivalent</b>							
	4. Percent increase in high school (or high school equivalency) <b>graduation rate</b> in the identified community. <b>No NPI equivalent</b>							
	5. Percent increase of the rate of <b>youth</b> in the identified community who <b>attend post-secondary education</b> . <b>No NPI equivalent</b>							
	6. Percent increase of the rate of <b>youth</b> in the identified community who <b>graduate from post-secondary education</b> . <b>No NPI equivalent</b>							
	7. Percent increase of <b>adults</b> in the identified community who <b>attend post-secondary education</b> . <b>No NPI equivalent</b>							
	8. Percent increase of <b>adults</b> in the identified community who <b>graduate from post-secondary education</b> . <b>No NPI equivalent</b>							
	9. Percent increase in the <b>adult literacy rate</b> in the identified community. <b>No NPI equivalent</b>							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Education and Cognitive Development Indicators - No NPI equivalents</b> - Please specify below.	<b>I.) Identified Community</b> (auto populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

▶ Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Infrastructure and Asset Building Indicators	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
		1. Number of <b>new</b> accessible assets/resources <b>created</b> in the identified community:			
	▶ a. Commercial <b>Parsed from NPI 2.2 D adding a target.</b>				
	b. Financial				
	c. Technological/ Communications (e.g. broadband)				
	▶ d. Transportation <b>parsed (if possible) from 2 D, NPI 2.1 H, add a target.</b>				
	e. Recreational (e.g. parks, gardens, libraries)				
	f. Other Public Assets/Physical Improvements <b>from NPI 2.1 A, B and E</b>				
	2. Number of <b>existing</b> assets/resources <b>made accessible</b> to the identified community:				
	a. Commercial <b>Parsed from NPI 2.2 D, adding a target</b>				
	b. Financial				
	c. Technological/ Communications (e.g. broadband)				
	▶ d. Transportation 2.1 H., <b>count, parsed from NPI 2.1 H. (if possible) from 2 D - adding a target</b>				
	e. Recreational (e.g. parks, gardens, libraries)				
	f. Other Public Assets/Physical Improvements				
Other Counts of Change	Other Counts of Change for Infrastructure and Asset Building Indicators - Please specify below. <b>No NPI equivalents</b>	I.) Identified Community (auto populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

	<b>Rates of Change for Infrastructure and Asset Building Indicators No NPI equivalents for 1-4</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent decrease of <u>abandoned or neglected buildings</u> in the identified community. <b>No NPI equivalents</b>							
	2. Percent decrease in <u>emergency response time</u> measured in minutes in the identified community. (EMT, Police, Fire, etc.). <b>No NPI equivalents</b>							
	3. Percent decrease of <u>predatory lenders and/or lending practices</u> in the identified community. <b>No NPI equivalents</b>							
	4. Percent decrease of <u>environmental threats</u> to households (toxic soil, radon, lead, air quality, quality of drinking water, etc.) in the identified community. <b>No NPI equivalents</b>							
	▶ 5. Percent increase of <u>transportation services</u> in the identified community. <b>NPI 2.1 H, year to year.</b>							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Infrastructure and Asset Building Indicators No NPI equivalents</b> - Please specify below.	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting:

Counts of Change for Housing Indicators		I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
Counts of Change	▶ 1. Number of safe and affordable housing units <b>developed in</b> the identified community (e.g. built or set aside units for people with low incomes). <b>NPI 2.1 C.</b>							
	▶ 2. Number of safe and affordable housing units <b>maintained</b> and/or <b>improved</b> through WAP or other rehabilitation efforts in the identified community. <b>NPI 2.1 D</b>							
	3. Number of shelter beds <b>created</b> in the identified community. <b>No NPI equivalents</b>							
	4. Number of shelter beds <b>maintained</b> in the identified community. <b>No NPI equivalents</b>							
Other Counts of Change	Other Counts of Change for Housing Indicators- Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
Rates of Change	Rates of Change for Housing Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease in the <b>rate of homelessness</b> in the identified community. <b>No NPI equivalents</b>							
	2. Percent decrease in the <b>foreclosure rate</b> in the identified community. <b>No NPI equivalents</b>							
	3. Percent increase in the <b>rate of home ownership</b> of people with low incomes in the identified community. <b>No NPI equivalents</b>							
	▶ 4. Percent increase of <b>affordable housing</b> in the identified Community. <b>NPI 2.1 D year to year</b>							
	5. Percent increase of <b>shelter beds</b> in the identified community. <b>No NPI equivalents</b>							
Other Rates of Change	Other Rates of Change for Housing Indicators - Please specify below. <b>No NPI equivalents</b>	I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

▶ Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Health and Social/Behavioral Indicators				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)	
	▶ 1. Number of accessible and affordable <u>physical health</u> assets or resources created in the identified community. <b>Parsed from NPI 2.1 E, adding a target.</b>								
	▶ 2. Number of accessible and affordable <u>behavioral and mental health</u> assets or resources created in the identified community. <b>NPI 2.1C, adding a target. Parsed for health (if available)</b>								
	▶ 3. Number of <u>public safety</u> assets and resources created in the identified community. <b>Parsed from NPI 2.2 C</b>								
	▶ 4. Number of accessible and affordable healthy <u>food resources</u> created in the identified community. <b>No NPI equivalent</b>								
	▶ 5. Number of activities designed to <b>improve police and community relations</b> within the identified community. <b>No NPI equivalent</b>								
Other Counts of Change	Other Counts of Change for Health and Social/Behavioral Indicators- Please specify below.				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)	
Rates of Change	Rates of Change for Physical Health, Wellbeing, and Development Indicators <b>No NPI equivalents</b>		I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease in <u>infant mortality rate</u> in the identified community. <b>No NPI equivalent</b>								
	2. Percent decrease in <u>childhood obesity rate</u> in the identified community. <b>No NPI equivalent</b>								
	3. Percent decrease in <u>adult obesity rate</u> in the identified community. <b>No NPI equivalent</b>								
	4. Percent increase in <u>child immunization rate</u> in the identified community. <b>No NPI equivalent</b>								
	5. Percent decrease in <u>uninsured families</u> in the identified community. <b>No NPI equivalent</b>								

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

	<b>Rates of Change for Behavioral and Mental health, Emotional Wellbeing, and Development Indicators – No NPI equivalents</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent decrease in the <u>teen pregnancy rate</u> in the identified community. <b>No NPI equivalent</b>							
	2. Percent decrease in <u>unplanned pregnancies</u> in the identified community. <b>No NPI equivalent</b>							
	3. Percent decrease in <u>substance abuse rate</u> in the identified community.(e.g. cigarettes, prescription drugs, narcotics, alcohol). <b>No NPI equivalent</b>							
	4. Percent decrease in <u>domestic violence rate</u> in the identified community. <b>No NPI equivalent</b>							
	5. Percent decrease in the <u>child abuse rate</u> in the identified community. <b>No NPI equivalent</b>							
	6. Percent decrease in the <u>child neglect rate</u> in the identified community. <b>No NPI equivalent</b>							
	7. Percent decrease in the <u>elder abuse rate</u> in the identified community. <b>No NPI equivalent</b>							
	8. Percent decrease in the <u>elder neglect rate</u> in the identified community. <b>No NPI equivalent</b>							
<b>Rates of Change</b>	<b>Rates of Change for Public Safety Indicators- No NPI equivalents</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
	1. Percent decrease in <u>recidivism rate</u> in the identified community. <b>No NPI equivalent</b>							
	2. Percent decrease in <u>non-violent crime rate</u> in the identified community. <b>No NPI equivalent</b>							
	3. Percent decrease in <u>violent crime rate</u> in the identified community. <b>No NPI equivalent</b>							
	4. Percent decrease in <u>teens involved with the juvenile court system</u> in the identified community. <b>No NPI equivalent</b>							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Health and Social/Behavioral Indicators - No NPI equivalents</b> - Please specify below.	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting:

		Name of CSBG Eligible Entity Reporting:							
Rates of Change	Rates of Change for Civic Engagement and Community Involvement Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	
		▶ 1. Percent increase of <u>donated time</u> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community. <b>NPI 2.3, year to year</b>							
		▶ 2. Percent increase of <u>donated resources</u> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community. <b>Section F, 22, Private funds, year to year, \$ amount</b>							
		▶ 3. Percent increase of <u>people participating</u> in public hearings, policy forums, community planning, or other advisory boards related to the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community. <b>NPI 3.2 A, D, year to year.</b>							
Other Rates of Change	Other Rates of Change for Civic Engagement and Community Involvement Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 3: People with low-incomes are engaged and active in building opportunities in communities.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting:

Rates of Change	Rates of Change for Civic Engagement and Community Involvement Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	
	▶ 1. Percent increase of people with low incomes <u>who support</u> the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community. Number low-income participants, year to year. <b>NPI 3.2, year to year</b>								
	▶ 2. Percent increase of people with low incomes <u>who acquire and maintain leadership roles</u> with the CSBG Eligible Entity or other organizations within the identified community. <b>No NPI equivalent, but use the number of low-income persons serving on the board why remained from last year.</b>								

Other Rates of Change	Other Rates of Change for Civic Engagement and Community Involvement Indicators - <b>No NPI equivalent</b> - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	

General comments:



**Module 3, Section C: Community Strategies List**

This will form the dropdown list of choices for Community Strategies – No action on this part

<b>Employment Strategies</b>
Minimum/Living Wage Campaign
Job Creation/Employment Generation
Job Fairs
Earned Income Tax Credit (EITC) Promotion
Commercial Space Development
Employer Education
Employment Policy Changes
Employment Legislative Changes
Other Employment Strategy: (please specify)

<b>Education and Cognitive Development Strategies</b>
Preschool for All Campaign
Charter School Development
After School Enrichment Activities Promotion
Pre K-College/Community College Support
Children’s Trust Fund Creation
Scholarship Creation
Child Tax Credit (CTC) Promotion
Adoption Child Care Quality Rating
Adult Education Establishment
Education and Cognitive Development Policy Changes
Education and Cognitive Development Legislative Changes
Other Education and Cognitive Development Strategy: (please specify)

<b>Infrastructure and Asset Building Strategies</b>
Cultural Asset Creation
Police/Community Relations Campaign
Neighborhood Safety Watch Programs
Anti-Predatory Lending Campaign
Asset Building and Savings Promotion
Develop/Build/Rehab Spaces
Maintain or Host Income Tax Preparation Sites
Community-Wide Data Collection Systems Development
Local 211 or Resource/Referral System Development
Water/Sewer System Development
Community Financial Institution Creation
Infrastructure Planning Coalition
Park or Recreation Creation and Maintenance
Rehabilitation/Weatherization of Housing Stock
Community Center/Community Facility Establishment
Asset Limit Barriers for Benefits Policy Changes
Infrastructure and Asset Building Policy Changes
Infrastructure and Asset Building Legislative Changes
Other Infrastructure and Asset Building Strategy: (please specify)

### Module 3, Section C: Community Strategies List

Housing Strategies
End Chronic Homelessness Campaign
New Affordable Single Unit Housing Creation
New Affordable Multi- Unit Housing Creation (Single Resident Occupancy (SRO), temporary housing, transitional housing)
Tenants' Rights Campaign
New Shelters Creation (including day shelters and domestic violence shelters)
Housing or Land Trust Creation
Building Codes Campaign
Housing Policy Changes
Housing Legislative Changes
Other Housing Strategy: (please specify)

Health and Social/Behavioral Development Strategies
Health Specific Campaign
Farmers Market or Community Garden Development
Grocery Store Development
Gun Safety/Control Campaign
Healthy Food Campaign
Nutrition Education Collaborative
Food Bank Development
Domestic Violence Court Development
Drug Court Development
Alternative Energy Source Development
Develop or Maintain a Health Clinic
Health and Social/Behavioral Development Policy Changes
Health and Social/Behavioral Development Legislative Changes
Other Health and Social/Behavioral Development Strategy: (please specify)

Community Support Strategies
Off-Hours (Non-Traditional Hours) Child Care Development
Transportation System Development
Transportation Services Coordination and Support
Community Support Policy Changes
Community Support Legislative Changes
Other Community Support Strategy: (please specify)

Emergency Management Strategies
State or Local Emergency Management Board Enhancement
Community wide Emergency Disaster Relief Service Creation
Disaster Preparation Planning
Emergency Management Policy Changes
Emergency Management Legislative Changes
Other Emergency Management Strategy: (please specify)

**Module 3, Section C: Community Strategies List**

<b>Civic Engagement and Community Involvement Strategies- Goal 2</b>
Development of Health and Social Service Provider Partnerships
Recruiting and Coordinating Community Volunteers
Poverty Simulations
Attract Capital Investments
Build/Support Increased Equity
Equity Awareness Campaign
Coordinated Community-wide Needs Assessment
Civic Engagement and Community Involvement in Advocacy Efforts
Civic Engagement Policy Changes
Civic Engagement Legislative Changes
Other Civic Engagement and Community Involvement Strategy: (please specify)

<b>Civic Engagement and Community Involvement Strategies — Goal 3</b>
Empowerment of Individuals/Families with Low-Incomes
Campaign to Ensure Individuals with Low-Incomes are Represented on Local Governing Bodies
Social Capital Building Campaign for Individuals/Families with Low-Incomes
Campaign for Volunteer Placement and Coordination
Civic Engagement Policy Changes
Civic Engagement Legislative Changes
Other Civic Engagement and Community Involvement Strategy: (please specify)

# **Module 4**

## **Individual and Family Level**

## Instructional Notes

### Module 4 - Individual and Family Level

#### Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form

All Individual and Family NPIs are **optional** there is a category for "Other Outcome Indicator". CSBG Eligible Entities will only report an "Other Outcome Indicator" if the current NPIs do not capture the outcomes the CSBG Eligible Entity is trying to achieve. Sample language is provided in the "Other Outcome Indicator" data entry section and will be modified by the CSBG Eligible Entity as necessary.

Please see additional notes below:

#### For All Individual and Family Domains:

**Targeting:** Targets are set in the Community Action Plan and are identified through the planning phase of the CAA's ROMA (Results Oriented Management and Accountability) cycle. The following will be reported for every indicator:

Column I: Number of Participants Served

Column II: Target (number planned to achieve an outcome in the reporting period)

Column III: Actual Results (actual number of participants who achieved the outcome)

Please note, it is rare that 100% of the people served will achieve the proposed outcome.

#### Domain Specific Instructions:

##### Employment, Income and Asset Building, and Housing Domains

**Indicators tracking outcomes for 90 or 180 days:** CSBG Eligible Entities are **only** expected to report on indicators with retention time frames for programs that specifically include follow up. If the CSBG Eligible Entity does not conduct follow up activities as a part of their programs, outcomes for indicators with retention time frames **will not be reported**.

##### Employment Domain

**NPI 5-7:** When reporting on indicators related to **living wage**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the living wage definition used in the General Comments Section.

##### Income and Asset Building Domain

**NPI 1 and 2:** CSBG Eligible Entities are **only expected** to report on basic needs indicators as applicable to the CSBG Eligible Entity's programs. When reporting on indicators related to **basics needs**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the basic needs definition used in the General Comments Section.

**NPI 8:** This indicator requires agencies to keep an unduplicated count of people who report improved financial well-being based on responses to the CFPB Financial Well Being Scale (found in the link below)

<http://www.consumerfinance.gov/reports/financial-well-being-scale/>

## Instructional Notes

### Module 4 - Individual and Family Level

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#### Outcomes Across Multiple Domains:

The data from this indicator will help tell the story of how many lives were improved because of the CSBG Network. Reporting on this indicator requires CSBG Eligible Entities to keep an unduplicated count of individuals who achieved one or more outcomes reported in the NPIs.

#### Module 4, Section B: Individual and Family Services - Data Entry Form

CSBG Eligible Entities will report unduplicated counts of individuals receiving any of the services listed on the **Individual and Family Services form**. This standardized Individual and Family Services list will aid in analysis of the relationship between people, services, and outcomes.

#### Module 4, Section C: All Characteristics Report - Data Entry Form

The **All Characteristics Report** collects data on all individuals and households, whether or not funded directly by CSBG. This demographic information will strengthen the CSBG Annual Report by demonstrating who is being served by CSBG Eligible Entities.

To obtain unduplicated counts, a CSBG Eligible Entity will need to have a system that distinguishes the characteristics for each individual/household. While some individuals and households may be served by several programs within a reporting year and entered into multiple data systems (e.g. LIHEAP, WIC, etc.), they must be reported as unduplicated individuals (in row A) and unduplicated households (in row B) in this report. Please note, a single person is reported as an unduplicated individual and an unduplicated household.

We recognize that CSBG Eligible Entities have multiple data systems and may not be able to have an unduplicated count across several systems. If you are unable to collect any characteristics on unduplicated individuals or households due to data systems issues, include those individuals in row E and households in row F at the end of this report. Additionally, please indicate the programs in which these individuals and households were enrolled. The system will allow multiple programs to be added.

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

**Employment Indicators**

Name of CSBG Eligible Entity Reporting:

Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
1. The number of unemployed <b>youth</b> who obtained employment to gain skills or income.					
▶ 2. The number of unemployed <b>adults</b> who obtained employment ( <b>up to a living wage</b> ). <b>NPI 1.1 A – parsed from #5 if available</b>					
▶ 3. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days <b>NPI 1.1 B (up to a living wage)</b> . <b>Parsed from # 5 if available.</b>					
4. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>up to a living wage</b> ). <b>New. No NPI equivalent.</b>					
5. The number of unemployed <b>adults</b> who obtained employment ( <b>with a living wage or higher</b> ). <b>NPI 1.1 A parsed from # 2 if available.</b>					
6. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>with a living wage or higher</b> ). <b>NPI 1.1 B parsed from # 3 if available.</b>					
7. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>with a living wage or higher</b> ). <b>New. No NPI equivalent.</b>					
Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
▶ 8. The number of employed participants in a career-advancement related program who <b>entered or transitioned</b> into a position that provided increased income and/or benefits. <b>NPI 1.1 C.</b>					
a. Of the above, the number of employed participants who increased income from employment through <b>wage or salary amount increase</b> . <b>New. No NPI equivalent.</b>					
b. Of the above, the number of employed participants who increased income from employment through <b>hours worked increase</b> . <b>New. No NPI equivalent.</b>					
c. Of the above, the number of employed participants who <b>increased benefits</b> related to employment. <b>New. No NPI equivalent.</b>					
Other Employment Outcome Indicator <b>New. No NPI equivalent.</b>	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
9. The number of individuals or households					

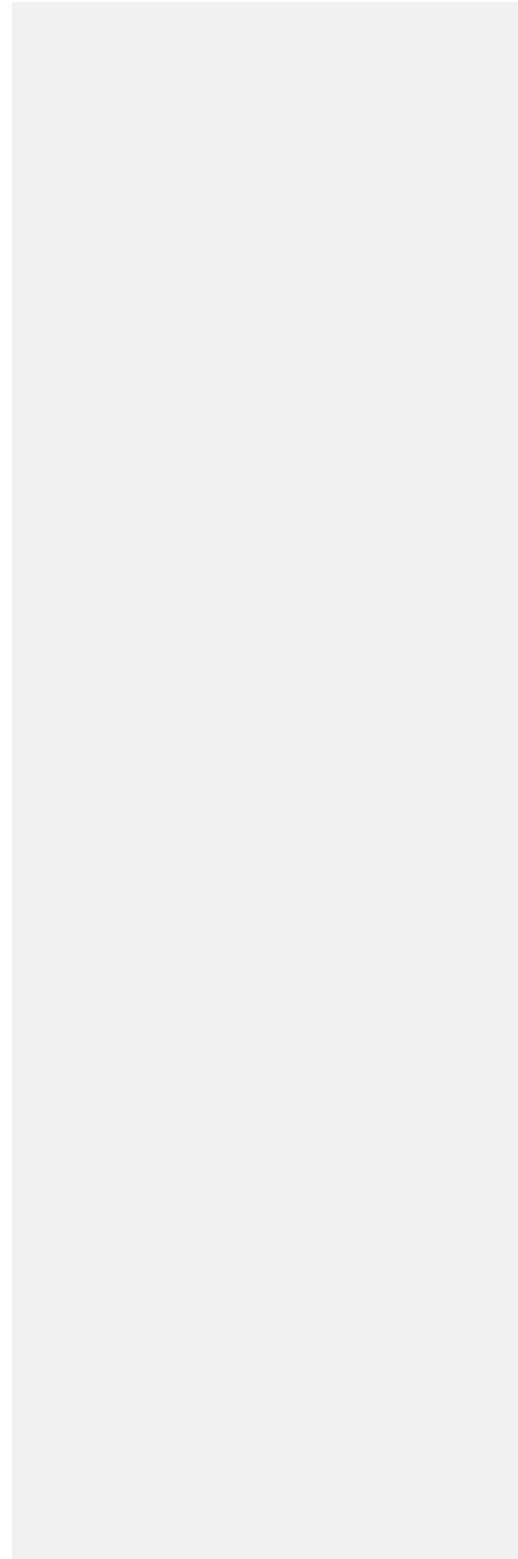
Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

October 2016

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Module 4, Section A: Individual and Family NPIs - Employment

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**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Education and Cognitive Development New. No NPI equivalent for 1-6, 9 and 10.	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of <b>children</b> (0 to 5) who demonstrated improved emergent literacy skills. . <b>No NPI equivalent</b>					
2. The number of <b>children</b> (0 to 5) who demonstrated skills for school readiness. . <b>No NPI equivalent</b>					
3. The number of <b>children</b> and <b>youth</b> who demonstrated improved positive approaches toward learning, including improved attention skills. (auto total) . <b>No NPI equivalent</b>					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
4. The number of <b>children</b> and <b>youth</b> who are achieving at basic grade level (academic, social, and other school success skills). (auto total) . <b>No NPI equivalent</b>					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
5. The number of <b>parents/caregivers</b> who improved their home environments.					
6. The number of <b>adults</b> who demonstrated improved basic education.					
▶ 7. The number of <b>individuals</b> who obtained a high school diploma and/or obtained an equivalency certificate or diploma. <b>NPI 1.2 B., adding a target</b>					
▶ 8. The number of <b>individuals</b> who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills. . <b>NPI 1.2 C., adding a target</b>					
9. The number of <b>individuals</b> who obtained an Associate's degree. <b>NPI 1.2 C., adding a target. Parsed from #8 if available and adding a target</b>					
10. The number of <b>individuals</b> who obtained a Bachelor's degree. <b>NPI 1.2 C., adding a target. Parsed from #8 if available, and adding a target</b>					

Other Education and Cognitive Development Outcome Indicator. No NPI equivalent	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
11. The number of individuals or households _____.					

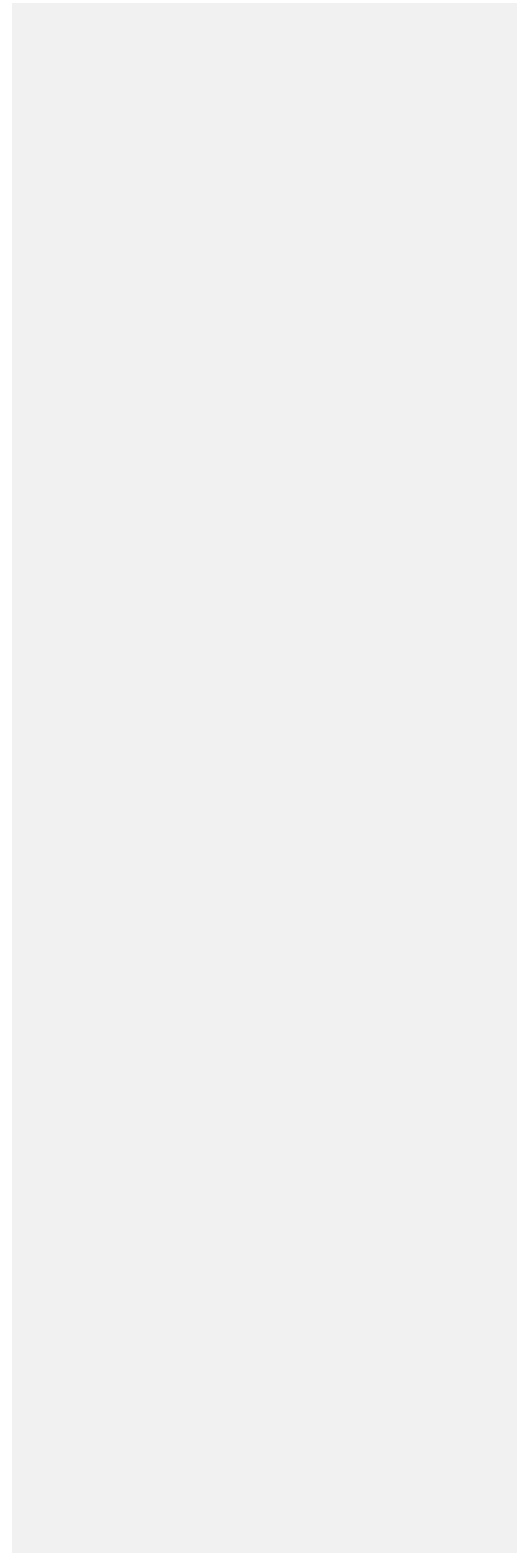
Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**

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Module 4, Section A: Individual and Family NPIs - Education

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**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Income and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

<b>Income and Asset Building</b>	<b>I.) Number of Participants Served in program(s) (#)</b>	<b>II.) Target (#)</b>	<b>III.) Actual Results (#)</b>	<b>IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)</b>	<b>V.) Performance Target Accuracy (III/II = V) (% auto calculated)</b>
1. The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> . <b>No NPI equivalent</b>					
2. The number of individuals who achieved and maintained capacity to meet basic needs for <b>180 days</b> . <b>No NPI equivalent</b>					
▶ 3. The number of individuals who opened a <b>savings account or IDA</b> .					
4. The number of individuals who <b>increased their savings</b> . <b>No NPI equivalent, but could be parsed from #3</b>					
5. ▶ The number of individuals who used their savings to <b>purchase an asset</b> . NPIs 1.3 UT I and J.					
a. Of the above, the number of individuals who <b>purchased a home</b> . <b>NPI 1.3 UT I</b> .					
6. The number of individuals who <b>improved their credit scores</b> . <b>No NPI equivalent</b>					
7. The number of individuals who <b>increased their net worth</b> . <b>No NPI equivalent</b>					
8. The number of individuals engaged with the Community Action Agency who report <b>improved financial well-being</b> . <b>No NPI equivalent, but could derived from SSM data, income domain</b> .					

<b>Other Income and Asset Building Outcome Indicator</b> <b>No NPI equivalent</b>	<b>I.) Number of Participants Served in program(s) (#)</b>	<b>II.) Target (#)</b>	<b>III.) Actual Results (#)</b>	<b>IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)</b>	<b>V.) Performance Target Accuracy (III/II = V) (% auto calculated)</b>
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy [(III/II = V] (% auto calculated)
▶ 1. The number of households experiencing homelessness who obtained <u>safe temporary shelter</u> . <b>NPI 6.2 E, adding a target.</b>					
▶ 2. The number of households who obtained <u>safe and affordable housing</u> . <b>NPI 1.2 H, and/or 6.4 E, adding a target.</b>					
3. The number of households who maintained safe and affordable housing for <b>90 days</b> . <b>NPI 1.3 D, and adding a target.</b>					
4. The number of households who maintained safe and affordable housing for <b>180 days</b> . <b>No NPI equivalent, but could be parsed from #2, and adding a target</b>					
▶ 5. The number of households who <u>avoided eviction</u> . <b>NPI 6.2 C.</b>					
6. The number of households who <u>avoided foreclosure</u> . <b>No NPI equivalent, but could be parsed from #5</b>					
▶ 7. The number of households who <u>experienced improved health and safety</u> due to improvements within their home (e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc.). <b>NPI 2.1 D</b>					
▶ 8. The number of households with <u>improved energy efficiency and/or energy burden reduction</u> in their homes. <b>NPI 6.4 H. and or 1.2 K.</b>					

Other Housing Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy [(III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Health and Social/Behavioral Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V) (% auto calculated)]
1. The number of individuals who demonstrated <b>increased nutrition skills</b> (e.g. cooking, shopping, and growing food). <b>No NPI equivalent</b>					
2. The number of individuals who demonstrated <b>improved physical health and well-being.</b>					
▶ 3. The number of individuals who demonstrated <b>improved mental and behavioral health and well-being.</b> <b>NPI Y 6.4 E, with added target. Add adults if available.</b>					
▶ 4. The number of individuals who <b>improved skills</b> related to the adult role of parents/ caregivers. <b>NPI 6.3 Adult J.</b>					
▶ 5. The number of parents/caregivers who <b>demonstrated increased sensitivity and responsiveness</b> in their interactions with their children. <b>. NPI 6.3 Adult K.</b>					
▶ 6. The number of <b>seniors (65+)</b> who maintained an independent living situation. <b>From NPI 6.4 E with added target.</b>					
▶ 7. The number of <b>individuals with disabilities</b> who maintained an independent living situation. <b>From NPI 6.4 E with added target</b>					
▶ 8. The number of <b>individuals with chronic illness</b> who maintained an independent living situation. <b>From NPI 6.4 E with added target</b>					
9. The number of individuals with <b>no recidivating event</b> for six months. <b>No NPI equivalent</b>					
a. Youth (ages 14-17)					
b. Adults (ages 18+)					
<b>Other Health and Social/Behavioral Development Outcome Indicator - No NPI equivalent</b>	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V) (% auto calculated)]
10. The number of individuals or households					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
► 1. The number of Community Action program participants who increased skills, knowledge, and abilities to enable them to work with Community Action to improve conditions in the community. <b>No NPI equivalent – a desired indicator – if available.</b>					
a. Of the above, the number of Community Action program participants who <b>improved their leadership skills. No NPI equivalent</b>					
b. Of the above, the number of Community Action program participants who <b>improved their social networks. No NPI equivalent</b>					
c. Of the above, the number of Community Action program participants who gained other skills, knowledge and abilities to <b>enhance their ability to engage. No NPI equivalent</b>					

Other Civic Engagement and Community Involvement Outcome Indicator <b>No NPI equivalent</b>	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
2. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Outcomes Across Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

**Add all CAA program participants, add targets/unduplicated – participants achieving any outcome**

Outcomes Across Multiple Domains	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
► 1. The number of individuals who achieved one or more outcomes as identified by the National Performance Indicators in various domains. <b>No NPI single equivalent..</b>					

Other Outcome Indicator <b>No NPI equivalent</b>	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [(III/ I = IV ) (% auto calculated)]	V.) Performance Target Accuracy [(III/II = V)] (% auto calculated)
2. The number of individuals or households _____.					

Comments:

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

**Employment Services – No NPI Equivalent**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports only on the services it provides, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

Employment Services	Unduplicated Number of Individuals Served
<b>Skills Training and Opportunities for Experience</b>	
▶ Vocational Training <i>If available</i>	
▶ On-the-Job and other Work Experience <i>If available</i>	
▶ Youth Summer Work Placements <i>If available</i>	
Apprenticeship/Internship	
Self-Employment Skills Training	
Job Readiness Training	
<b>Career Counseling</b>	
▶ Workshops <i>If available</i>	
Coaching	
<b>Job Search</b>	
Coaching	
Resume Development	
Interview Skills Training	
▶ Job Referrals <i>If available.</i>	
Job Placements	
Pre-employment physicals, background checks, etc.	
<b>Post-Employment Supports</b>	
Coaching	
Interactions with employers	
<b>Employment Supplies</b>	
▶ Employment Supplies <i>No equivalent NPI, but report any employment support supply provided by STCS or CSBG funds</i>	



**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

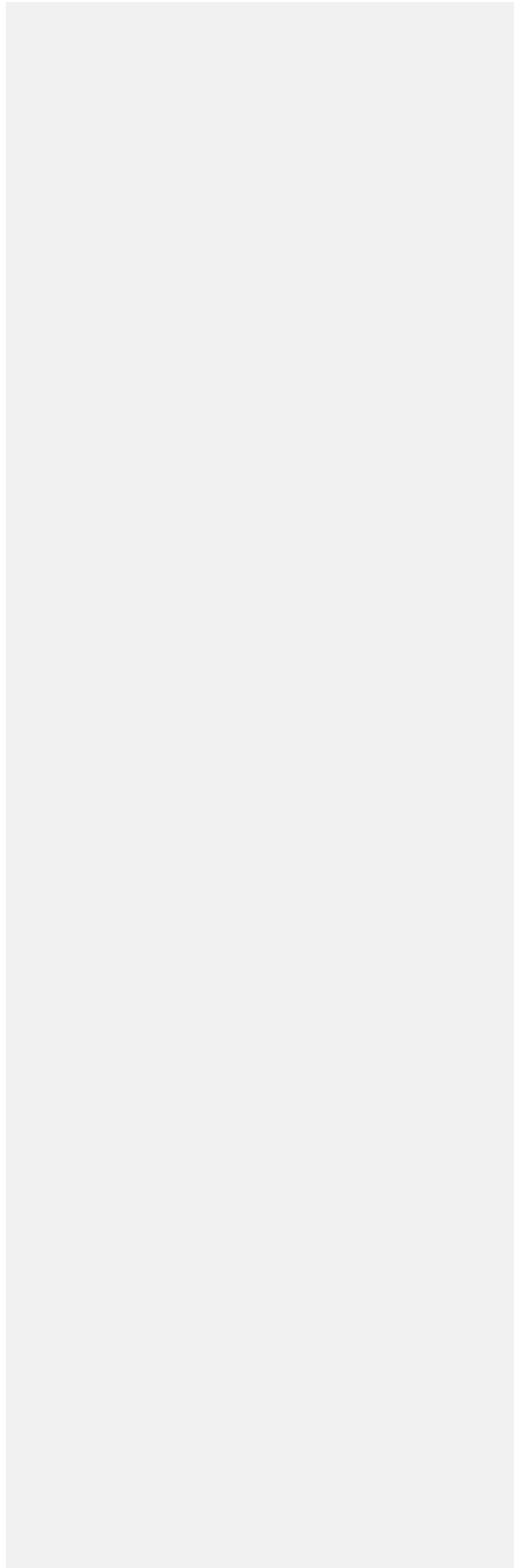
**Education and Cognitive Development Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports only on the services it provides, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

Education and Cognitive Development Services – No NPI equivalents	Unduplicated Number of Individuals Served
<b>Child/Young Adult Education Programs</b>	
▶ Early Head Start <b>NPI 6.3 D</b>	
▶ Head Start <b>NPI 6.3 D</b>	
▶ Other Early-Childhood (0-5 yr. old) Education. <b>No NPI</b>	
K-12 Education	
K-12 Support Services	
▶ Financial Literacy Education <b>If available</b>	
▶ Literacy/English Language Education <b>No NPI</b>	
College-Readiness Preparation/Support <b>No NPI</b>	
Other Post-Secondary Preparation <b>No NPI</b>	
Other Post-Secondary Support <b>No NPI</b>	
<b>School Supplies</b>	
▶ School Supplies <b>No NPI</b>	
<b>Extra-curricular Programs</b>	
▶ Before and After School Activities <b>NPI 2.1 G, and 6.4A</b>	
▶ Summer Youth Recreational Activities <b>No NPI</b>	
▶ Summer Education Programs <b>No NPI</b>	
▶ Behavior Improvement Programs (attitude, self-esteem, Dress-for-Success, etc.) <b>No NPI</b>	
▶ Mentoring <b>No NPI</b>	
▶ Leadership Training <b>No NPI</b>	
<b>Adult Education Programs</b>	
▶ Adult Literacy Classes <b>No NPI</b>	
▶ English Language Classes <b>No NPI</b>	
Basic Education Classes <b>No NPI</b>	
▶ High School Equivalency Classes <b>No NPI</b>	
Leadership Training <b>No NPI</b>	
▶ Parenting Supports (may be a part of the early childhood programs identified above)	
Applied Technology Classes <b>No NPI</b>	
Post-Secondary Education Preparation <b>No NPI</b>	
Financial Literacy Education <b>No NPI</b>	
<b>Post-Secondary Education Supports</b>	
College applications, text books, computers, etc. <b>No NPI</b>	
<b>Financial Aid Assistance</b>	
Scholarships <b>No NPI</b>	

<b>Home Visits</b>
▶ Home Visits - No NPI, but provide if available



**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Income and Asset Building Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports only on the services it provides, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

Income and Asset Building Services	Unduplicated Number of Individuals Served
<b>Training and Counseling Services</b>	
▶ Financial Capability Skills Training <b>parsed from NPI 1.3 D</b>	
▶ Financial Coaching/Counseling <b>parsed from NPI 1.3 D</b>	
▶ Financial Management Programs (including budgeting, credit management, credit repair, credit counseling, etc.) <b>NPI 1.3 D – all</b>	
▶ First-time Homebuyer Counseling <b>No NPI</b>	
▶ Foreclosure Prevention Counseling <b>No NPI</b>	
▶ Small Business Start-Up and Development Counseling Sessions/Classes <b>No NPI</b>	
<b>▶ Benefit Coordination and Advocacy</b>	
▶ Child Support Payments <b>NPI 1.3 En. B</b>	
▶ Health Insurance – <b>NPI 1.2 G.</b>	
Social Security/SSI Payments	
Veteran's Benefits	
▶ TANF Benefits – <b>No NPI – Cash assistance</b>	
▶ SNAP Benefits <b>NPI 1.2 I</b>	
<b>▶ Asset Building</b>	
▶ Saving Accounts/IDAs and other asset building accounts <b>NPI 1.3 UTE</b>	
Other financial products (IRA accounts, MyRA, other retirement accounts, etc.)	
▶ VITA, EITC, or Other Tax Preparation programs <b>NPI 1.3 A</b>	
<b>Loans And Grants</b>	
Micro-loans	
Business incubator/business development loans	

**Module 4, Section B: Individual and Family Services - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

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Housing Services	Unduplicated Number of Individuals Served
<b>▶ Housing Payment Assistance</b>	
▶ Financial Capability Skill Training <b>NPI 1.3 D,</b>	Number of participants
▶ Financial Coaching/Counseling <b>NPI 1.3 D, parse if distinct from above</b>	Number of participants
<b>▶ Rent Payments (includes Emergency Rent Payments) NPI 6.2 C, E</b>	All rental assistance payment/all programs/funding sources
▶ Deposit Payments <b>No NPI – Could be parsed from 6.2 above</b>	All rental deposit
▶ Mortgage Payments (includes Emergency Mortgage Payments) <b>No NPI, but should find it in CMT data, and other mtg pmts.</b>	All mortgage payments
<b>Eviction Prevention Services</b>	
Eviction Counseling <b>No NPI</b>	If available
Landlord/Tenant Mediations <b>No NPI</b>	If available
Landlord/Tenant Rights Education <b>No NPI</b>	If available
<b>▶ Utility Payment Assistance</b>	
<b>▶ Utility Payments (LIHEAP-includes Emergency Utility Payments) NPI 6.2 B and/or 1.2 J.</b>	Total LIHEAP <i>payments</i> , and other Utility Assistance including deposits and arrears.
▶ Utility Deposits (for 2018, if available – report for 2019)	Of the above
▶ Utility Arrears Payments (if available)	Of the above
Level Billing Assistance (optional)	
<b>Housing Placement/Rapid Re-housing</b>	
<b>▶ Temporary Housing Placement (includes Emergency Shelters) NPI 6.2 E</b>	<b>All temporary housing</b>
Transitional Housing Placements	If available
<b>▶ Permanent Housing Placements NPI 1.2 H</b>	
Rental Counseling	If available
<b>Housing Maintenance &amp; Improvements</b>	
▶ Home Repairs (e.g. structural, appliance, heating systems. etc.) (Including Emergency Home Repairs) <b>No NPI</b>	If available
<b>▶ Weatherization Services</b>	

<p>▶ Independent-living Home Improvements (e.g. ramps, tub and shower grab bars, handicap accessible modifications, etc.) <b>Parsed from NPI 2.1 D, if available.</b></p>	
<p>▶ Healthy Homes Services (e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc.) <b>Parsed from NPI 2.1 D, if available.</b></p>	
<p>▶ Energy Efficiency Improvements (e.g. insulation, air sealing, furnace repair, etc.) <b>NPI 2.1 D</b></p>	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports **only on the services it provides**, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

**No NPI Equivalents**

Health and Social/Behavioral Development Services - <b>No NPIs</b>	Unduplicated Number of Individuals Served
<b>Health Services, Screening and Assessments</b>	
Immunizations	
Physicals	
Developmental Delay Screening	
Vision Screening	
Prescription Payments	
Doctor Visit Payments	
Maternal/Child Health	
Nursing Care Sessions	
In-Home Affordable Seniors/Disabled Care Sessions (Nursing, Chores, Personal Care Services)	
Health Insurance Options Counseling	
<b>Reproductive Health Services</b>	
Coaching Sessions	
Family Planning Classes	
Contraceptives	
STI/HIV Prevention Counseling Sessions	
STI/HIV Screenings	
<b>Wellness Education</b>	
Wellness Classes (stress reduction, medication management, mindfulness, etc.)	
Exercise/Fitness	
<b>Mental/Behavioral Health</b>	
Detoxification Sessions	
Substance Abuse Screenings	
Substance Abuse Counseling	
Mental Health Assessments	
Mental Health Counseling	
Crisis Response/Call-In Responses	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

**Name of CSBG Eligible Entity Reporting:**

Domestic Violence Programs	
<b>Support Groups</b>	
Substance Abuse Support Group Meetings	
Domestic Violence Support Group Meetings	
Mental Health Support Group Meeting	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports **only on the services it provides**, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

Health and Social/Behavioral Development Services (Cont'd.)	Unduplicated Number of Individuals Served
<b>Dental Services, Screenings and Exams</b>	
Adult Dental Screening/Exams	
Adult Dental Services (including Emergency Dental Procedures)	
Child Dental Screenings/Exams	
Child Dental Services (including Emergency Dental Procedures)	
<b>▶ Nutrition and Food/Meals</b>	
▶ Skills Classes (Gardening, Cooking, Nutrition) <b>no equivalent NPI</b>	
▶ Community Gardening Activities - <b>no equivalent NPI</b>	
▶ Incentives (e.g. gift card for food preparation, rewards for participation, etc.) <b>no equivalent NPI</b>	
▶ Prepared Meals – Agency wide - # of participants <b>no equivalent NPI</b>	
▶ Food Distribution (Food Bags/Boxes, Food Share Program, Bags of Groceries) <b>Similar to NPI 6.5 A &amp; B</b> , but INDIVIDUALS served, not UNITS distributed.	
<b>▶ Family Skills Development</b>	
Family Mentoring Sessions	
Life Skills Coaching Sessions	
Parenting Classes	
<b>▶ Emergency Hygiene Assistance</b>	
Kits/boxes	
Hygiene Facility Utilizations (e.g. showers, toilets, sinks)	



**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Services Supporting Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Each agency reports only on the services it provides, indicating the unduplicated number of individuals served for each service. Individuals may be reported more than once for different services, but only once in a given service. The arrows point to existing indicators or known services provided in the network from any source, not just NPIs. The red arrows are historically reported NPIs. The black arrows are suggested indicators not currently reported. These would be all individuals served by the CAA in each category, regardless of funding source.

Services Supporting Multiple Domains	Unduplicated Number of Individuals Served
<b>▶ Case Management</b>	
Case Management – Total case managed individuals – (not one time) Agency wide	
<b>▶ Eligibility Determinations</b>	
Eligibility Determinations For all programs - total individual applications (approved and denied) – Agency wide	
<b>▶ Referrals</b>	
Referrals – All referrals and calls – NPI 6.4 E, (calls), and physical referrals. Agency wide	
<b>▶ Transportation Services</b>	
Transportation Services (e.g. bus passes, bus transport, support for auto purchase or repair; including emergency services) NPI 1.2 f. and 6.2 D, if auto related, and 6.2 I. and 6.5 D	Include any STCS or CSBG or other source services that involve a car repair as well as other transportation services, emergency and non-emergency
<b>Childcare If available</b>	
Child Care subsidies	
Child Care payments	
<b>▶ Eldercare</b>	
Day Centers Senior Centers, congregant meal clients if available	
<b>Identification Documents</b>	
Birth Certificate	
Social Security Card	
Driver's License	
<b>Re-Entry Services</b>	
Criminal Record Expungements	

**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Services Supporting Multiple Domains**

Name of CSBG Eligible Entity Reporting:

<b>Immigration Support Services</b>	
Immigration Support Services (relocation, food, clothing)	
<b>Legal Assistance (includes emergency legal assistance)</b>	
Legal Assistance	
<b>► Emergency Clothing Assistance</b>	
Emergency Clothing Assistance <i>Individuals Similar to NPI 6.5 C, but individuals</i>	
<b>Mediation/Customer Advocacy Interventions (debt forgiveness, negotiations or issues with landlords, coordinating with other services or government)</b>	
Mediation/Customer Advocacy Interventions	

**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Civic Engagement and Community Involvement**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

**No NPI equivalent**

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Civic Engagement and Community Involvement Services- <b>No Equivalent NPIs</b>	<b>Unduplicated</b> Number of Individuals Served
Voter Education and Access	
▶ Leadership Training	
▶ Tri-partite Board Membership (for 2018)	
Citizenship Classes	
Getting Ahead Classes	
▶ Volunteer Training	

**Module 4, Section C: All Characteristics Report - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

Name of CSBG Eligible Entity Reporting:

A. Total unduplicated number of all INDIVIDUALS about whom one or more characteristics were obtained: **Sec G 3.**

B. Total unduplicated number of all HOUSEHOLDS about whom one or more characteristics were obtained: **Sec G 5.**

Items 2a., 2b., 4 and 6 are removed, see bottom of section.

**C. INDIVIDUAL LEVEL CHARACTERISTICS**

1. ▶ Gender Sec G. 7.- SAME/W/ADDS		Number of Individuals
a. Male	Same	
b. Female	same	
c. Other - ADDED	new	
d. Unknown/not reported ADDED	new	
<b>TOTAL (auto calculated)</b>		0

2. ▶ Age Sec G. 8 SAME		Number of Individuals
a. 0-5	Same	
b. 6-13	Same	
c. 14-17	Same	
d. 18-24	Same	
e. 25-44	Same	
f. 45-54	Same	
g. 55-59	Same	
h. 60-64	Same	
i. 65-74	Same	
j. 75+	Same	
k. Unknown/not reported	new	
<b>TOTAL (auto calculated)</b>		0

3. ▶ Education Levels – Sec G 10 SAME/W/ADDS		Number of Individuals
	<b>(ages 14-24)</b>	<b>(ages 25+)</b>
a. Grades 0-8	Same	
b. Grades 9-12/Non-Graduate	Same	
c. High School Graduate/ Equivalency Diploma	Same	
d. 12 grade + Some Post-Secondary	Same	
e. 2 or 4 years College Graduate	Same	
f. Graduate of other post-secondary school	Same	
g. Unknown/not reported	new	
<b>TOTAL (auto calculated)</b>		

4. Disconnected Youth NEW		Number of Individuals
a. Youth ages 14-24 who are neither working or in school		

5. ▶ Health – Sec G.11. SAME W/ADDS		Number of Individuals	
	Yes	No	Unknown
a. Disabling Condition Same			
b. Health Insurance* Same			

\*If an individual reported that they had Health Insurance please identify the source of health

Insurance below.		Number of Individuals
<b>Health Insurance Sources NEW</b>		
i. Medicaid	New	
ii. Medicare	New	
iii. State Children's Health Insurance Program	New	
iv. State Health Insurance for Adults	New	
v. Military Health Care	New	
vi. Direct-Purchase	New	
vii. Employment Based	New	
viii. Unknown/not reported	New	
<b>TOTAL (auto calculated)</b>		0

6. ▶ Ethnicity/Race Sec G. 9. - SAME		Number of Individuals
<b>I. Ethnicity</b>		
a. Hispanic, Latino or Spanish Origins	Same	
b. Not Hispanic, Latino or Spanish Origins	Same	
c. Unknown/not reported ADDED	New	
<b>TOTAL (auto calculated)</b>		0
<b>II. Race</b>		
a. American Indian or Alaska Native	Same	
b. Asian	Same	
c. Black or African American	Same	
d. Native Hawaiian and Other Pacific Islander	Same	
e. White	Same	
f. Other	Same	
g. Multi-race (two or more of the above)	Same	
h. Unknown/not reported - ADDED	New	
<b>TOTAL (auto calculated)</b>		0

7. Military Status - NEW		Number of Individuals
a. Veteran	New	
b. Active Military	New	
c. Unknown/not reported	New	
<b>TOTAL (auto calculated)</b>		0

8. Work Status (Individuals 18+) NEW		Number of Individuals
a. Employed Full-Time	New	
b. Employed Part-Time	New	
c. Migrant Seasonal Farm Worker	New	
d. Unemployed (Short-Term, 6 months or less)	New	
e. Unemployed (Long-Term, more than 6 months)	New	
f. Unemployed (Not in Labor Force)	New	
g. Retired	New	
h. Unknown/not reported	New	
<b>TOTAL (auto calculated)</b>		

**Commented [GDL1]: Total Counts:** Counts of Individuals and Families for whom no characteristics were collected are in the box at the bottom of this section. They can use that number to determine the unknowns in each category. This section will be a challenging data point, as it must be collected at intake. It will involve changes to forms and procedures.

**Module 4, Section C: All Characteristics Report - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

**D. HOUSEHOLD LEVEL CHARACTERISTICS - Section G -**

**9. Household Type Sec G 12 W/ADDS** Number of Households

a. Single Person	SAME
b. Two Adults NO Children	NEW
c. Single Parent Female	SAME
d. Single Parent Male	SAME
e. Two Parent Household	SAME
f. Non-related Adults with Children	NEW
g. Multigenerational Household	NEW
h. Other	NEW
i. Unknown/not reported	NEW
<b>TOTAL (auto calculated)</b>	0

Order changed.

**10. Household Size – SEC G 13** Number of Households

a. Single Person	SAME
b. Two	SAME
c. Three	SAME
d. Four	SAME
e. Five	SAME
f. Six or more	CHANGED
g. Unknown/not reported	NEW
<b>TOTAL (auto calculated)</b>	0

g, Seven, and h., Eight or more, eliminated.

**11. Housing Sec G. 16** Number of Households

a. Own	SAME
b. Rent	SAME
c. Other permanent housing	NEW
d. Homeless	SAME
e. Other	NEW
f. Unknown/not reported	NEW
<b>TOTAL (auto calculated)</b>	0

**12. Level of Household Income** Number of Households

(% of HHS Guideline)	Same
a. Up to 50%	Same
b. 51% to 75%	Same
c. 76% to 100%	Same
d. 101% to 125%	Same
e. 126% to 150%	Same
f. 151% to 175%	Same
g. 176% to 200%	NEW
h. 201% to 250%	NEW
i. 250% and over	NEW
j. Unknown/not reported	NEW
<b>TOTAL (auto calculated)</b>	0

**13. Sources of Household Income Sec G 13/ adds** Number of Households

a. Income from Employment Only	SAME
b. Income from Employment and Other Income Source	SAME
c. Income from Employment, Other Income Source, and Non-Cash Benefits	NEW
d. Income from Employment and Non-Cash Benefits	NEW
e. Other Income Source Only	NEW
f. Other Income Source and Non-Cash Benefits	
g. No Income	
h. Non-Cash Benefits Only	
i. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	0

Below, please report the types of Other income and/or non-cash benefits received by the households who reported sources other than employment

**14. Other Income Source Sec G. 14 Mostly NEW** Number of Households

a. TANF	Same
b. Supplemental Security Income (SSI)	Same
c. Social Security Disability Income (SSDI)	Same
d. VA Service-Connected Disability Compensation	New
e. VA Non-Service Connected Disability Pension	New
f. Private Disability Insurance	New
g. Worker's Compensation	New
h. Retirement Income from Social Security	Same
i. Pension	Same
j. Child Support	New
k. Alimony or other Spousal Support	New
l. Unemployment Insurance	Same
m. EITC	New
n. Other	New
o. Unknown/not reported	New

**15. Non-Cash Benefits NEW** Number of Households

a. SNAP	New
b. WIC	New
c. LIHEAP	New
d. Housing Choice Voucher	New
e. Public Housing	New
f. Permanent Supportive Housing	New
g. HUD-VASH	New
h. Childcare Voucher	New
i. Affordable Care Act Subsidy	New
j. Other	New
k. Unknown/not reported	

**E. Number of Individuals Not Included in the Totals Above** (due to data collection system integration barriers)

1. Please list the unduplicated number of INDIVIDUALS served in each program\*:

Program Name	Number of Individuals
Section G 4	

**F. Number of Households Not Included in the Totals Above** (due to data collection system integration barriers)

1. Please list the unduplicated number of HOUSEHOLDS served in each program\*:

Program Name	Number of Households
Section G 6	

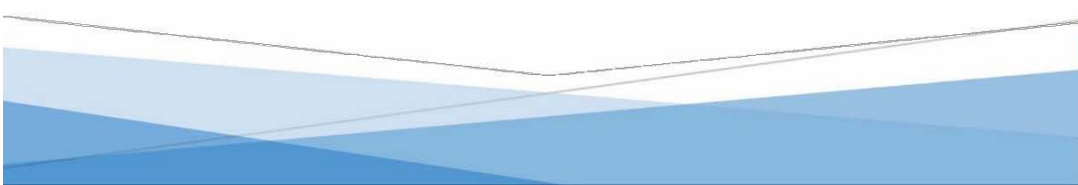
\*The system will add rows to allow reporting on multiple programs.



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An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please send to: [infocollection@acf.hhs.gov](mailto:infocollection@acf.hhs.gov)



## High-Level Crosswalk

### CSBG Annual Report – CSBG IS Survey

FRN#2 30-Day Comment Period

Module 1 - State Administration	CSBG IS Survey
<b>Section A:</b> CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact	Section C. General Information on State CSBG office
<b>Section B:</b> Statewide Goals and Accomplishments	Section D. Accomplishments and Coordination of Funds
<b>Section C:</b> CSBG Eligible Entity Update	Section B. General Information on Local CSBG Agencies
<b>Section D:</b> Organizational Standards for Eligible Entities	n/a
<b>Section E:</b> State Use of Funds	Section A. State Use of CSBG Funds  Section B. General Information on Local CSBG Agencies
<b>Section F:</b> State Training and Technical Assistance	T/TA Survey  Section B. General Information on Local CSBG Agencies
<b>Section G:</b> State Linkages and Communication	n/a
<b>Section H:</b> Monitoring, Corrective Action, and Fiscal Controls	n/a
<b>Section I:</b> Results Oriented Management and Accountability (ROMA)	n/a
Module 2 – CSBG Eligible Entity Expenditures, Capacity, and Resources	CSBG IS Survey
<b>Section A:</b> Local Agency CSBG Expenditures	Section E. CSBG Expenditures by Service Category
<b>Section B:</b> Local Agency Capacity Building	National Performance Indicator 2.3 – Community Engagement  National Performance Indicator 3.1 - Community Empowerment through Maximum Feasible Participation  National Performance Indicator 4.1 - Expanding Opportunities through Community-Wide Partnerships  National Performance Indicator 5.1 – Expanding Opportunities through Community-Wide Partnerships
<b>Section C:</b> Local Agency Resources Administered by the CSBG Eligible Entity	Section F. Resources Administered and Generated by the CSBG Network



# High-Level Crosswalk

## CSBG Annual Report – CSBG IS Survey

FRN#2 30-Day Comment Period

Module 3 – Community Level	CSBG IS Survey
<b>Section A: Community Initiative Status Form</b>	National Performance Indicator 4.1 - Expanding Opportunities through Community-Wide Partnerships
<b>Section B: Community National Performance Indicators (NPIs)</b>	<p>National Performance Indicator 2.1 – Community Improvement and Revitalization</p> <p>National Performance Indicator 2.2 – Community Quality of Life and Assets</p> <p>National Performance Indicator 2.3 – Community Engagement</p> <p>National Performance Indicator 3.2 – Community Empowerment through Maximum Feasible Participation</p>
<b>Section C: Community Strategies</b>	National Performance Indicator 2.1 – Community Improvement and Revitalization
Module 4 - Individual and Family Level	CSBG IS Survey
<b>Section A: Individual and Family National Performance Indicators (NPI)</b>	<p>National Performance Indicator 1.1 – Employment</p> <p>National Performance Indicator 1.2 – Employment Supports</p> <p>National Performance Indicator 1.3 – Employment Asset Enhancement and Utilization</p> <p>National Performance Indicator 6.1 – Independent Living</p> <p>National Performance Indicator 6.3 – Child and Family Development</p>
<b>Section B: Individual and Family Services</b>	<p>National Performance Indicator 1.2 – Employment Supports</p> <p>National Performance Indicator 6.2 – Emergency Assistance</p> <p>National Performance Indicator 6.4 – Family Supports</p> <p>National Performance Indicator 6.5 – Services Counts</p>
<b>Section C: All Characteristics Report</b>	Section G. Program Participant Characteristics



SFY-18-K1 Attachment #4

OMB Control No: 0970-0492  
Expiration date: 01/31/2020

# Community Services Block Grant (CSBG) Annual Report

# CSBG Annual Report Table of Contents

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# **Module 1**

## **State Administration**

# Community Services Block Grant (CSBG) Annual Report – State Administration Module

**Note:** The reporting timeframes for all information in the administrative module is based on the Federal Fiscal Year, which runs from October 1 of a given calendar year until September 30 of the following calendar year. When completing the annual report, respondents will first indicate the Federal Fiscal Year for which the state is submitting data. The Online Data Collection (OLDC) system will then auto-populate the administrative module with information from the appropriate year (year 1 or year 2) in the accepted CSBG State Plan. States will be able to update information in these sections, as necessary.

## SECTION A

### CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact

**A.1.** Confirm and update the following information in relation to the lead agency designated to administer the CSBG in the State, as required by Section 676(a) of the CSBG Act.

**A.1a.** Lead agency

Formerly State  
Contact  
Information -  
CSBG IS Access  
Database

[This section will auto-populate using information provided in the CSBG State Plan. The State should review all items and may update to note any changes that have taken place during the year. Any updates or changes will be noted in quality assurance reviews and may require brief explanation prior to acceptance of the annual report.]

**A.1b.** Cabinet or administrative department of this lead agency

CSBG IS, Section  
C, Question 1

[Auto-populated from the CSBG State Plan with option to update where applicable]

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe:

CSBG IS,  
Section C,  
Question 2

**A.1c.** Division, bureau, or office of the CSBG authorized official [**Narrative, 2500 Characters**]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1d.** Authorized official of the lead agency [**Narrative, 2500 Characters**]

CSBG State Plan

[Auto-populated from the CSBG State Plan with option to update where applicable]

**Instructional note:** The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

**A.1e.** Street address [Narrative, 2500 Characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1f.** City [Narrative, 2500 Characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1g.** State [Narrative, 2500 Characters]

[Auto-populated from the CSBG State Plan]

**A.1h.** Zip code [Narrative 10 Characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

Telephone number and extension [Narrative, 10 – 15 characters including an option for 5 digit extension]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1j.** Fax number [Narrative, 10 characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1k.** Email address [Narrative, 50 characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.1l.** Lead agency website [Narrative, 200 characters]

[Auto-populated from the CSBG State Plan with option to update where applicable]

**A.2.** Please check additional programs administered by the State CSBG Lead Agency during the reporting year (FFY).

- Weatherization Assistance Program (WAP)
- Low Income Home Energy Assistance Program (LIHEAP)
- U.S. Department of Agriculture Programs (Specify \_\_\_\_\_)
- U.S. Department of Housing and Urban Development (HUD) Programs (Specify \_\_\_\_\_)
- Other, describe: **If yes, please list below:**

CSBG State Plan Information

CSBG IS, Section C, Question 3

## SECTION B

### Statewide Goals and Accomplishments

**B.1. Progress on State Plan Goals:** Describe progress in meeting the State’s CSBG-specific goals for State administration of CSBG as described in the CSBG State Plan.

**Goals:** [Actual Goals from the CSBG State Plan will be auto-populated from the accepted CSBG State plan]

- All Goals Accomplished: [Narrative, 2500 characters]
- Goals Partially Accomplished – describe progress: [Narrative, 2500 characters]
- Not Accomplished – explain [Narrative, 2500 characters]

**Note:** This information is associated with State Accountability Measure 1Sa(i) and will be used in assessing overall progress in meeting State goals.

**B.2. CSBG Eligible Entity Overall Satisfaction Targets:** In the table below, provide the State’s most recent target for CSBG Eligible Entity Overall Satisfaction during the performance period (FFY).

Prior Year Target	Most Recent American Customer Satisfaction Index Survey Result	Future Target
____. [Numerical, 3 digits]	____. [Numerical, 3 digits]	____. [Numerical, 3 digits]
This cell should be left blank in the first year of submission of this new annual report format.	This cell should include the most recent result of the ACSI survey. OCS plans to issue ACSI surveys on a bi-annual basis.	Note: OCS issued Information Memorandum 150 providing guidance on establishing targets based on ACSI results.

**Instructional Note:** Because the CSBG State Plan may cover two fiscal years, annual updates related to CSBG Eligible Entity satisfaction should be provided in this annual report. The State’s target score will indicate improvement or maintenance of the States’ Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State’s CSBG Eligible Entities. States that did not receive ACSI scores (i.e. States with only a single CSBG Eligible Entity) should not complete question B.2, but should provide narrative descriptions of other sources of customer feedback and the State’s response to that feedback in question B.3. For more information on the ACSI and establishment of targets, see [CSBG Information Memorandum #150 Use of the American Customer Satisfaction Index \(ACSI\) to Improve Network Effectiveness](#).

**B.3. CSBG Eligible Entity Feedback and Involvement:** How has the State considered feedback from CSBG Eligible Entities, OCS, public hearings, and other sources, and/or customer satisfaction surveys such as the American Customer Satisfaction Index (ACSI)? What actions have been taken as a result of this feedback?

[Narrative - 2500 Characters]

NEW: Follow-up to content in CSBG State Plan

**B.4. State Management Accomplishment:** Describe what you consider to be the top management accomplishment achieved by your State CSBG office during the reporting year (FFY). Provide examples of how administrative or leadership actions led to improvements in efficiency, accountability, or quality of services and strategies.

CSBG IS,  
Section D,  
Question 2a

[Narrative – 2500 Characters]

**B.5. CSBG Eligible Entity Management Accomplishments:** Describe three notable management accomplishments achieved by CSBG Eligible Entities in your state during the reporting year (FFY). Describe how responsible, informed leadership and effective, efficient processes led to high-quality, accessible, and well-managed services and strategies.

CSBG IS,  
Section D,  
Question 2b

[Narrative – 2500 Characters]

**B.6. Innovative Solutions Highlights:** Provide at least three examples of ways in which a CSBG Eligible Entity addressed a cause or condition of poverty in the community using an innovative or creative approach. Provide the agency name, local partners involved, outcomes, and specific information on how CSBG funds were used to support implementation.

CSBG IS,  
Section D,  
Questions 3a

[Narrative – 2500 Characters]



## SECTION C

### CSBG Eligible Entity Update

**C.1. CSBG Eligible Entities:** The table below includes a list of CSBG Eligible Entities in the State as described in the CSBG State Plan for this reporting year (FFY). Please review and note any changes or updates in this information. This table should include every CSBG Eligible Entity to which the State allocated 90 percent of CSBG funds during the reporting period (FFY). The table should not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

C.1 combines CSBG IS Access Database, Section B, the Eligible Entity list, and Section B, Questions 1 and 4

This form will auto-populate from the State Plan

1. CSBG Eligible Entity	2. Public or Nonprofit	3. Type of Entity (choose all that apply)	4. Geographical Area Served by county (Provide all counties)	5. Brief Description of "Other"
<b>Auto-populated</b> [Narrative, 2500 characters]	<b>Auto-populated</b> [Select Public or Nonprofit]	<b>Auto-populated</b> <ul style="list-style-type: none"> <li>Community Action Agency</li> <li>Limited Purpose Agency</li> <li>Local Government Agency</li> <li>Migrant or Seasonal Farmworker Organization</li> <li>Tribe or Tribal Organization</li> <li>Other (describe in column 5)</li> </ul>	<b>Auto-populated</b> [Narrative, 2500 characters]	<b>Auto-populated</b> [Narrative, 2500 characters]  If "Other" is selected in column 3, provide further detail here
<b>ADD A ROW function</b> Note: rows may be added for each CSBG Eligible Entity funded by the State				

**C.2.** Total number of CSBG Eligible Entities:    ##    [This will automatically update based on chart in C.1]

**C.3. Changes to CSBG Eligible Entities List:** Did the list of CSBG Eligible Entities under item C.1 change during the reporting period (FFY)? If yes, briefly describe the changes.      Yes  No

**[If yes is selected – Narrative, 2500 characters]**

**Instructional Note: Limited Purpose Agency** refers to a CSBG Eligible Entity that was designated as a limited purpose agency under Title II of the Economic Opportunity Act of 1964 for the fiscal year 1981, that served the general purposes of a community action agency under Title II of the Economic Opportunity Act; did not lose its designation as a limited purpose agency under Title II of the Economic Opportunity Act as a result of failure to comply with that Act; and has not lost its designation as a CSBG Eligible Entity under the CSBG Act.

**Instructional Note: 90 percent funds** are the funds a State provides to CSBG Eligible Entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide "no less than 90 percent" of their CSBG allocation, under Section 675B, to the Eligible Entities.

CSBG IS, Section B, Question

## SECTION D

### Organizational Standards for CSBG Eligible Entities

**Note:** Reference [CSBG Information Memorandum #138 State Establishment of Organizational Standards for CSBG Eligible Entities](#)

**D.1. Assessment of Organizational Standards:** The CSBG State Plan indicated that the State would use the following organizational standards for its oversight of the CSBG:

**[One of the options below will be auto-populated from the CSBG State Plan based on the items checked in question 6.1 of the CSBG State Plan]**

- CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or a modified version of these standards.
- An alternative set of organizational standards as outlined in supporting documentation to the CSBG State plan.

**D.1a.** How did the State assess CSBG eligible entities against organizational standards, as described in IM 138?

**[The checkbox below will be auto-populated from the CSBG State Plan with the option for the State to update information based on its actual implemented assessment process]**

- Peer-to-peer review (with validation by the State or State-authorized third party)
- Self-assessment (with validation by the State or State-authorized third party)
- Self-assessment/peer review with State risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

**D.1b.** Describe the assessment process as implemented by the State. Please describe any changes in the assessment process that occurred since the time of the State plan submission. Please note that with the exception of regular on-site CSBG monitoring, all assessment options above may include either on-site or desk review (or a combination). The specific State process should be described in the narrative. **[Narrative, 2500 characters]**

**D.2. Organizational Standards Performance:** In the table below, please provide the percentage of CSBG Eligible Entities that met all State-adopted organizational standards in the reporting period (FFY). The target set in the CSBG State Plan is provided in the left-hand column. For more information on the CSBG Organizational Standards, see [CSBG Information Memorandum #138](#).

Target vs. Actual Performance on the Organizational Standards				
Fiscal Year	State CSBG Plan Target	Number of Entities Assessed	Number that Met <u>All (100%)</u> of State Standards	Actual Percentage Meeting All (100%) of State Standards
Auto-populated	[Auto-populated target from question 6.6. of the State CSBG plan].	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>Progress Indicators</b>				
<i>Indicate the number of entities that met the following percentages of Organizational Standards.</i>				
Note – While the State targets the percent of CSBG Eligible Entities to meet 100% of the Organizational Standards, targets are not set in the State Plan for 90%, 80%, 70%, and 60% progress indicators.		<b>Number of Entities Assessed</b>	<b>Number that Met between <u>90%</u> and <u>99%</u> of State Standards</b>	<b>Actual Percentage</b>
		[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
		<b>Number of Entities Assessed</b>	<b>Number that met between <u>80%</u> and <u>89%</u> of State Standards</b>	<b>Actual Percentage</b>
		[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
		<b>Number of Entities Assessed</b>	<b>Number that met between <u>70%</u> and <u>79%</u> of State Standards</b>	<b>Actual Percentage</b>
		[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]

**Note:** This information is associated with State Accountability Measures 6Sa.

**D.2a.** In the space below, please identify the challenges and factors contributing to the difference between the target and actual results provided in the top row of Table D.2 (above).

**[Narrative, 2500 characters]**

**D.2b. Percentage Meeting Organizational Standards by Category.** In the table below, provide the number of eligible entities that met each category of the Organizational Standards. The percentage that met all standards in each category will be automatically calculated and totaled in the bottom row.

<b>Percentage Meeting Organizational Standards by Category</b>			
<b>Category</b>	<b>Number of Entities Assessed</b>	<b>Number that Met All Standards in Category</b>	<b>Actual Percentage</b>
<b>1. Consumer Input and Involvement</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>2. Community Engagement</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>3. Community Assessment</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>4. Organizational Leadership</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>5. Board Governance</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>6. Strategic Planning</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>7. Human Resource Management</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>8. Financial Operations &amp; Oversight</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]
<b>9. Data and Analysis</b>	[Insert a number between 0 – 99]	[Insert a number between 0 – 99]	[Auto-calculated]

**D.3. Technical Assistance Plans and Quality Improvement Plans:** In the table below, please provide the number of CSBG Eligible Entities with unmet organizational standards with Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) in place.

<b>Technical Assistance Plans and Quality Improvement Plans</b>	
<b>Total Number of CSBG Eligible Entities with unmet organizational standards with Technical Assistance Plans (TAPs) in place</b>	[Insert a number between 0 – 99]
<b>Total Number of CSBG Eligible Entities with unmet organizational standards with Quality Improvement Plans (QIPs) in place</b>	[Insert a number between 0 – 99]

**D.3.a.** If the State identified CSBG Eligible Entities with unmet organizational standards for which it was determined that TAPs or QIPs would not be appropriate, please provide a narrative explanation below. **[If no is selected – Narrative, 2500 characters]**

**Note:** D.3 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. For additional information on corrective action and the circumstances under which a State may establish TAPs and QIPs, see [IM-138](#), Pages 5-6.

## SECTION E State Use of Funds

**Note:** The reporting timeframes for expenditure information is based on the Federal Fiscal Year, which runs from October 1 of a given calendar year until September 30 of the following calendar year. States that operate according to a different fiscal year should analyze actual quarterly obligation of funds and report on obligations made during the time period of the Federal Fiscal Year.

### CSBG Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

**E.1. State Distribution Formula:** Did the State institute any changes in the distribution formula for the CSBG Eligible Entities during the reporting period covered by this report?  Yes  No

CSBG IS,  
Section B,  
Question 3

**E.1a** If yes, please describe any specific changes and describe how the State complied with assurances provided in Question 14 of the CSBG State Plan as required under Section C76(b)(8) of the State CSBG Act.

**[Narrative, 2500 characters]**

**E.2. Planned vs. Actual Allocation:** Using the table below, specify the actual allocation of 90 percent of CSBG funds to CSBG Eligible Entities, as described under Section 675C(a) of the CSBG Act. While the CSBG State Plan allows for either percentages or dollar amounts, this table in the administrative report must be based on actual dollars allocated to each CSBG Eligible Entity during the Federal Fiscal Year (FFY). For each CSBG Eligible Entity receiving CSBG funds, provide the Funding Amount allocated to the CSBG Eligible Entity during the FFY.

CSBG IS,  
Section A,  
Question 2

<b>Planned vs Actual CSBG 90 Percent Funds</b>			
<b>CSBG Eligible Entity</b>	<b>Planned</b>	<b>Actual</b>	
	Funding Amount (\$ or %)	Allocations (Based on State Formula)	Obligations
Information in this cell will be auto-populated from the CSBG State Plan Section 5, Table 5.1, Column 1	Information in this cell will be auto-populated from the CSBG State Plan, (Section 7, Table 7.2) and cannot be updated or changed. Amounts may have been presented in either a percentage or planned dollar amount.	[Numeric response, specify \$ amount]  <i>Enter the dollar amount actually allocated to each CSBG Eligible Entity under the State formula for the period covered in the Federal Fiscal Year.</i>	[Numeric response, specify \$ amount]  <i>Enter the actual dollar amount obligated to each CSBG Eligible Entity through contracts or subawards for the period covered in the Federal Fiscal Year.</i>
<b>Total</b>	Total will be auto-calculated	Total will be auto-calculated	Total will be auto-calculated

**E.3. Actual Distribution Timeframe:** Did the State make funds available to CSBG Eligible Entities no later than 30 calendar days after OCS distributed the Federal award?  Yes  No

**NEW**

**E.3a.** If no, did the State implement procedures to ensure funds were made available to CSBG Eligible Entities consistently and without interruption?  Yes  No

**E.3b.** If the State was not able to make CSBG funds available within 30 calendar days after OCS distributed the Federal award and was not able to ensure that funds were made available consistently and without interruption, provide an explanation of the circumstances below along with a description of planned corrective actions.

**[Narrative, 2500 Characters]**

**Note:** Item E.3 is associated with State Accountability Measure 2Sa.

**Administrative Funds** [Section 675C(b)(2) of the CSBG Act]

**E.4.** What amount of State CSBG funds did the State obligate for administrative activities during the Federal Fiscal Year? The amount must be based on actual dollars allocated during the Federal Fiscal Year (FFY). If you provided a percentage in Question 7.6 in the CSBG State Plan, please convert to dollars.

CSBG IS, Section A, Question 2b

State Administrative Funds		
CSBG State Plan		Actual Amount Obligated
[Auto-populated target from the CSBG State Plan Question 7.6]	[If entered in the CSBG State Plan as a percentage, convert and insert your number in dollars here.]	[Numeric response, specify \$ amount]

**[Narrative, 2500 Characters]**

**E.5.** How many State staff positions were funded in whole or in part with CSBG funds in the reporting period (FFY)? **[Insert a number between 0 – 99]**

CSBG IS, Section C, Question 7a

State Staff Positions Funded	
CSBG State Plan	Actual Number
[Auto-populated target from the CSBG State Plan question 7.7].	[Insert a number between 0 – 99]

**E.6.** How many State Full Time Equivalents (FTEs) were funded with CSBG funds in the reporting period (FFY)?

CSBG IS, Section C, Question 7b

State FTEs	
CSBG State Plan	Actual Number
[Auto-populated target from the CSBG State Plan question 7.8].	[Insert a number between 0 – 99]

**Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

**E.7.** Describe how the State used remainder/discretionary funds in the table below.

CSBG IS, Section A, Question 2c and Section B, Question 5a-b

**Instructional Note:** While the CSBG State Plan allows for either percentages or dollar amounts, this table in the administrative report must be based on actual dollars obligated to each budget category during the Federal Fiscal Year (FFY). States that do not have remainder/discretionary funds will not complete this item. If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action Association to provide training and technical assistance to CSBG Eligible Entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Row a and Row c. If an allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

**Note:** This information is associated with State Accountability Measures 3Sa.

Planned vs. Actual Use of Remainder/Discretionary Funds				
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned		Obligated	Brief description of services/activities
	Planned \$	Planned %	Actual \$	
a. Training/technical assistance to CSBG Eligible Entities	Information in these cells will be auto-populated from the accepted CSBG State plan and cannot be updated or changed.		[Enter actual \$ for each item listed for this Federal Fiscal Year.	Narrative 2500 characters – Briefly describe the actual services and activities funded for each category.
b. Coordination of State-operated programs and/or local programs				Narrative 2500 characters
c. Statewide coordination and communication among CSBG Eligible Entities				Narrative 2500 characters

Planned vs. Actual Use of Remainder/Discretionary Funds				
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned		Obligated	Brief description of services/activities
	Planned \$	Planned %	Actual \$	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need				[Narrative, 2500 characters]
e. Asset-building programs				[Narrative, 2500 characters]
f. Innovative programs/ activities by CSBG Eligible Entities or other neighborhood groups				Narrative, 2500 characters]
g. State charity tax credits				[Narrative, 2500 characters]
h. Other activities, specify_____				[Narrative, 2500 characters]
<b>Totals</b>	<b>Auto-calculated</b>		<b>Auto-calculated</b>	

**E.8.** What types of organizations, if any, did the State work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table E.7 (above).

CSBG IS,  
Section B,  
Question 5a

**[Check all that apply and provide a narrative where applicable]**

- CSBG Eligible Entities (if checked, include the expected number of CSBG Eligible Entities to receive funds) **[Narrative, 2500 characters]**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 characters]**
- None (the State will carry out activities directly)



**E.9. Total Obligations:** Total CSBG funds obligated for the Federal Fiscal Year (Review and confirm from the chart below).

CSBG IS, Section A, Question 2

Category	Actual Obligations
<b>Obligations to CSBG Eligible Entities (from State CSBG 90% Formula Funds)</b>	Auto-populated from Table E.2 (total actual obligations in contracts and subawards)
<b>State Administrative Costs</b>  CSBG IS, Section A, Question 2	Auto-populated from Table E.4 (total actual obligations of administrative funds)
<b>Remainder/Discretionary Funds</b>	Auto-populated from Table E.7 (total actual obligations of State remainder/discretionary funds).
<b>Total Obligations in FY ____</b>	Total will be auto-calculated from the three rows above
<b>E.9a. Prior Year Carryover</b> Of the total amount reported in the row above, the amount that represents carryover funding from the prior fiscal year.	[Numeric response, specify \$ amount]
<b>E.9b. Carryover for this Fiscal Year</b> Of the total CSBG amount to the State for this fiscal year, the amount that was unobligated and will carry forward to the next fiscal year.	[Numeric response, specify \$ amount]

CSBG IS, Section A,

CSBG IS, Section A, Question 4

## SECTION F State Training and Technical Assistance

**F.1.** Describe how the State delivered CSBG-funded training and technical assistance to CSBG Eligible Entities by completing the table below. Add a row for each activity: indicate the timeframe; whether it was training, technical assistance or both; and the topic. CSBG funding used for this activity is referenced under item E.7 (Planned vs. Actual Use of Remainder/Discretionary Funds.)

CSBG IS,  
Access  
Database,  
T/TA

**Note:** F.1 is associated with State Accountability Measure 3Sc.

[This table will be auto-populated with information provided in the State’s accepted CSBG State plan and should be reviewed and updated based on the actual activities implemented.]

Training and Technical Assistance			
Training, Technical Assistance, or Both	Topic	Actual Dates	Brief Description
<p style="color: red;">Auto-populated from Table 8.1 of the CSBG State Plan</p> <ul style="list-style-type: none"> <li style="color: red;">• Training</li> <li style="color: red;">• Technical Assistance</li> <li style="color: red;">• Both</li> </ul>	<p style="color: red;">Auto-populated from Table 8.1 of the CSBG State Plan</p> <ul style="list-style-type: none"> <li style="color: red;">• Fiscal</li> <li style="color: red;">• Governance/Tripartite Boards</li> <li style="color: red;">• Organizational Standards – General</li> <li style="color: red;">• Organizational Standards – for CSBG Eligible Entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs)</li> <li style="color: red;">• Correcting Significant Deficiencies Among CSBG Eligible Entities</li> <li style="color: red;">• Reporting</li> <li style="color: red;">• ROMA</li> <li style="color: red;">• Community Assessment</li> <li style="color: red;">• Strategic Planning</li> <li style="color: red;">• Monitoring</li> <li style="color: red;">• Communication</li> <li style="color: red;">• Technology</li> <li style="color: red;">• Other</li> </ul>	<p>[Enter Date or Range]</p>	<p style="color: red;"><b>[Narrative, 2500 characters]</b></p> <p>Provide additional brief explanation of the technical assistance activities implemented. If “Other” was selected in column 3, describe in this column.</p>
<p><b>ADD a ROW function</b> Note: Rows may be added for each additional training</p>			

**F.2.**

Indicate the types of organizations through which the State provided training and/or technical assistance as described in item F.1, and briefly describe their involvement? (Check all that apply.) **[Check all that applies and narrative where applicable]**

CSBG IS,  
Access  
Database and  
Section B,  
Question 5A

- CSBG Eligible Entities (if checked, provide the expected number of CSBG Eligible Entities to receive funds) **[Narrative, 2500 characters]**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 characters]**

## SECTION G

### State Linkages and Communication

**Note:** This section describes activities that the State supported with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. **Note:** This item is associated with State Accountability Measure 7Sa.

**G.1. State Linkages and Coordination at the State Level:** Please review and confirm the areas for linkages and coordination that were outlined in the CSBG State Plan.

[The items below will be auto-populated based on responses to question 9.1. in the CSBG State Plan and may be updated.]

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

**G.1a.** Describe the linkages and coordination at the State level that the State created or maintained to ensure increased access to CSBG services by communities and people with low-incomes that avoid duplication of services (as required by the assurance under Section 676(b)(5)) and identified in the CSBG State Plan . Describe or attach additional information as needed and provide a narrative describing activities including an explanation of any changes from the original CSBG State Plan.

**[Narrative - 2500 Characters]**

**G.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State created or maintained with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to people with low-incomes and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Review and update the narrative describing actual activities, including an explanation of any changes from the original CSBG State Plan. Attach additional information as needed.

**[Narrative, 2500 Characters]**

[This narrative box will be auto-populated with the actual response to question 9.2. from CSBG State Plan. The State will review and update the narrative describing actual activities, including an explanation of any changes from the original CSBG State Plan.]

### **G.3. CSBG Eligible Entity Linkages and Coordination**

**G.3a State Assurance of CSBG Eligible Entity Linkages and Coordination:** Describe how the State assured that the CSBG Eligible Entities coordinated and established linkages to assure the effective delivery of and coordination of CSBG services to people with low-incomes and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

**[Narrative, 2500 Characters]**

[This narrative box will be auto-populated with the actual response to question 9.3. from CSBG State Plan. The State will review and update the narrative describing actual activities, including an explanation of any changes from the CSBG State plan.]

**G.3b State Assurance of CSBG Eligible Entity Linkages to Fill Service Gaps:** Describe how the CSBG Eligible Entities developed linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

**[Narrative, 2500 Characters]**

[This narrative box will be auto-populated with the actual response to question 9.3b. from CSBG State Plan. The State will review and update the narrative describing actual activities, including an explanation of any changes from the original CSBG State Plan.]

**G.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Combined Plan Activities (if applicable):** If the State included CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act, provide a brief narrative describing the status of WIOA coordination activities, including web links, if available, to any publicly accessible combined plans and reports.

**[Narrative, 2500 Characters]**

[Note: This narrative box will only be completed by States in which CSBG employment and training activities are included as part of a WIOA Combined State Plan. Because the WIOA Combined State Plan is in a separate system not administered by ACF, information cannot be auto-populated. The purpose of this section will be to provide an administrative update on State-level WIOA plan coordination for States with combined plans, rather than a report on employment and training outcomes at the CSBG Eligible Entity level. ]

**G.5. Coordination among CSBG Eligible Entities and the State Community Action Association:** Describe State activities that took place to support coordination among the CSBG Eligible Entities and the State Community Action Association.

**[Narrative, 2500 Characters]**

[This narrative box will be auto-populated with the actual response to question 9.8. from CSBG State Plan. The State will review and update the narrative describing actual activities, including an explanation of any changes from the original CSBG State Plan.]

**G.6. Feedback to CSBG Eligible Entities and State Community Action Association:** Describe how the State provided feedback to local entities and the State Community Action Association regarding its performance on State Accountability Measures.

**[Narrative, 2500 Characters]**

[This narrative box will be auto-populated with the actual response to question 9.10 from CSBG State Plan. The State will review and update the narrative describing actual activities, including an explanation of any changes from the original CSBG State Plan.]

**Note:** This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State receiving feedback from OCS.

## SECTION H

### Monitoring, Corrective Action, and Fiscal Controls

#### Monitoring of CSBG Eligible Entities (Section 678B(a) of the CSBG Act)

**H.1.** Briefly describe the actual monitoring visits conducted during the reporting year including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate. If a monitoring visit was planned during the year but not implemented, provide a brief explanation in the far right column of the table below.

**Note:** This information is associated with State Accountability Measure 4Sa(i).

This table will be auto-populated with information provided in the State’s accepted CSBG State Plan. The information should be reviewed and updated based on the actual monitoring visits conducted. Additional rows may be added for monitoring visits that were not included in the original plan with an explanation of the circumstances in the description. A brief explanation for any visits that were included in the State plan but not conducted may be provided in the far right row.

CSBG Eligible Entity	Review Type	Actual Site Visit Dates	Brief Description of Purpose
Information in these cells will be auto-populate with projected visits in Table 10.1 from the CSBG State Plan. The State may add rows for additional monitoring visits conducted. The State may not delete visits that were included in the CSBG State Plan, but may provide a brief explanation for visits that were not conducted in the far right row.	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Full onsite</li> <li>• Newly Designated</li> <li>• Follow-up</li> <li>• Other</li> <li>• No review</li> </ul>	<b>Enter dates</b>	<p><b>Note:</b> If a monitoring visit was a part of the original state monitoring plan, note it as a scheduled monitoring visit. If the visit was not a part of the original monitoring plan, provide a brief explanation for the purpose of the visit (e.g. a follow-up regarding a special issue). This section should not be used to outline findings, but should simply note the purpose of the monitoring (e.g. follow-up regarding corrective actions).</p> <p style="text-align: center;"><b>[Narrative, 500 characters]</b></p>
<b>ADD a ROW function Note: Rows may be added for each additional Monitoring Visit</b>			

**H.2. Monitoring Policies:** Were any modifications made to the State’s monitoring policies and procedures during the reporting period (FFY)?  Yes  No

If changes were made to State monitoring policies and procedures, attach and/or provide a hyperlink to the modified documents. **[Attach a document or add a link]**

**H.3. Initial Monitoring Reports:** Were all State monitoring reports conducted in manner consistent with State monitoring policies and procedures and disseminated to CSBG Eligible Entities within 60 calendar days?  Yes  No

If no, provide the actual number of days for initial distribution of all monitoring reports and provide an explanation for the circumstances that resulted in delayed reports. **[Narrative 2500 characters]**

**Note:** This item is associated with State Accountability Measure 4Sa(ii).

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements** (Section 678C of the CSBG Act)

**H.4. Quality Improvement Plans (QIPs):** Did all CSBG Eligible Entities on Quality Improvement Plans resolve identified deficiencies within the schedule agreed upon by the State and eligible entity?  
 Yes  No

If no, provide an explanation for the circumstances. **[Narrative 2500 characters]**

**Note:** The QIP information is associated with State Accountability Measures 4Sc.

**H.5. Reporting QIPs:** Did the State report all CSBG Eligible Entities with serious deficiencies from a monitoring review to the Office of Community Services within 30 calendar days of the State approving a QIP?  Yes  No

If no, provide an explanation for the circumstances. A plan to assure timely notification of OCS must be included in the next CSBG State Plan. **[Narrative 2500 characters]**

**Note:** This item is associated with State Accountability Measure 4Sa(iii).

**Fiscal Controls and Audits**

**H.6. Single Audit Review:** In the table below, provide the dates of any CSBG Eligible Entity Single Audits in the Federal Audit Clearinghouse that were received and reviewed during the Federal Fiscal Year as required by the CSBG regulations applicable to 45 CFR 75.521. If the audit contained findings requiring a management decision by the State, provide the date the decision was issued.

Employer Identification Number (EIN) of Agency	Date Audit Was Accepted by Federal Audit Clearinghouse	State Management Decision Required?	State Management Decision Issued within Six Months?	Date Management Decision Issued (if applicable)
[Numeric]	[Date]	[Y/N]	[Y/N/Pending]	[Date]
<b>Add a ROW function Note: Rows may be added for each additional Single Audit accepted by the Federal Audit Clearinghouse during the fiscal year.</b>				

**H.7. Single Audit Management Decisions:** Briefly describe any management decisions issued according to State procedures of CSBG Eligible Entity single audit. Provide the audit finding reference number from the Federal Audit Clearinghouse and describe any required actions and timelines for correction. **[Narrative, 2500 Characters]**

**Note:** This information is associated with State Accountability Measure 4Sd.



## SECTION I

### Results Oriented Management and Accountability (ROMA) System

**I.1. ROMA Participation:** In which performance measurement system did the State and CSBG Eligible Entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

Auto-populated from the CSBG State Plan. State will review and confirm

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- An alternative system for measuring performance and results

**I.1a.** If ROMA was selected in item I.1, provide an update on any changes in procedures or to data collection systems that were initiated or completed in the reporting period.  
**[Attachment and Narrative, 2500 characters]**

**I.1b.** If ROMA was not selected in item I.1, describe the system the State used for performance measurement. Provide an update on any changes in procedures or to data collection systems that were initiated or completed in the reporting period.  
**[Narrative, 2500 characters]**

**I.2. State ROMA Support:** How did the State support the CSBG Eligible Entities in using the ROMA system or alternative performance measurement system in promoting continuous improvement? For example, describe any data systems improvements, support for community needs assessment, support for strategic planning, data analysis etc.  
**[Narrative, 2500 characters or attach a document]**

**I.3. State Review of CSBG Eligible Entity Data:** Describe the procedures and activities the State used to review the ROMA data (i.e. all data from elements of the ROMA cycle) from CSBG Eligible Entities for completion and accuracy (e.g. methodology used for validating the data submitted annually by the local agencies).  
**[Narrative, 2500 characters or attach a document]**

**I.4 State Feedback on Data Collection, Analysis, and Reporting:** State Accountability Measure 5S(ii) requires states to submit written feedback to each CSBG Eligible Entity regarding the entity’s performance in meeting ROMA goals, as measured through National Performance Indicator (NPI) data, within 60 calendar days of submitting the State’s Annual Report. Has the state provided each CSBG Eligible Entity written, timely (at a minimum within 60 days of the submission) feedback regarding the entity’s performance in meeting ROMA goals as measured through national performance data?  Yes  No

If no, describe the plan to assure timely notification of the CSBG Eligible Entities within 60 calendar days of submitting the State's CSBG Annual Report. **[Narrative 2500 characters]**

**If yes, please describe.**

**Note:** This information is associated with State Accountability Measure 5S(ii).

- I.5. State and CSBG Eligible Entity Continuous Improvement.** Provide 2-3 examples of changes made by CSBG Eligible Entities to improve service delivery and enhance impact for individuals, families, and communities with low-incomes based on their in-depth analysis of performance data.

**[Narrative, 2500 characters or attach a document]**

# **Module 2**

## **CSBG Eligible Entity Expenditures, Capacity, and Resources**

## Instructional Notes

### Module 2 - CSBG Eligible Entity Expenditures, Capacity, and Resources

#### Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form

**Section A: CSBG Expenditures by CSBG Eligible Entity Data Entry Form** meets the Congressional requirement for an explanation of the total amount of CSBG funding expended during the reporting period (identified below) based on categories referenced in the CSBG Act.

CSBG funding expended during the reporting period should be identified in the domain that best reflects the services delivered and strategies implemented, as well as the administrative costs associated with the domains. Further instructions will be provided, but please keep the following in mind, per domain:

**Services Supporting Multiple Domains:** Expenditures reported under Services Supporting Multiple Domains are those that span or support outcomes achieved across multiple domains for families and individuals, such as case management, transportation, and childcare.

**Linkages:** Many of the activities that were associated with Linkages are now captured in Domain 9: Agency Capacity Building. This narrows the definition of Linkages, but continues to include community initiatives and information and referral calls.

**Agency Capacity Building:** Expenditures for Agency Capacity Building are detailed in Table B on this form.

**Reporting on Administration:** Administrative costs for CSBG reporting are defined by the Office of Community Services as “equivalent to typical indirect costs or overhead.” As distinguished from program administration or management expenditures that qualify as direct costs, administrative costs refer to central executive functions that do not directly support a specific project or service.

#### Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

**Section B: CSBG Eligible Entity Capacity Building Data Entry Form** provides detail on agency capacity building funded by CSBG and other funding sources.

#### Module 2, Section C: Allocated Resources per CSBG Eligible Entity - Data Entry Form

**Section C: Allocated Resources per CSBG Eligible Entity data entry form** provides data on resources allocated to, administered through, and generated by the CSBG Eligible Entity. This report provides valuable information on how CSBG leverages funds from multiple federal, state, local, and private sources as required in the CSBG Act.

## Module 2, Section A: CSBG Expenditures by CSBG Eligible Entity - Data Entry Form

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

CSBG IS, Section A, Question 1

A. CSBG Eligible Entity Reporting Period	"X"
1. July 1 - June 30	
2. October 1 - September 30	
3. January 1 - December 31	

B. CSBG Expenditures Domains	CSBG Funds
1. Employment <span style="float: right; border: 1px solid red; padding: 2px;">CSBG IS, Section E, Table 1</span>	
2. Education and Cognitive Development	
3. Income, Infrastructure, and Asset Building	
4. Housing	
5. Health and Social/Behavioral Development <i>(includes nutrition)</i> <span style="float: right; border: 1px solid red; padding: 2px;">Revised</span>	
6. Civic Engagement and Community Involvement <span style="float: right; border: 1px solid red; padding: 2px;">NEW</span>	
7. Services Supporting Multiple Domains <span style="float: right; border: 1px solid red; padding: 2px;">Revised</span>	
8. Linkages <i>(e.g. partnerships that support multiple domains)</i> <span style="float: right; border: 1px solid red; padding: 2px;">Revised</span>	
9. Agency Capacity Building <i>(detailed below in Table C)</i> <span style="float: right; border: 1px solid red; padding: 2px;">NEW</span>	
10. Other <i>(e.g. emergency management/disaster relief)</i>	
<b>Total CSBG Expenditures (auto calculated)</b>	<b>\$0</b>

Of the CSBG funds reported above, report the total amount used for Administration. [For more information on what qualifies as Administration, refer to IM37.](#)

CSBG IS, Section E, Table 1

**C. Details on Agency Capacity Building Activities Funded by CSBG:**

1. Please identify which activities were funded by CSBG under Agency Capacity in Table B. Please check all that apply.

Community Needs Assessment   
  Data Management & Reporting   
  Other\* ← NEW

Strategic Planning   
  Training & Technical Assistance

*\*Below please specify Other Activities funded by CSBG under Agency Capacity:*

## Module 2, Section B: CSBG Eligible Entity Capacity Building - Data Entry Form

Name of CSBG Eligible Entity: \_\_\_\_\_

A. CSBG Eligible Entity Reporting Period	"X"
1. July 1 - June 30	<i>auto-populated from Module 2, Section A</i>
2. October 1 - September 30	
3. January 1 - December 31	

B. Hours of Agency Capacity Building (e.g. training, planning, assessment):	Hours
1. Hours of Board Members in capacity building activities	
2. Hours of Agency Staff in capacity building activities	

CSBG IS, NPI 5.1 E-H

C. Volunteer Hours of Agency Capacity Building (e.g. program support, service delivery, fundraising):	Hours
1. Total number of volunteer hours donated to the agency	
a. Of the above, the total number of volunteer hours donated by individuals with low-incomes	

CSBG IS, NPI 2.3.b and 3.1

D. The number of staff who hold certifications that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:	Number
1. Number of Nationally Certified ROMA Trainers	
2. Number of Nationally Certified ROMA Implementers	
3. Number of Certified Community Action Professionals (CCAP)	
4. Number of Staff with a child development certification	
5. Number of Staff with a family development certification	
6. Number of Pathways Reviewers	
7. Number of Staff with Home Energy Professional Certifications	
a. Number of Energy Auditors	
b. Number of Retrofit Installer Technicians	
c. Number of Crew Leaders	
d. Number of Quality Control Inspectors (QCI)	
8. Number of LEED Risk Certified assessors	
9. Number of Building Performance Institute (BPI) certified professionals	
10. Number of Classroom Assessment Scoring System (CLASS) certified professionals	
11. Number of Certified Housing Quality Standards (HQS) Inspectors	
12. Number of American Institute of Certified Planners (AICP)	
13. Other (Please specify others below):	

CSBG IS, NPI 5.1 A-D and NEW

E. Number of organizations, both public and private, that the CSBG Eligible Entity actively works with to expand resources and opportunities in order to achieve family and community outcomes:	Unduplicated Number of Organizations
1. Non-Profit	
2. Faith Based	
3. Local Government	
4. State Government	
5. Federal Government	
6. For-Profit Business or Corporation	
7. Consortiums/Collaborations	
8. School Districts	
9. Institutions of Post-Secondary Education/Training	
10. Financial/Banking Institutions	
11. Health Service Organizations	
12. Statewide Associations or Collaborations	

CSBG IS, NPI 4.1 Column 1

## Module 2, Section C: Allocated Resources per CSBG Eligible Entity - Data Entry Form

Name of CSBG Eligible Entity: \_\_\_\_\_

A. CSBG Eligible Entity Reporting Period		"X"
1. July 1 - June 30	auto-populated from Module 2, Section A	
2. October 1 - September 30		
3. January 1 - December 31		
B. Amount of FY 20XX CSBG allocated to reporting entity		[ ]
C. Federal Resources Allocated (Other than CSBG)		
1. Weatherization (DOE) (include oil overcharge \$\$)		1. [ ]
2. Health and Human Services (HHS)		
a. LIHEAP - Fuel Assistance (include oil overcharge \$\$)		2a. [ ]
b. LIHEAP - Weatherization (include oil overcharge \$\$)		2b. [ ]
c. Head Start		2c. [ ]
d. Early Head Start		2d. [ ]
e. Older Americans Act		2e. [ ]
f. Social Services Block Grant (SSBG)		2f. [ ]
g. Medicare/Medicaid		2g. [ ]
h. Assets for Independence (AFI)		2h. [ ]
i. Temporary Assistance for Needy Families (TANF)		2i. [ ]
j. Child Care Development Block Grant (CCDBG)		2j. [ ]
k. Community Economic Development (CED)		2k. [ ]
l. <b>Other HHS Resources</b>		
i. [ ]	CFDA #: [ ]	2l.i. [ ]
ii. [ ]	CFDA #: [ ]	2l.ii. [ ]
iii. [ ]	CFDA #: [ ]	2l.iii. [ ]
iv. [ ]	CFDA #: [ ]	2l.iv. [ ]
<b>2l. Total Other HHS Resources (autocalculated)</b>		2l. \$ [ ] -
3. Department of Agriculture (USDA)		
a. Special Supplemental Nutrition for Women, Infants, and Children (WIC)		3a. [ ]
b. All USDA Non-Food programs (e.g. rural development)		3b. [ ]
c. All other USDA Food programs		3c. [ ]
4. Department of Housing and Urban Development (HUD)		
a. Community Development Block Grant (CDBG) - Federal, State, and Local		4a. [ ]
b. Section 8		4b. [ ]
c. Section 202		4c. [ ]
d. Home Tenant-Based Rental Assistance (HOME TBRA)		4d. [ ]
e. HOPE for Homeowners Program (H4H)		4e. [ ]
f. Emergency Solutions Grant (ESG)		4f. [ ]
g. Continuum of Care (CoC)		4g. [ ]
h. All other HUD programs, including homeless programs		4h. [ ]
5. Department of Labor (DOL)		
a. Workforce Innovation and Opportunity Act (WIOA) *previously WIA		5a. [ ]
b. Other DOL Employment and Training programs		5b. [ ]
c. All other DOL programs		5c. [ ]
6. Corporation for National and Community Service (CNCS) programs		6. [ ]
7. Federal Emergency Management Agency (FEMA)		7. [ ]
8. Department of Transportation		8. [ ]
9. Department of Education		9. [ ]
10. Department of Justice		10. [ ]
11. Department of Treasury		11. [ ]
12. Other Federal Resources		
i. [ ]	CFDA #: [ ]	12.i. [ ]
ii. [ ]	CFDA #: [ ]	12.ii. [ ]
iii. [ ]	CFDA #: [ ]	12.iii. [ ]
iv. [ ]	CFDA #: [ ]	12.iv. [ ]
13. Total Other Federal Resources (autocalculated)		13. \$ [ ] -
14. Total: Non-CSBG Federal Resources Allocated (autocalculated)		14. \$ [ ] -

**D. State Resources Allocated**

1.	a.	State appropriated funds used for the same purpose as Federal CSBG funds	1a.	
	b.	State Housing and Homeless programs ( <i>include housing tax credits</i> )	1b.	
	c.	State Nutrition programs	1c.	
	d.	State Early Childhood Programs ( <i>e.g. Head Start, Day Care</i> )	1d.	
	e.	State Energy programs	1e.	
	f.	State Health programs	1f.	
	g.	State Youth Development programs	1g.	
	h.	State Employment and Training programs	1h.	
	i.	State Senior programs	1i.	
	j.	State Transportation programs	1j.	
	k.	State Education programs	1k.	
	l.	State Community, Rural and Economic Development programs	1l.	
	m.	State Family Development programs	1m.	
	n.	<b>Other State Resources</b>		
	i.		1n.i	
	ii.		1n.ii	
	iii.		1n.iii	
	iv.		1n.iv	
	<b>1n.</b>	<b>Total Other State Resources (autocalculated)</b>	1n.	\$ -
<b>2.</b>	<b>Total: State Resources Allocated (autocalculated)</b>			<b>2.</b> \$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15 (Federal Resources), please estimate the amount.</i>			<b>3.</b>

**E. Local Resources Allocated**

1.	a.	Amount of unrestricted funds appropriated by local government	1a.	
	b.	Amount of restricted funds appropriated by local government	1b.	
	c.	Value of Contract Services	1c.	
	d.	Value of in-kind goods/services received from local government	1d.	
<b>2.</b>	<b>Total: Local Resources Allocated (autocalculated)</b>			<b>2.</b> \$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15 or 17 (Federal or State Resources), please estimate the amount.</i>			<b>3.</b>

**F. Private Sector Resources Allocated**

1.	a.	Funds from foundations, corporations, United Way, other nonprofits	1a.	
	b.	Other donated funds	1b.	
	c.	Value of other donated items, food, clothing, furniture, etc.	1c.	
	d.	Value of in-kind services received from businesses	1d.	
	e.	Payments by clients for services	1e.	
	f.	Payments by private entities for goods or services for low income clients or communities	1f.	
<b>2.</b>	<b>Total: Private Sector Resources Allocated (autocalculated)</b>			<b>2.</b> \$ -
<b>3.</b>	<i>If any of these resources were also reported under Item 15, 17, or 20 (Federal, State or Local Resources), please estimate the amount.</i>			<b>3.</b>

<b>G. Total Non-CSBG Resources Allocated: (Federal, State, Local &amp; Private) (autocalculated)</b>			G.	\$ -
<b>H. Total Resources in CSBG Eligible Entity (including CSBG) (autocalculated)</b>			H.	\$ -

Note : \* All totals are autocalculated



# **Module 3**

## **Community Level**

## Instructional Notes

### Module 3 - Community Level

#### Module 3, Section A: Community Initiative Status Form

CSBG Eligible Entities will complete the **Community Initiative Status Form** for the CSBG Eligible Entity identified initiatives intended to achieve community level outcomes. This form provides a central place to report valuable information about a single community initiative that started, continued, or ended during the current reporting period. The information reported on the status form will be selected via a dropdown menu or written as a narrative. In future reporting periods, CSBG Eligible Entities will update the status form based on the initiative's progress. Please see additional notes below:

**Problem Identification:** CSBG Eligible Entities will provide information on how the problem was identified in the Community Needs Assessment. This will include any data collected.

**Issue/CSBG Community Domains:** Select the domain(s) category(ies) that best describe the issue addressed by the initiative. A full list is provided in the Status Form.

**Ultimate Expected Outcomes:** Select the indicator(s) from the Community Level NPIs (full list is found in Section B) that measures the ultimate expected outcome of the initiative OR enter an "Other Outcome Indicator".

**Partnership Type:** Select the partnership type from the choices provided. For example, a multi-partner initiative includes the CSBG Eligible Entity and one or more partners.

#### Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form

To facilitate the reporting, use, and learning from Community NPIs the Annual Report provides two types of indicators (**Counts of Change** and **Rates of Change**). Based on the community-level work in which the CSBG Eligible Entity is engaged, select the appropriate NPIs in either section. All the NPIs are **optional** and a category of "other" exists for a CSBG Eligible Entity to create its own indicator if none of those provided captures what the CSBG Eligible Entity is trying to achieve.

The first way to report impact is the **Counts of Change** indicators. These are basic measures that provide the number of units being measured, e.g. jobs, houses, resources, etc. that have been added (created) or subtracted (eliminated), and in some cases maintained, in the community the CSBG Eligible Entity has targeted.

The second way to report impact is the **Rates of Change** indicators. While requiring a bit more information, these indicators tell the full story of the *magnitude of the impact* a community initiative (usually involving multiple organizations) has had in a community.

## Instructional Notes

### Module 3 - Community Level

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In the **Rates of Change** section, the measures call for reporting the “percent change”—the increase or decrease of something from one year to the next. Please see the examples below.

Example 1: If you are measuring a percent increase in shelter beds, you would provide the following information:

**II.) Baseline existing starting point used for comparisons (#):** Total Number of shelter beds (last year)

**III.) Target (#):** Targeted Number of shelter beds

**V.) Actual Results (#):** Actual number of shelter beds for the year

Example 2: If you are measuring a percent increase in the high school **graduation rate** in the identified community (in this case one school district), you would provide the following information:

**II.) Baseline existing starting point used for comparisons (#):** High School Graduation Rate (last year)

**III.) Target (#):** Targeted High School Graduation Rate

**V.) Actual Results (#):** Actual High School Graduation Rate (at the end of the initiative)

The calculation for a percent increase or decrease for the community NPI rates of change is auto calculated in column VI (actual percent change from baseline). The same logic applies when reporting a percent decrease.

Note, outcomes will only be reported once a community initiative has been reached or when progress has been made toward the ultimate expected outcome. If progress has not been made, there is a place to identify this in the Community Initiative Status Form.

Assistance with these types of calculations can either be obtained locally or from the national partners.

#### Module 3, Section C: Community Strategies List

CSBG Eligible Entities will use the Community Strategies field provided in the Community Initiative Status form to identify relevant strategies community level initiative. A complete listing of the Community Strategies is found in Section C. The Community Strategies List provides a basic identification of strategies, arranged by Domain and by topic area. The list cannot be all-inclusive, as such an “other” category is included. This standardized list will aid in local and state analysis of the relationship between community-level strategies and outcomes.

## Module 3, Section A: Community Initiative Status Form

Name of CSBG Eligible Entity Reporting:

	Use the dropdown menu to select the response where appropriate.
<b>1. Initiative Name</b>	
<b>2. Initiative Year</b>	1-7+ years
<b>3. Problem Identification</b>	Narrative (Provide a narrative on the scope of the problem)
<b>4. Goal/Agenda</b>	Narrative (Provide a narrative on the goal/agenda)
<b>5. Issue/CSBG Community Domains</b>	Employment; Education and Cognitive Development; Income, Infrastructure, and Asset Building; Housing; Health and Social/Behavioral Development; or Civic Engagement and Community Involvement
<b>6. Ultimate Expected Outcome</b>	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
<b>7. Identified Community</b>	Neighborhood, City, School District, County, Service Area, State, Region, or Other
<b>8. Expected Duration</b>	Narrative (Provide the range in years, e.g. 1-3 years)
<b>9. Partnership Type</b>	Independent CAA Initiative, CAA is the core organizer of multi-partner Initiative, or CAA is one of multiple active investors and partners
<b>10. Partners</b>	Narrative (Provide a narrative on the key 1-3 partners)
<b>11. Strategy(ies)</b>	Select from the Community Level Strategies listed in Section C
<b>12. Progress on Outcomes/Indicators</b>	No Outcomes to Report, Interim Outcomes, Final Outcomes
<b>13. Impact of Outcomes</b>	Narrative (Provide additional information on the scope of the impact of these outcomes. e.g. If an initiative created a health clinic, please describe how many individuals and families are expected to be impacted.)
<b>14. Outcomes/Indicators to Report</b>	Community Level National Performance Indicators (NPIs) (Reference the Community NPIs listed in Section B)
<b>15. Final Status</b>	Initiative Active, Initiative Ended Early, Initiative Ended as Planned, Completed Still Delivering Value
<b>16. Lessons Learned</b>	Narrative

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Employment Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Employment Indicators			I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)	
	1. Number of jobs <b>created</b> to increase opportunities for people with low incomes in the identified community.	Similar to CSBG IS, NPI 1.1 A - D						
	2. Number of job opportunities <b>maintained</b> in the identified community.							
	3. Number of "living wage" jobs <b>created</b> in the identified community*.							
	4. Number of "living wage" jobs <b>maintained</b> in the identified community*.							
	5. Number of jobs <b>created</b> in the identified community with a benefit package.							

\*When reporting on indicators related to living wage, agencies can provide their own definition or select from national or locally-defined models. Please indicate the living wage definition used in the General Comment box.

Other Counts of Change	Other Counts of Change for Employment Indicators - Please specify below.			I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

Rates of Change	Rates of Change for Employment Indicators			I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease of the <b>unemployment rate</b> .	NEW								
	2. Percent decrease of the <b>youth unemployment rate</b> .									
	3. Percent decrease of the <b>underemployment rate</b> .									

Other Rates of Change	Other Rates of Change for Employment Indicators - Please specify below.			I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change for Education and Cognitive Development Indicators		I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
Counts of Change	1. Number of accessible and affordable <u>early childhood or pre-school education</u> assets or resources added to the identified community.	Similar to CSBG IS, NPI 6.3 C-D			
	2. Number of accredited or licensed <u>affordable child care facilities</u> added in the identified community.		NEW		
	3. Number of new <u>Early Childhood Screenings</u> offered to <b>children</b> (ages 0-5) of families with low-incomes in the identified community.	Expands on CSBG IS, NPI 6.3.A			
	4. Number of accessible and affordable education assets or resources added for <u>school age children</u> in the identified community. (e.g., academic, enrichment activities, before/after school care, summer programs)		Expands on CSBG IS, NPI 2.1.G		
	5. Number of accessible and affordable <u>post secondary education</u> assets or resources added for newly graduating <b>youth</b> in the identified community. (e.g. college tuition, scholarships, vocational training, etc.)		Expands on CSBG IS, NPI 2.1.I		
	6. Number of accessible and affordable <u>basic or secondary education</u> assets or resources added for <b>adults</b> in the identified community. (e.g. literacy, ESL, ABE/GED, etc.)		Expands on CSBG IS, NPI 2.1.I		
Other Counts of Change	Other Counts of Change for Education and Cognitive Development Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Education and Cognitive Development Indicators**

Rates of Change	Rates of Change for Education and Cognitive Development Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent increase of <b>children</b> in the identified community who are <b>kindergarten ready</b> .							
	2. Percent increase of <b>children</b> in the identified community at (or above) the <b>basic reading level</b> .							
	3. Percent increase of <b>children</b> in the identified community at (or above) the <b>basic math level</b> .							
	4. Percent increase in high school (or high school equivalency) <b>graduation rate</b> in the identified community.							
	5. Percent increase of the rate of <b>youth</b> in the identified community who <b>attend post-secondary education</b> .							
	6. Percent increase of the rate of <b>youth</b> in the identified community who <b>graduate from post-secondary education</b> .							
	7. Percent increase of <b>adults</b> in the identified community who <b>attend post-secondary education</b> .							
	8. Percent increase of <b>adults</b> in the identified community who <b>graduate from post-secondary education</b> .							
	9. Percent increase in the <b>adult literacy rate</b> in the identified community .							

NEW

Other Rates of Change	Other Rates of Change for Education and Cognitive Development Indicators - Please specify below.	I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Infrastructure and Asset Building Indicators	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)	
	1. Number of <b>new</b> accessible assets/resources <b>created</b> in the identified community:					
	a. Commercial					
	b. Financial					
	c. Technological/ Communications (e.g. broadband)					
	d. Transportation					
	e. Recreational (e.g. parks, gardens, libraries)					
	f. Other Public Assets/Physical Improvements					
	2. Number of <b>existing</b> assets/resources <b>made accessible</b> to the identified community:					
	a. Commercial					
b. Financial						
c. Technological/ Communications (e.g. broadband)						
d. Transportation						
e. Recreational (e.g. parks, gardens, libraries)						
f. Other Public Assets/Physical Improvements						

Other Counts of Change	Other Counts of Change for Infrastructure and Asset Building Indicators - Please specify below.	I.) Identified Community (auto populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

Expands on CSBG IS, NPI 2.2 A - D



**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Infrastructure and Asset Building Indicators**

	<b>Rates of Change for Infrastructure and Asset Building Indicators</b>	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)
<b>Rates of Change</b>	1. Percent decrease of <u>abandoned or neglected buildings</u> in the identified community.							
	2. Percent decrease in <u>emergency response time</u> measured in minutes in the identified community. (EMT, Police, Fire, etc.).							
	3. Percent decrease of <u>predatory lenders and/or lending practices</u> in the identified community.					NEW		
	4. Percent decrease of <u>environmental threats</u> to households (toxic soil, radon, lead, air quality, quality of drinking water, etc.) in the identified community.							
	5. Percent increase of <u>transportation services</u> in the identified community.							
<b>Other Rates of Change</b>	<b>Other Rates of Change for Infrastructure and Asset Building Indicators</b> - Please specify below.	<b>I.) Identified Community</b> (auto-populated)	<b>II.) Baseline</b> existing starting point used for comparisons (#)	<b>III.) Target</b> (#)	<b>IV.) Expected % change from baseline</b> (Target % auto calculated)	<b>V.) Actual Results</b> (#)	<b>VI.) Actual % change from baseline</b> (% auto calculated)	<b>VII.) Performance target accuracy</b> (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Housing Indicators				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
	1. Number of safe and affordable housing units <b>developed in</b> the identified community (e.g. built or set aside units for people with low incomes).					Similar to CSBG IS, NPI 2.1.C					
	2. Number of safe and affordable housing units <b>maintained</b> and/or <b>improved</b> through WAP or other rehabilitation efforts in the identified community.					Similar to CSBG IS, NPI 2.1.D					
	3. Number of shelter beds <b>created</b> in the identified community.					NEW					
	4. Number of shelter beds <b>maintained</b> in the identified community.					NEW					
Other Counts of Change	Other Counts of Change for Housing Indicators- Please specify below.				I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)			
Rates of Change	Rates of Change for Housing Indicators				I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease in the <b>rate of homelessness</b> in the identified community.										
	2. Percent decrease in the <b>foreclosure rate</b> in the identified community.										
	3. Percent increase in the <b>rate of home ownership</b> of people with low incomes in the identified community.										
	4. Percent increase of <b>affordable housing</b> in the identified community.										
	5. Percent increase of <b>shelter beds</b> in the identified community.										
Other Rates of Change	Other Rates of Change for Housing Indicators - Please specify below.				I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Counts of Change	Counts of Change for Health and Social/Behavioral Indicators	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)
	1. Number of accessible and affordable <b>physical health</b> assets or resources created in the identified community.				
	2. Number of accessible and affordable <b>behavioral and mental health</b> assets or resources created in the identified community.				
	3. Number of <b>public safety</b> assets and resources created in the identified community.				
	4. Number of accessible and affordable healthy <b>food resources</b> created in the identified community.				
	5. Number of activities designed to <b>improve police and community relations</b> within the identified community.				

Greatly expands on CSBG IS, NPI 2.2 A - E

Other Counts of Change	Other Counts of Change for Health and Social/Behavioral Indicators- Please specify below.	I.) Identified Community (auto-populated)	II.) Target (#)	III.) Actual Results (#)	IV.) Performance target accuracy (% auto calculated)

Rates of Change	Rates of Change for Physical Health, Wellbeing, and Development Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
	1. Percent decrease in <b>infant mortality rate</b> in the identified community.							
	2. Percent decrease in <b>childhood obesity rate</b> in the identified community.							
	3. Percent decrease in <b>adult obesity rate</b> in the identified community.							
	4. Percent increase in <b>child immunization rate</b> in the identified community.							
	5. Percent decrease in <b>uninsured families</b> in the identified community.							

NEW

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Health and Social/Behavioral Indicators**

Rates of Change	Rates of Change for Behavioral and Mental health, Emotional Wellbeing, and Development Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
		1. Percent decrease in the <b>teen pregnancy rate</b> in the identified community.						
	2. Percent decrease in <b>unplanned pregnancies</b> in the identified community.							
	3. Percent decrease in <b>substance abuse rate</b> in the identified community.(e.g. cigarettes, prescription drugs, narcotics, alcohol).							
	4. Percent decrease in <b>domestic violence rate</b> in the identified community.							
	5. Percent decrease in the <b>child abuse rate</b> in the identified community.							
	6. Percent decrease in the <b>child neglect rate</b> in the identified community.							
	7. Percent decrease in the <b>elder abuse rate</b> in the identified community.							
	8. Percent decrease in the <b>elder neglect rate</b> in the identified community.							
Rates of Change	Rates of Change for Public Safety Indicators	I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
		1. Percent decrease in <b>recidivism rate</b> in the identified community.						
	2. Percent decrease in <b>non-violent crime rate</b> in the identified community.							
	3. Percent decrease in <b>violent crime rate</b> in the identified community.							
	4. Percent decrease in <b>teens involved with the juvenile court system</b> in the identified community.							
Other Rates of Change	Other Rates of Change for Health and Social/Behavioral Indicators - Please specify below.	I.) Identified Community (auto populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

NEW

NEW

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Rates of Change	Rates of Change for Civic Engagement and Community Involvement Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)	
	1. Percent increase of <b>donated time</b> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community.				Expands on CSBG IS, NPI 2.3 and 3.1				
	2. Percent increase of <b>donated resources</b> to support the CSBG Eligible Entity's delivery of services and/or implementation of strategies to address conditions of poverty in the identified community.				Expands on CSBG IS, Section F, 22 a-d				
	3. Percent increase of <b>people participating</b> in public hearings, policy forums, community planning, or other advisory boards related to the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community.				Expands on CSBG IS, NPI 3.2.A				

Other Rates of Change	Other Rates of Change for Civic Engagement and Community Involvement Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

General comments:

**Module 3, Section B: Community National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 3: People with low-incomes are engaged and active in building opportunities in communities.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Rates of Change	Rates of Change for Civic Engagement and Community Involvement Indicators	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)
		1. Percent increase of people with low incomes <u>who support</u> the CSBG Eligible Entity's delivery of service and/or implementation of strategies to address conditions of poverty in the identified community.						
	2. Percent increase of people with low incomes <u>who acquire and maintain leadership roles</u> with the CSBG Eligible Entity or other organizations within the identified community.							
Other Rates of Change	Other Rates of Change for Civic Engagement and Community Involvement Indicators - Please specify below.	I.) Identified Community (auto-populated)	II.) Baseline existing starting point used for comparisons (#)	III.) Target (#)	IV.) Expected % change from baseline (Target % auto calculated)	V.) Actual Results (#)	VI.) Actual % change from baseline (% auto calculated)	VII.) Performance target accuracy (% auto calculated)

Expands on CSBG IS, NPI 3.1.A

Expands on CSBG IS, NPI 3.2.A

General comments:

**Module 3, Section C: Community Strategies List**

Employment Strategies	
Minimum/Living Wage Campaign	
Job Creation/Employment Generation	
Job Fairs	
Earned Income Tax Credit (EITC) Promotion	
Commercial Space Development	
Employer Education	
Employment Policy Changes	
Employment Legislative Changes	
Other Employment Strategy: (please specify)	

Expands on NPIs 2.1.A and B, 2.2.A and NEW

Education and Cognitive Development Strategies	
Preschool for All Campaign	
Charter School Development	
After School Enrichment Activities Promotion	
Pre K-College/Community College Support	
Children’s Trust Fund Creation	
Scholarship Creation	
Child Tax Credit (CTC) Promotion	
Adoption Child Care Quality Rating	
Adult Education Establishment	
Education and Cognitive Development Policy Changes	
Education and Cognitive Development Legislative Changes	
Other Education and Cognitive Development Strategy: (please specify)	

Expands on NPIs 2.1.F, G, I, 2.2.A and NEW

Infrastructure and Asset Building Strategies	
Cultural Asset Creation	
Police/Community Relations Campaign	
Neighborhood Safety Watch Programs	
Anti-Predatory Lending Campaign	
Asset Building and Savings Promotion	
Develop/Build/Rehab Spaces	
Maintain or Host Income Tax Preparation Sites	
Community-Wide Data Collection Systems Development	
Local 211 or Resource/Referral System Development	
Water/Sewer System Development	
Community Financial Institution Creation	
Infrastructure Planning Coalition	
Park or Recreation Creation and Maintenance	
Rehabilitation/Weatherization of Housing Stock	
Community Center/Community Facility Establishment	
Asset Limit Barriers for Benefits Policy Changes	
Infrastructure and Asset Building Policy Changes	
Infrastructure and Asset Building Legislative Changes	
Other Infrastructure and Asset Building Strategy: (please specify)	

Expands on NPI 2.2 A-E and NEW

## Module 3, Section C: Community Strategies List

Housing Strategies
End Chronic Homelessness Campaign
New Affordable Single Unit Housing Creation
New Affordable Multi- Unit Housing Creation (Single Resident Occupancy (SRO), temporary housing, transitional housing)
Tenants' Rights Campaign
New Shelters Creation (including day shelters and domestic violence shelters)
Housing or Land Trust Creation
Building Codes Campaign
Housing Policy Changes
Housing Legislative Changes
Other Housing Strategy: (please specify)

Expands on NPI  
2.1 D-E, 2.2.A and  
NEW

Health and Social/Behavioral Development Strategies
Health Specific Campaign
Farmers Market or Community Garden Development
Grocery Store Development
Gun Safety/Control Campaign
Healthy Food Campaign
Nutrition Education Collaborative
Food Bank Development
Domestic Violence Court Development
Drug Court Development
Alternative Energy Source Development
Develop or Maintain a Health Clinic
Health and Social/Behavioral Development Policy Changes
Health and Social/Behavioral Development Legislative Changes
Other Health and Social/Behavioral Development Strategy: (please specify)

Expands on NPI  
2.1.E, 2.2 A-E and  
NEW

Community Support Strategies
Off-Hours (Non-Traditional Hours) Child Care Development
Transportation System Development
Transportation Services Coordination and Support
Community Support Policy Changes
Community Support Legislative Changes
Other Community Support Strategy: (please specify)

Expands on NPI  
2.1.H, 2.2.A and  
NEW

Emergency Management Strategies
State or Local Emergency Management Board Enhancement
Community wide Emergency Disaster Relief Service Creation
Disaster Preparation Planning
Emergency Management Policy Changes
Emergency Management Legislative Changes
Other Emergency Management Strategy: (please specify)

Expands on NPI  
2.2.C and NEW



### Module 3, Section C: Community Strategies List

Civic Engagement and Community Involvement Strategies- Goal 2	
Development of Health and Social Service Provider Partnerships	<div style="border: 1px solid red; padding: 5px; display: inline-block;">                     Expands on NPI 2.1.A, E and NEW                 </div>
Recruiting and Coordinating Community Volunteers	
Poverty Simulations	
Attract Capital Investments	
Build/Support Increased Equity	
Equity Awareness Campaign	
Coordinated Community-wide Needs Assessment	
Civic Engagement and Community Involvement in Advocacy Efforts	
Civic Engagement Policy Changes	
Civic Engagement Legislative Changes	
Other Civic Engagement and Community Involvement Strategy: (please specify)	

Civic Engagement and Community Involvement Strategies — Goal 3	
Empowerment of Individuals/Families with Low-Incomes	<div style="border: 1px solid red; padding: 5px; display: inline-block;">                     Expands on 2.1.A and NEW                 </div>
Campaign to Ensure Individuals with Low-Incomes are Represented on Local Governing Bodies	
Social Capital Building Campaign for Individuals/Families with Low-Incomes	
Campaign for Volunteer Placement and Coordination	
Civic Engagement Policy Changes	
Civic Engagement Legislative Changes	
Other Civic Engagement and Community Involvement Strategy: (please specify)	

# **Module 4**

## **Individual and Family Level**

## Instructional Notes

### Module 4 - Individual and Family Level

#### Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form

All Individual and Family NPIs are **optional** there is a category for "Other Outcome Indicator". CSBG Eligible Entities will only report an "Other Outcome Indicator" if the current NPIs do not capture the outcomes the CSBG Eligible Entity is trying to achieve. Sample language is provided in the "Other Outcome Indicator" data entry section and will be modified by the CSBG Eligible Entity as necessary.

Please see additional notes below:

#### For All Individual and Family Domains:

**Targeting:** Targets are set in the Community Action Plan and are identified through the planning phase of the CAA's ROMA (Results Oriented Management and Accountability) cycle. The following will be reported for every indicator:

Column I: Number of Participants Served

Column II: Target (number planned to achieve an outcome in the reporting period)

Column III: Actual Results (actual number of participants who achieved the outcome)

Please note, it is rare that 100% of the people served will achieve the proposed outcome.

#### Domain Specific Instructions:

##### Employment, Income and Asset Building, and Housing Domains

**Indicators tracking outcomes for 90 or 180 days:** CSBG Eligible Entities are **only** expected to report on indicators with retention time frames for programs that specifically include follow up. If the CSBG Eligible Entity does not conduct follow up activities as a part of their programs, outcomes for indicators with retention time frames **will not be reported**.

##### Employment Domain

**NPI 5-7:** When reporting on indicators related to **living wage**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the living wage definition used in the General Comments Section.

##### Income and Asset Building Domain

**NPI 1 and 2:** CSBG Eligible Entities are **only expected** to report on basic needs indicators as applicable to the CSBG Eligible Entity's programs. When reporting on indicators related to **basics needs**, CSBG Eligible Entities can provide their own definition or select from national or locally-defined models. Please identify the basic needs definition used in the General Comments Section.

**NPI 8:** This indicator requires agencies to keep an unduplicated count of people who report improved financial well-being based on responses to the CFPB Financial Well Being Scale (found in the link below)

<http://www.consumerfinance.gov/reports/financial-well-being-scale/>

## Instructional Notes

### Module 4 - Individual and Family Level

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#### Outcomes Across Multiple Domains:

The data from this indicator will help tell the story of how many lives were improved because of the CSBG Network. Reporting on this indicator requires CSBG Eligible Entities to keep an unduplicated count of individuals who achieved one or more outcomes reported in the NPIs.

#### Module 4, Section B: Individual and Family Services - Data Entry Form

CSBG Eligible Entities will report unduplicated counts of individuals receiving any of the services listed on the **Individual and Family Services form**. This standardized Individual and Family Services list will aid in analysis of the relationship between people, services, and outcomes.

#### Module 4, Section C: All Characteristics Report - Data Entry Form

The **All Characteristics Report** collects data on all individuals and households, whether or not funded directly by CSBG. This demographic information will strengthen the CSBG Annual Report by demonstrating who is being served by CSBG Eligible Entities.

To obtain unduplicated counts, a CSBG Eligible Entity will need to have a system that distinguishes the characteristics for each individual/household. While some individuals and households may be served by several programs within a reporting year and entered into multiple data systems (e.g. LIHEAP, WIC, etc.), they must be reported as unduplicated individuals (in row A) and unduplicated households (in row B) in this report. Please note, a single person is reported as an unduplicated individual and an unduplicated household.

We recognize that CSBG Eligible Entities have multiple data systems and may not be able to have an unduplicated count across several systems. If you are unable to collect any characteristics on unduplicated individuals or households due to data systems issues, include those individuals in row E and households in row F at the end of this report. Additionally, please indicate the programs in which these individuals and households were enrolled. The system will allow multiple programs to be added.

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Employment Indicators**

Name of CSBG Eligible Entity Reporting:

Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of unemployed <b>youth</b> who obtained employment to gain skills or income.					
2. The number of unemployed <b>adults</b> who obtained employment ( <u>up to a living wage</u> ).					
3. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <u>up to a living wage</u> ).					
4. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <u>up to a living wage</u> ).					
5. The number of unemployed <b>adults</b> who obtained employment ( <u>with a living wage or higher</u> ).					
6. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <u>with a living wage or higher</u> ).					
7. The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <u>with a living wage or higher</u> ).					

Expands on NPI 1.1.A, B, and D

Employment	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
8. The number of employed participants in a career-advancement related program who <u>entered or transitioned</u> into a position that provided increased income and/or benefits.					
a. Of the above, the number of employed participants who increased income from employment through <u>wage or salary amount increase</u> .					
b. Of the above, the number of employed participants who increased income from employment through <u>hours worked increase</u> .					
c. Of the above, the number of employed participants who <u>increased benefits</u> related to employment.					

Expands on NPI 1.1.C

Other Employment Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Education and Cognitive Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Education and Cognitive Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of <b>children</b> (0 to 5) who demonstrated improved emergent literacy skills.					
2. The number of <b>children</b> (0 to 5) who demonstrated skills for school readiness.					
3. The number of <b>children</b> and <b>youth</b> who demonstrated improved positive approaches toward learning, including improved attention skills. (auto total).					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
4. The number of <b>children</b> and <b>youth</b> who are achieving at basic grade level (academic, social, and other school success skills). (auto total)					
a. Early Childhood Education (ages 0-5)					
b. 1st grade-8th grade					
c. 9th grade-12th grade					
5. The number of <b>parents/caregivers</b> who improved their home environments.					
6. The number of <b>adults</b> who demonstrated improved basic education.					
7. The number of <b>individuals</b> who obtained a high school diploma and/or obtained an equivalency certificate or diploma.					
8. The number of <b>individuals</b> who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills.					
9. The number of <b>individuals</b> who obtained an Associate's degree.					
10. The number of <b>individuals</b> who obtained a Bachelor's degree.					

Expands on NPI 6.3.C, D and I

Expands NPI 6.3.J and K

Expands NPI 1.2.B and C

Other Education and Cognitive Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
11. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Income and Asset Building Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Income and Asset Building	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> .					
2. The number of individuals who achieved and maintained capacity to meet basic needs for <b>180 days</b> .					
3. The number of individuals who opened a <b>savings account or IDA</b> .					
4. The number of individuals who <b>increased their savings</b> .					
5. The number of individuals who used their savings to <b>purchase an asset</b> .					
a. Of the above, the number of individuals who <b>purchased a home</b> .					
6. The number of individuals who <b>improved their credit scores</b> .					
7. The number of individuals who <b>increased their net worth</b> .					
8. The number of individuals engaged with the Community Action Agency who report <b>improved financial well-being</b> .					

Other Income and Asset Building Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
9. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
1. The number of households experiencing homelessness who obtained <b>safe temporary shelter</b> .					
2. The number of households who obtained <b>safe and affordable housing</b> .					
3. The number of households who maintained safe and affordable housing for <b>90 days</b> .					
4. The number of households who maintained safe and affordable housing for <b>180 days</b> .					
5. The number of households who <b>avoided eviction</b> .					
6. The number of households who <b>avoided foreclosure</b> .					
7. The number of households who <b>experienced improved health and safety</b> due to improvements within their home (e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc).					
8. The number of households with <b>improved energy efficiency and/or energy burden reduction</b> in their homes.					

CSBG IS, NPI 6.2.E

Combines and Expands CSBG IS, NPI 1.2.H and 6.4.E

NEW

NEW

Other Housing Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
9. The number of individuals or households _____.					

Comments:



**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Health and Social/Behavioral Development Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/II = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
1. The number of individuals who demonstrated <b>increased nutrition skills</b> (e.g. cooking, shopping, and growing food).					
2. The number of individuals who demonstrated <b>improved physical health</b> and well-being.					
3. The number of individuals who demonstrated <b>improved mental and behavioral health and well-being</b> .					
4. The number of individuals who <b>improved skills</b> related to the adult role of parents/ caregivers.					
5. The number of parents/caregivers who <b>demonstrated increased sensitivity and responsiveness</b> in their interactions with their children.					
6. The number of <b>seniors (65+)</b> who maintained an independent living situation.					
7. The number of <b>individuals with disabilities</b> who maintained an independent living situation.					
8. The number of <b>individuals with chronic illness</b> who maintained an independent living situation.					
9. The number of individuals with <b>no recidivating event</b> for six months.					
a. Youth (ages 14-17)					
b. Adults (ages 18+)					

**NEW**

**Expands on CSBG IS NPI 6.3.J**

**NEW**

Other Health and Social/Behavioral Development Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V) (% auto calculated)
10. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Civic Engagement and Community Involvement Indicators**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of Community Action program participants who increased skills, knowledge, and abilities to enable them to work with Community Action to improve conditions in the community.					
a. Of the above, the number of Community Action program participants who <u>improved their leadership skills.</u>					
b. Of the above, the number of Community Action program participants who <u>improved their social networks.</u>					
c. Of the above, the number of Community Action program participants who gained other skills, knowledge and abilities to <u>enhance their ability to engage.</u>					

**NEW**

Other Civic Engagement and Community Involvement Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.					

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (NPIs) - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Outcomes Across Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Outcomes Across Multiple Domains	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
1. The number of individuals who achieved one or more outcomes as identified by the National Performance Indicators in various domains.		<b>NEW</b>			

Other Outcome Indicator	I.) Number of Participants Served in program(s) (#)	II.) Target (#)	III.) Actual Results (#)	IV.) Percentage Achieving Outcome [III/ I = IV ] (% auto calculated)	V.) Performance Target Accuracy (III/II = V] (% auto calculated)
2. The number of individuals or households _____.		<b>NEW</b>			

Comments:

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

**Employment Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Employment Services	Unduplicated Number of Individuals Served
<b>Skills Training and Opportunities for Experience</b>	
Vocational Training	
On-the-Job and other Work Experience	
Youth Summer Work Placements	
Apprenticeship/Internship	
Self-Employment Skills Training	
Job Readiness Training	
<b>Career Counseling</b>	
Workshops	
Coaching	
<b>Job Search</b>	
Coaching	
Resume Development	
Interview Skills Training	
Job Referrals	
Job Placements	
Pre-employment physicals, background checks, etc.	
<b>Post Employment Supports</b>	
Coaching	
Interactions with employers	
<b>Employment Supplies</b>	
Employment Supplies	

Expands on CSBG  
IS, NPI 1.2.A

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable  
and achieve economic security.**

**Education and Cognitive Development Services**

Name of CSBG Eligible Entity Reporting:

Education and Cognitive Development Services	Unduplicated Number of Individuals Served
<b>Child/Young Adult Education Programs</b>	
Early Head Start	
Head Start	
Other Early-Childhood (0-5 yr. old) Education	
K-12 Education	
K-12 Support Services	
Financial Literacy Education	
Literacy/English Language Education	
College-Readiness Preparation/Support	
Other Post Secondary Preparation	
Other Post Secondary Support	
<b>School Supplies</b>	
School Supplies	NEW
<b>Extra-curricular Programs</b>	
Before and After School Activities	
Summer Youth Recreational Activities	
Summer Education Programs	
Behavior Improvement Programs (attitude, self-esteem, Dress-for-Success, etc.)	
Mentoring	
Leadership Training	
<b>Adult Education Programs</b>	
Adult Literacy Classes	
English Language Classes	
Basic Education Classes	
High School Equivalency Classes	
Leadership Training	
Parenting Supports (may be a part of the early childhood programs identified above)	
Applied Technology Classes	
Post-Secondary Education Preparation	
Financial Literacy Education	
<b>Post-Secondary Education Supports</b>	
College applications, text books, computers, etc.	NEW
<b>Financial Aid Assistance</b>	
Scholarships	NEW
<b>Home Visits</b>	
Home Visits	NEW

NEW and Expands on CSBG IS, NPI 6.3 and 1.2

NEW

NEW and Expands on CSBG IS, NPI 1.2.D

NEW and Expands on CSBG IS, NPI 1.2 A-C

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Income and Asset Building Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Income and Asset Building Services	Unduplicated Number of Individuals Served
<b>Training and Counseling Services</b>	
Financial Capability Skills Training	
Financial Coaching/Counseling	
Financial Management Programs (including budgeting, credit management, credit repair, credit counseling, etc.)	NEW
First-time Homebuyer Counseling	
Foreclosure Prevention Counseling	
Small Business Start-Up and Development Counseling Sessions/Classes	
<b>Benefit Coordination and Advocacy</b>	
Child Support Payments	CSBG IS, NPI 1.3.B
Health Insurance	
Social Security/SSI Payments	
Veteran's Benefits	NEW
TANF Benefits	
SNAP Benefits	
<b>Asset Building</b>	
Saving Accounts/IDAs and other asset building accounts	CSBG IS, NPI 1.3.D
Other financial products (IRA accounts, MyRA, other retirement accounts, etc.)	NEW
VITA, EITC, or Other Tax Preparation programs	CSBG IS, NPI 1.3.A
<b>Loans And Grants</b>	
Micro-loans	
Business incubator/business development loans	NEW

**Module 4, Section B: Individual and Family Services - Data Entry Form**  
**Goal 1: Individuals and Families with low incomes are stable and achieve economic security.**  
**Housing Services**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Housing Services	Unduplicated Number of Individuals Served
<b>Housing Payment Assistance</b>	
Financial Capability Skill Training	NEW
Financial Coaching/Counseling	
Rent Payments (includes Emergency Rent Payments)	CSBG IS, NPI 6.2.C
Deposit Payments	NEW
Mortgage Payments (includes Emergency Mortgage Payments)	
<b>Eviction Prevention Services</b>	
Eviction Counseling	
Landlord/Tenant Mediations	NEW
Landlord/Tenant Rights Education	
<b>Utility Payment Assistance</b>	
Utility Payments (LIHEAP-includes Emergency Utility Payments)	Combines CSBG IS, NPI 1.2.J and K, 6.2.B and 6.4.G and I
Utility Deposits	
Utility Arrears Payments	
Level Billing Assistance	NEW
<b>Housing Placement/Rapid Re-housing</b>	
Temporary Housing Placement (includes Emergency Shelters)	
Transitional Housing Placements	NEW
Permanent Housing Placements	
Rental Counseling	
<b>Housing Maintenance &amp; Improvements</b>	
Home Repairs (e.g. structural, appliance, heating systems. etc.) (Including Emergency Home Repairs)	CSBG IS 6.2.D
<b>Weatherization Services</b>	
Independent-living Home Improvements (e.g. ramps, tub and shower grab bars, handicap accessible modifications, etc.)	Combines and Expands CSBG IS, NPI 1.2.K, 6.2.D and 6.4.H
Healthy Homes Services(e.g. reduction or elimination of lead, radon, carbon dioxide and/or fire hazards or electrical issues, etc.)	
Energy Efficiency Improvements (e.g. insulation, air sealing, furnace repair, etc.)	

**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development Services	Unduplicated Number of Individuals Served
<b>Health Services, Screening and Assessments</b>	
Immunizations	
Physicals	
Developmental Delay Screening	
Vision Screening	
Prescription Payments	Combinest and Expands NPI 1.2.G, 6.2.F, 6.3.A and 6.4.D
Doctor Visit Payments	
Maternal/Child Health	
Nursing Care Sessions	
In-Home Affordable Seniors/Disabled Care Sessions (Nursing, Chores, Personal Care Services)	
Health Insurance Options Counseling	
<b>Reproductive Health Services</b>	
Coaching Sessions	
Family Planning Classes	NEW
Contraceptives	
STI/HIV Prevention Counseling Sessions	
STI/HIV Screenings	
<b>Wellness Education</b>	
Wellness Classes (stress reduction, medication management, mindfulness, etc.)	NEW
Exercise/Fitness	
<b>Mental/Behavioral Health</b>	
Detoxification Sessions	
Substance Abuse Screenings	
Substance Abuse Counseling	
Mental Health Assessments	NEW
Mental Health Counseling	
Crisis Response/Call-In Responses	
Domestic Violence Programs	
<b>Support Groups</b>	
Substance Abuse Support Group Meetings	
Domestic Violence Support Group Meetings	NEW
Mental Health Support Group Meeting	



**Module 4, Section B: Individual and Family Services -  
Data Entry Form**

**Goal 1: Individuals and Families with low incomes are stable and  
achieve economic security.**

**Health and Social/Behavioral Development**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Health and Social/Behavioral Development Services (Cont'd.)	Unduplicated Number of Individuals Served
<b>Dental Services, Screenings and Exams</b>	
Adult Dental Screening/Exams	<div style="border: 1px solid red; padding: 5px; color: red;">                     Combines and Expands CSBG IS, NPI 1.2.G, 6.2.F, 6.3.A and 6.4.D                 </div>
Adult Dental Services (including Emergency Dental Procedures)	
Child Dental Screenings/Exams	
Child Dental Services (including Emergency Dental Procedures)	
<b>Nutrition and Food/Meals</b>	
Skills Classes (Gardening, Cooking, Nutrition)	<div style="border: 1px solid red; padding: 5px; color: red;">                     Combines and Expands CSBG IS, NPI 1.2.I, 6.2.A, 6.3.B and 6.4.F                 </div>
Community Gardening Activities	
Incentives (e.g. gift card for food preparation, rewards for participation, etc.)	
Prepared Meals	
Food Distribution (Food Bags/Boxes, Food Share Program, Bags of Groceries)	
<b>Family Skills Development</b>	
Family Mentoring Sessions	<div style="border: 1px solid red; padding: 5px; color: red;">                     NEW                 </div>
Life Skills Coaching Sessions	
Parenting Classes	
<b>Emergency Hygiene Assistance</b>	
Kits/boxes	<div style="border: 1px solid red; padding: 5px; color: red;">                     CSBG IS, NPI 6.3.J and K                 </div>
Hygiene Facility Utilizations (e.g. showers, toilets, sinks)	

**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Services Supporting Multiple Domains**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Services Supporting Multiple Domains	Unduplicated Number of Individuals Served
<b>Case Management</b>	
Case Management	
<b>Eligibility Determinations</b>	
Eligibility Determinations	
<b>Referrals</b>	
Referrals	
<b>Transportation Services</b>	
Transportation Services (e.g. bus passes, bus transport, support for auto purchase or repair; including emergency services)	
<b>Childcare</b>	
Child Care subsidies	NEW
Child Care payments	
<b>Eldercare</b>	
Day Centers	
<b>Identification Documents</b>	
Birth Certificate	
Social Security Card	
Driver's License	
<b>Re-Entry Services</b>	
Criminal Record Expungements	
<b>Immigration Support Services</b>	
Immigration Support Services (relocation, food, clothing)	
<b>Legal Assistance (includes emergency legal assistance)</b>	
Legal Assistance	CSBG IS, NPI 6.2.H
<b>Emergency Clothing Assistance</b>	
Emergency Clothing Assistance	CSBG IS, NPI 6.2.K
<b>Mediation/Customer Advocacy Interventions (debt forgiveness, negotiations or issues with landlords, coordinating with other services or government)</b>	
Mediation/Customer Advocacy Interventions	NEW

**Module 4, Section B: Individual and Family Services - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

**Civic Engagement and Community Involvement**

Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

Civic Engagement and Community Involvement Services	Unduplicated Number of Individuals Served
Voter Education and Access	
Leadership Training	
Tri-partite Board Membership	NEW
Citizenship Classes	
Getting Ahead Classes	
Volunteer Training	

**Module 4, Section C: All Characteristics Report - Data Entry Form**

**Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.**

Name of CSBG Eligible Entity Reporting:

A. Total unduplicated number of all INDIVIDUALS about whom one or more characteristics were obtained:

B. Total unduplicated number of all HOUSEHOLDS about whom one or more characteristics were obtained:

**C. INDIVIDUAL LEVEL CHARACTERISTICS**

1. Gender	Number of Individuals
a. Male	<input style="width: 50px;" type="text"/>
b. Female	<input style="width: 50px;" type="text"/>
c. Other	<input style="width: 50px;" type="text"/>
d. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

2. Age	Number of Individuals
a. 0-5	<input style="width: 50px;" type="text"/>
b. 6-13	<input style="width: 50px;" type="text"/>
c. 14-17	<input style="width: 50px;" type="text"/>
d. 18-24	<input style="width: 50px;" type="text"/>
e. 25-44	<input style="width: 50px;" type="text"/>
f. 45-54	<input style="width: 50px;" type="text"/>
g. 55-59	<input style="width: 50px;" type="text"/>
h. 60-64	<input style="width: 50px;" type="text"/>
i. 65-74	<input style="width: 50px;" type="text"/>
j. 75+	<input style="width: 50px;" type="text"/>
k. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

3. Education Levels	Number of Individuals	
	[ages 14-24]	[ages 25+]
a. Grades 0-8	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
b. Grades 9-12/Non-Graduate	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
c. High School Graduate/ Equivalency Diploma	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
d. 12 grade + Some Post-Secondary	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
e. 2 or 4 years College Graduate	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
f. Graduate of other post-secondary school	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
g. Unknown/not reported	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>	<b>0</b>

4. Disconnected Youth	Number of Individuals
a. Youth ages 14-24 who are neither working or in school	<input style="width: 50px;" type="text"/>

5. Health	Number of Individuals		
	Yes	No	Unknown
a. Disabling Condition	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
	Yes	No	Unknown
b. Health Insurance*	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>

\*If an individual reported that they had Health Insurance please identify the source of health insurance below.

**Health Insurance Sources**

i. Medicaid	<input style="width: 50px;" type="text"/>
ii. Medicare	<input style="width: 50px;" type="text"/>
iii. State Children's Health Insurance Program	<input style="width: 50px;" type="text"/>
iv. State Health Insurance for Adults	<input style="width: 50px;" type="text"/>
v. Military Health Care	<input style="width: 50px;" type="text"/>
vi. Direct-Purchase	<input style="width: 50px;" type="text"/>
vii. Employment Based	<input style="width: 50px;" type="text"/>
viii. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

6. Ethnicity/Race	Number of Individuals
<b>I. Ethnicity</b>	
a. Hispanic, Latino or Spanish Origins	<input style="width: 50px;" type="text"/>
b. Not Hispanic, Latino or Spanish Origins	<input style="width: 50px;" type="text"/>
c. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

<b>II. Race</b>	
a. American Indian or Alaska Native	<input style="width: 50px;" type="text"/>
b. Asian	<input style="width: 50px;" type="text"/>
c. Black or African American	<input style="width: 50px;" type="text"/>
d. Native Hawaiian and Other Pacific Islander	<input style="width: 50px;" type="text"/>
e. White	<input style="width: 50px;" type="text"/>
f. Other	<input style="width: 50px;" type="text"/>
g. Multi-race (two or more of the above)	<input style="width: 50px;" type="text"/>
h. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

7. Military Status	Number of Individuals
a. Veteran	<input style="width: 50px;" type="text"/>
b. Active Military	<input style="width: 50px;" type="text"/>
c. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

8. Work Status (Individuals 18+)	Number of Individuals
a. Employed Full-Time	<input style="width: 50px;" type="text"/>
b. Employed Part-Time	<input style="width: 50px;" type="text"/>
c. Migrant Seasonal Farm Worker	<input style="width: 50px;" type="text"/>
d. Unemployed (Short-Term, 6 months or less)	<input style="width: 50px;" type="text"/>
e. Unemployed (Long-Term, more than 6 months)	<input style="width: 50px;" type="text"/>
f. Unemployed (Not in Labor Force)	<input style="width: 50px;" type="text"/>
g. Retired	<input style="width: 50px;" type="text"/>
h. Unknown/not reported	<input style="width: 50px;" type="text"/>
<b>TOTAL (auto calculated)</b>	<b>0</b>

## Module 4, Section C: All Characteristics Report - Data Entry Form

### Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.

Name of CSBG Eligible Entity Reporting:

#### D. HOUSEHOLD LEVEL CHARACTERISTICS

9. Household Type	Number of Households
a. Single Person	
b. Two Adults NO Children	
c. Single Parent Female	
d. Single Parent Male	
e. Two Parent Household	
f. Non-related Adults with Children	
g. Multigenerational Household	
h. Other	
i. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

10. Household Size	Number of Households
a. Single Person	
b. Two	
c. Three	
d. Four	
e. Five	
f. Six or more	
g. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

11. Housing	Number of Households
a. Own	
b. Rent	
c. Other permanent housing	
d. Homeless	
e. Other	
f. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

12. Level of Household Income <small>(% of HHS Guideline)</small>	Number of Households
a. Up to 50%	
b. 51% to 75%	
c. 76% to 100%	
d. 101% to 125%	
e. 126% to 150%	
f. 151% to 175%	
g. 176% to 200%	
h. 201% to 250%	
i. 250% and over	
j. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

13. Sources of Household Income	Number of Households
a. Income from Employment Only	
b. Income from Employment and Other Income Source	
c. Income from Employment, Other Income Source, and Non-Cash Benefits	
d. Income from Employment and Non-Cash Benefits	
e. Other Income Source Only	
f. Other Income Source and Non-Cash Benefits	
g. No Income	
h. Non-Cash Benefits Only	
i. Unknown/not reported	
<b>TOTAL (auto calculated)</b>	<b>0</b>

*Below, please report the types of Other income and/or non-cash benefits received by the households who reported sources other than employment*

14. Other Income Source	Number of Households
a. TANF	
b. Supplemental Security Income (SSI)	
c. Social Security Disability Income (SSDI)	
d. VA Service-Connected Disability Compensation	
e. VA Non-Service Connected Disability Pension	
f. Private Disability Insurance	
g. Worker's Compensation	
h. Retirement Income from Social Security	
i. Pension	
j. Child Support	
k. Alimony or other Spousal Support	
l. Unemployment Insurance	
m. EITC	
n. Other	
o. Unknown/not reported	

15. Non-Cash Benefits	Number of Households
a. SNAP	
b. WIC	
c. LIHEAP	
d. Housing Choice Voucher	
e. Public Housing	
f. Permanent Supportive Housing	
g. HUD-VASH	
h. Childcare Voucher	
i. Affordable Care Act Subsidy	
j. Other	
k. Unknown/not reported	

**E. Number of Individuals Not Included in the Totals Above** *(due to data collection system integration barriers)*

1. Please list the unduplicated number of INDIVIDUALS served in each program\*:

Program Name	Number of Individuals

**F. Number of Households Not Included in the Totals Above** *(due to data collection system integration barriers)*

1. Please list the unduplicated number of HOUSEHOLDS served in each program\*:

Program Name	Number of Households

\*The system will add rows to allow reporting on multiple programs.



THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 203 hours per response for State CSBG Lead Agencies and 756 hours per response for eligible entities, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please send to: [infocollection@acf.hhs.gov](mailto:infocollection@acf.hhs.gov)



Division of Aging and Adult Services  
ALERT

SFY-18-L

**Draft CSBG and LIHEAP State Plans for Comment  
for SFY 2018**

Please ensure that all appropriate CAN staff is provided with this information.

**CSBG and LIHEAP State Plans**

The draft FFY 2018 CSBG State Plan Amendment Attachment #1 and the LIHEAP State Plan for FFY 2018 Attachment #4 are provided for Network review. The document format is not aligned accurately, as it was converted from a PDF document into a Word document. Some of the boxes and text are not in the correct spots.

Change matrices that outline the modifications made from last year's Plans are also included in Attachment #2 for CSBG, and Attachment #5 for LIHEAP.

The Division of Aging and Adult Services (DAAS) requests that the Network review the draft CSBG FFY 2018 State Plan Amendment and draft FFY 2018 LIHEAP State Plan, and provide a final group response on each matrix in the "Network's Comment" column no later than, April 28, 2017. DAAS anticipates posting the revised drafts of the FFY 2018 CSBG State Plan Amendment and the LIHEAP State Plan for FFY 2018, on the Department of Economic Security's Website for public inspection no later than May 15, 2017. The combined public hearing is expected to be held in late June, 2017, to allow a minimum of 30 days for public inspection of the State Plans prior to the hearing.

**For the CSBG State Plan, see also attached revised CSBG Funding Formula Attachment 3 and revised CSBG Organizational Standards Draft Policy, Attachment #1A**

The **Public Hearing** for both plans will convene as follows:

<b>Date/Time</b>	<b>Location</b>	<b>Topic</b>
Phoenix TBD Late June 2017 1:00 -3:00 pm	Room TBD - Executive Tower 1700 West Washington Street, Phoenix, AZ 85007	CSBG and LIHEAP State Plans

The **Legislative Hearing** for CSBG will be held in the following location and date:

<b>Date/Time</b>	<b>Location</b>	<b>Topic</b>
Phoenix TBD Early-Mid August 2017 Time: TBD	Room TBD – State Legislative Complex 1700 West Washington Street, Phoenix, AZ 85007	CSBG State Plans

Should you have any questions or require additional information, please contact Sabrina Freeman at 602-542-6620, [SFreeman@azdes.gov](mailto:SFreeman@azdes.gov) for LIHEAP and Diana Gravett, 602-542-6594, [DGravett@azdes.gov](mailto:DGravett@azdes.gov) for CSBG.



## Community Services Block Grant (CSBG) Model State Plan Federal Fiscal Years (FFYs) 2017-2018

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#### Attachments

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- [Attachment 2:](#) Change Matrix (Placeholder)
- [Attachment 3:](#) Allocations
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- [Attachment 4:](#) Sections 9 and 14 Service Delivery System and Program Narratives (overflow text)
- [Attachment 5:](#) Arizona Administrative Code Title 6, Chapter 13 (Regarding STCS)
- [Attachment 6:](#) Request for Application (RFA) Placeholder
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- [Attachment 11:](#) Network and Public Comments

## SECTION 1

### CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

**1.1.** Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

**1.1a.** Lead agency

*The Arizona Department of Economic Security (DES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of DES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting, and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Action Programs and Services (CAPS), referred to going forward as DAAS/CAPS. DAAS/CAPS contracts directly with Community Action Agencies (CAAs), one migrant organization, and the Arizona Community Action Association. Some of these agencies subcontract with other community agencies within their service delivery area. For example, in Maricopa County, there are CAAs in each of the major cities in the service area. CAAs are also referred to in this document as eligible entities.*

**1.1b.** Cabinet or administrative department of this lead agency

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe:

**1.1c.** Division, bureau, or office of the CSBG authorized official : *DES Division of Aging and Adult Services (DAAS), Community Services Administration (CSA)*

**1.1d.** Authorized official of the lead agency: *Henry Darwin, Interim Director, DES*

**1.1e.** Street address: *1789 West Jefferson St.*

**1.1f.** City: *Phoenix*

**1.1g.** State: *AZ*

**1.1h.** Zip: *85007*

**1.1i.** Telephone number and extension: *(602)542-5757*

**1.1j.** Fax number: *602-542-5339*

**1.1k.** Email address: [director@azdes.gov](mailto:director@azdes.gov)

**1.1l.** Lead agency website: <https://des.az.gov/>

**1.2.** Provide the following information in relation to the designated State CSBG point of contact.

**1.2a.** Agency name: *Arizona Department of Economic Security, Division of Aging and Adult Services, Community Services Administration*

**1.2b.** Name of the point of contact: *Tamberly Frazee, Arizona Department of Economic Security, Division of Aging and Adult Services*

**1.2c.** Street address: *1789 W. Jefferson St., Site Code 950A*

**1.2d.** City: *Phoenix*

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1.2e. State: AZ

1.2f. Zip 85007

1.2g. Point of contact telephone number: 602-542-2895

1.2h. Fax number: 602-542-6655

1.2i. Point of contact email address: *[tfraze@axdes.gov](mailto:tfraze@axdes.gov)*

1.2j. Point of contact agency website: *<https://des.az.gov/>*

1.3. **Designation Letter:** Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly:

► Attachment 1 – Designation of Authority [Attachments\Attachment 1 DELEGATION OF AUTHORITY GOVERNOR.pdf](#)

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**SECTION 2**  
**State Legislation and Regulation**

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG?  Yes  No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG?  Yes  No
- 2.3.** If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate
- 2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year?  Yes  No
- 2.4b.** Did the State establish or amend regulations for CSBG last year?  Yes  No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?  Yes  No

## SECTION 3

### State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency.

~~DES came under new administration in 2015 under newly elected Governor Douglas A. Ducey and the newly appointed Director of DES, Timothy Jeffries.~~

The Arizona Department of Economic Security (DES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of DES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting, and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Services Administration.

The agency mission statement was revised in Federal Fiscal Year (FFY) 2015 to read as follows: “The Arizona Department of Economic Security makes Arizona stronger by helping Arizonans reach their potential through temporary assistance for those in need, and care for the vulnerable.”

DES administers the Unemployment Insurance (UI), Workforce Innovation and Opportunity (WIOA) Act programs, and the Supplemental Nutrition Assistance (SNAP) programs. The Agency also provides child support enforcement services and comprehensive programs to assist persons with developmental disabilities. The Division of Aging and Adult Services (DAAS) administers the Community Action Program, the State Adult Protective Services program, Refugee Resettlement Program, ~~Independent Living Support Services (for seniors and persons with disabilities),~~ Aging and Disability Services, State Homeless Program, Low Income Home Energy Assistance (LIHEAP), **Hunger Prevention Programs** and Domestic Violence Programs.

~~DES Values:-~~

- ~~-Teamwork— We collaborate with humility, and partner with kindness~~
- ~~-Respect— We appreciate each other, and value those we serve~~
- ~~-Integrity— We never lie, cheat, steal, bully or harass— nor tolerate those who do~~
- ~~-Accountability— We commit to excellence, innovation and transparency~~
- ~~-Diversity— We respect all Arizonans, and honor those in need~~

~~DES Vision:-~~

- ~~-Opportunity, assistance and care for Arizonans in need~~

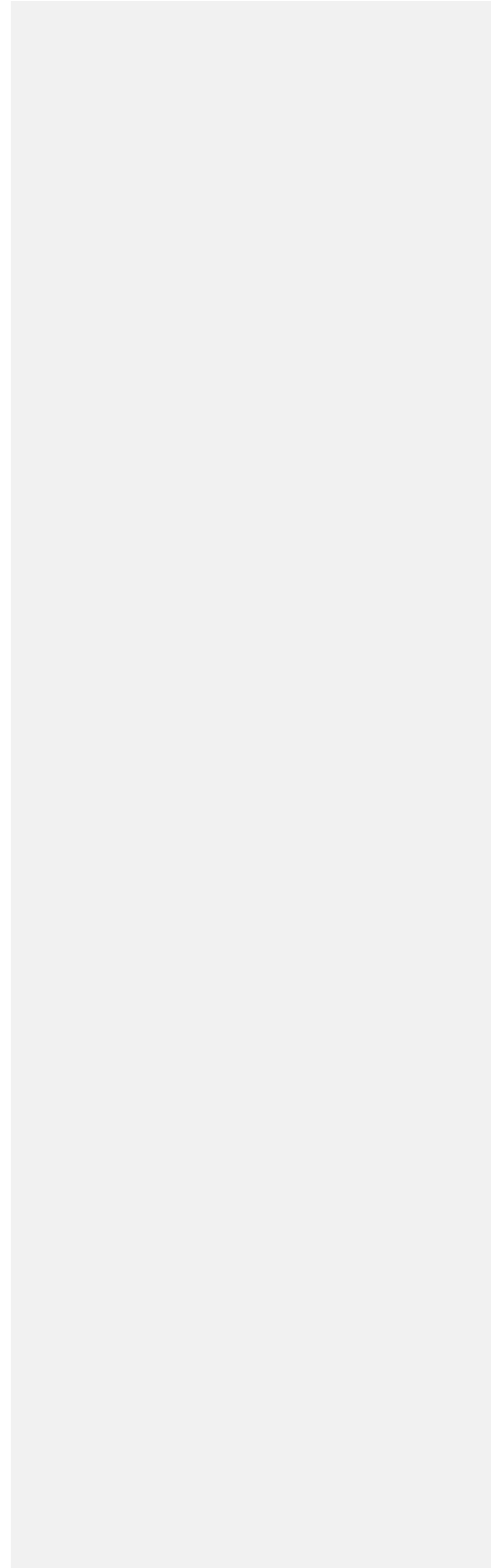
DES Goals:

- Serve Arizonans with integrity, humility, and kindness
- Support Arizonans to reach their potential through social services that train, rehabilitate, and connect them with job creators
- Provide temporary assistance to Arizonans in need while they work toward greater self-sufficiency
- Provide children with food, health care, and parental financial support; provide services to individuals

*with disabilities; and protect the vulnerable by investigating allegations of abuse, neglect, and exploitation.*

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**3.2. State Plan Goals:** Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

- (a) *DAAS/CAPS coordinates with the Arizona Community Action Association to provide training and technical assistance using State CSBG discretionary dollars, providing training and technical assistance to those entities in need of such assistance and such activities will not be considered administrative expenses;*
- (b) *coordinating state-operated programs and services targeted to low-income individuals, and families with children, and at the option of the State, locally operated programs, and services, targeted to low-income individuals and families with children, with services provided by eligible entities and other organizations funded under the CSBG Act, including out-posting appropriate state or local public employees into entities funded to ensure increased access to services provided by such state or local entities;*
- (c) *supporting statewide coordination and communication among eligible entities; a portion of CSBG discretionary funds will be targeted to support statewide coordination and communication among eligible entities on a yearly basis that will be accomplished through support of the Community Action Agencies and the Arizona Community Action Association;*
- (d) *analyzing the distribution of funds made available under the CSBG Act, to determine if such funds have been targeted to the areas of greatest need. The State utilizes a funding distribution formula that analyzes local rates of poverty and unemployment, accounts for rural factors and tribal populations, and makes an adjustment for a limited purpose entity that serves migrant and seasonal farmworkers. The State also uses a minimum funding variable in the distribution formula that allows entities with smaller populations to receive at least \$150,000;*
- (e) *supporting asset-building programs for low-income individuals, such as programs supporting Individual Development Accounts (IDAs);*
- (f) *supporting innovative programs and activities conducted by eligible entities or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization; and*
- (h) *supporting other activities, consistent with the purposes of the CSBG Act.*

***For this amendment: DAAS/CAPS, in response to Network input, and in coordination with the Network, will utilize SFY 2018 to further develop statewide goals for Community Action, and will rewrite this planning section for the FFYs 2019-2020 CSBG State Plan***

**3.3. State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

**3.3a.** Analysis of

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data



- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Other data (describe)
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities, e.g., State required reports (describe)

*Poverty and rural: current U.S. Decennial Census data available and updated annually using the ACS 5-year Survey. ~~Employment statistics obtained from current Local Area Unemployment Survey (LAUS). Program narratives, public hearing comments and solicited feedback from eligible entities.~~*

**For this amendment, the following revised funding factors and data sources for the CSBG funding distribution formula are as follows:**

[Attachment 3A FFY 2018 Funding Formula.docx](#) ► *In Attachment 3a, Funding Formula*

**Commented [DAAS1]:** Needs to be updated to align with current discussions and decisions.

**Commented [GDL2R1]:** The final disposition of the funding formula will be set forth in the attachment. That's what needs updating.

**3.3b. Consultation with**

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T & TA providers
- State partners and/or stakeholders (describe)
- National organizations (describe)
- Other (describe)

**3.4. Eligible Entity Involvement**

**3.4a.** Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

*DAAS/CAPS informed the Community Action Network (the Network) in February 2016 about the new Model State Plan format for FFYs 2017-2018. DAAS/CAPS circulated within the Network draft State Plan proposed changes in late March 2016, and requested comments in mid-April 2016. In response to the Network comments and subsequent discussion with the group, additional changes were made. See Attachment 2 CSBG St Plan Change Matrix 2017.*

**For this amendment:** *DAAS/CAPS distributed a matrix of proposed changes and updates for the FFY 2018 amendment to the Network in November 2016 and solicited input. A draft amendment for Network comment was distributed in February 2017, for comment. Following meetings and discussion, DAAS/CAPS published the draft amendment for public inspection to its website in May 2017, and conducted one public hearing in June [ ], 2017. DAAS/CAPS also conducted a legislative hearing in August, 2017.*

**3.4b. Performance Management Adjustment:** How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS,

and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail

*In SFY 2015, the development year of the FFY 2015-2016 State Plan, DAAS/CAPS scheduled three public hearings, two outside of the Phoenix metropolitan area, in response to feedback from the Network, indicating a desire for broader public availability to review and provide public testimony. Also in SFY 2015, DAAS/CAPS shortened its development time period to provide more time for public review of the State Plan draft document prior to public hearings. DAAS/CAPS has created a scheduled process for development of the two-year Plan that includes scheduled meetings with the Network and opportunities for comment and discussion prior to posting the State Plan draft for formal public review.*

***For this amendment, DAAS/CAPS has revised this two-year plan for FFY 2018. DAAS/CAPS has, in consultation with the Network, reviewed funding formula factors for CSBG, and sought input from the Network to update funding distribution, strengthen narrative sections, update and clarify monitoring activities and revise CSBG Organizational Standards implementation policy. In SFY 2017, DAAS/CAPS began discussions with the network earlier in the grant cycle, and offered additional time for input and inspection. Section 3.5 below was revised to reflect guidance from OCS and NASCSP regarding expectations for growth in this score.***

- 3.5. Eligible Entity Overall Satisfaction:** Provide the State's target for eligible entity Overall Satisfaction during the performance period: 67

## SECTION 4

### CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

*The FFYs 2017-2018 CSBG State Plan was made available for public inspection and comment via publication and the public hearing process in 2016. Paper copies of the State Plan are available upon request. The draft State Plan was posted on the DES website in June 2016. Oral and written testimony were solicited and accepted via the DES website and at public hearings from June 6, 2016 through July 11, 2016.*

**For this amendment:** For FFY 2018, the amended FFYs CSBG State Plan was posted on the DES website on May [ ], 2017

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

*FFYs 2017-2018 - DAAS/CAPS conducts multiple public hearings throughout the State in conjunction with the development of the biennial State Plan. DAAS/CAPS also conducts a single public hearing in Phoenix in the intervening years, to solicit public comment regarding amendments to the current Plan. DAAS/CAPS will post a public notice, via its website, of the hearing schedule at least 30 days prior to any public hearing(s). The Department conducted several public hearings in 2016 to ensure public inspection, facilitate review, and solicit comments regarding the FFY 2017-2018 CSBG State Plan, and to provide opportunities for the public in various parts of the State to offer comments without the necessity of traveling to Phoenix. The first public hearing was held in Phoenix on July 5, 2016; the second in Tucson (southern Arizona) on July 6 2016; and the third in Flagstaff (northern Arizona) on July 7, 2016. In the intervening year, 2017, DAAS/CAPS will conduct one public hearing in Phoenix in May or June, to ensure public inspection and review of amendments to the FFYs 2017-2018 CSBG State Plan. **For this amendment:** in the intervening plan year, 2017, DAAS/CAPS conducted one public hearing in Phoenix in June, to ensure public inspection and review of amendments to the FFYs 2017-2018 CSBG State Plan.*

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

*Legislative hearings are held once every three years in accordance with Section 676(a)(3) of the Act. The last legislative hearing was held on August 6, 2014. **For this amendment:** DAAS/CAPS held a legislative hearing on August [ ], 2017.*

Date	Location	Type of Hearing
August [ ], 2017	Arizona State House of Representatives Chamber, Arizona State Capitol, 1700 West Washington Street Phoenix, AZ 85007	<ul style="list-style-type: none"> <li>• Legislative</li> </ul>
July [ ], 2017	Arizona State Capitol, Executive Tower [TBD] Grand Canyon Room, 11:00 am, 1700 West Washington Street, Suite 200 Phoenix, AZ 85007	<ul style="list-style-type: none"> <li>• Public</li> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>
July 5, 2016	Arizona State Capitol, Executive Tower Grand Canyon Room, 11:00 am, 1700 West Washington Street, Suite 200 Phoenix, AZ 85007	<ul style="list-style-type: none"> <li>• Public</li> </ul>
July 6, 2016	Tucson, Arizona [address]	<ul style="list-style-type: none"> <li>• Public</li> </ul>
July 7, 2016	Flagstaff, Arizona [address]	<ul style="list-style-type: none"> <li>• Public</li> </ul>

Commented [GDL3]: OCS has requested we include full addresses for the location of hearings.

*ADD a ROW function Note: rows will be able to be added for each additional hearing*

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.

**For this amendment:** The last legislative hearing was held on August [ ], 2017. Public notice and public hearing documentation is attached.

► [ATTACHED 2017 PUBLIC HEARING NOTICE AND COMMENTS HERE]

[add link to hearing video when available]

End of Section 4

**SECTION 5**  
**CSBG Eligible Entities**

**5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

<b>CSBG Eligible Entity</b>	<b>Public or Nonprofit</b>	<b>Type of Entity (choose all that apply)</b>	<b>Geographical Area Served by county (Provide all counties)</b>	<b>Brief Description of "Other"</b>
<i>City of Glendale Community Action Program</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>City of Glendale (Maricopa County)</i>	
<i>City of Phoenix Human Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>City of Phoenix (Maricopa County)</i>	
<i>Coconino County Community Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Coconino County</i>	
<i>Community Action Human Resources Agency</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>Pinal County</i>	
<i>Gila County Community Action Agency</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Gila County</i>	
<i>Maricopa County Human Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Balance of Maricopa County</i>	
<i>Mesa Community Action Network</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>City of Mesa (Maricopa County)</i>	
<i>Northern Arizona Council of Governments</i>	<i>Public</i>	<i>Other</i>	<i>Yavapai, Navajo, and Apache Counties</i>	<i>Quasi-Governmental Agency/ Association of Governments</i>
<i>Pima County Community Action Agency</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Pima County</i>	
<i>Southeastern Arizona Community Action Program</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>Greenlee, Graham, Cochise, and Santa Cruz Counties</i>	

<i>Western Arizona Council of Governments</i>	<i>Public</i>	<i>Other</i>	<i>Mohave, Yuma and La Paz Counties</i>	<i>Quasi-Governmental Agency/ Association of Governments</i>
<i>Portable, Practical, Educational Preparation, Inc.*</i>	<i>Private</i>	<i>Migrant or Seasonal Farmworker Organization</i>	<i>Statewide</i>	<i>*With limited purpose</i>

**ADD A ROW function** Note: rows will be able to be added for each eligible entity funded in the State

5.2. Total number of CSBG eligible entities:   12  

5.3. **Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes.     Yes  No

**End of Section 5**

DRAFT

## SECTION 6

### Organizational Standards for Eligible Entities

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.
- The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
  - The State will use an alternative set of organizational standards
- 6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?  Yes  No
- 6.2a.** If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale. *N/A*
- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary.
- Regulation
  - Policy
  - Contracts with eligible entities
  - Other, describe: **[Narrative, 2500 Characters]**

**For this amendment:** Through discussion with the Network in SFY 2017, DAAS/CAPS agreed that a written policy clarification will need to be developed a policy to facilitate implementation and assess ongoing compliance with the Standards going forward. This item will be amended for FFY 2018 to reflect enhancements. DAAS/CAPS engaged a third party consultant to evaluate the State Office processes, and the assessments.

- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138?
- Peer-to-peer review (with validation by the State or State-authorized third party)
  - Self-assessment (with validation by the State or State-authorized third party)
  - Self-assessment/peer review with State risk analysis
  - State-authorized third party validation
  - Regular, on-site CSBG monitoring
  - Other

**6.4a.** Describe the assessment process.

► See attachment [-\[#\] DRAFT - Implementation of Standards -6.4.docx](#)

**Commented [DAAS4]:** We have a policy draft that we need to finish. We should work with Jutta on timing. With that policy, we should indicate here that a policy was developed?

**Commented [GDL5R4]:** We project items in the draft that are anticipated to be complete by the submission date, casting them in past tense, so yes. I'm also adding the bit about bringing in a consultant.

**Commented [DAAS6]:** Some comments on the policy are in document. Need to review as I wanted to focus on the plan in this review.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

Yes  No

*Standard 8.5: A non-profit eligible entity that is a smaller “agency within an agency” whose tripartite board does not have the authority to procure accounting services, and whose CSBG allocations do not exceed the minimum funding variable of \$150,000, will not be bound by the Standard requirement to have “solicited bids for its audit within the past 5 years.” See IM 138. At the discretion of the State, Standard 8.5, as written for public agencies, shall apply to such non-profit agencies. The State will require justification from agencies that take this position, and will approve such an exemption only if it is determined by the State that this activity is out of the purview of the agency Tripartite Board, and agency allocations do not exceed the funding allocation indicated above.*

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

*Portable Practical Education Preparation – Standard 8.5: Agency receives approximately \$100,000 in CSBG funding per SFY to support programs funded by over \$2,000,000 million in federal, local, and private funds. This agency has an annual budget of nearly \$24,000,000. The agency Tripartite Board operates under the authority of a larger governing board and only has authority over CSBG and other leveraged funds under its Community Action program. CSBG funds are not used to pay for the services of the agency’s accounting firm and the Board does not have the authority to approve the selection of an agency-wide auditor.*

6.6. **Performance Target:** What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year?

75%

- End of Section 6

**Commented [DAAS7]:** Is this just a place holder as I think we should be able to identify a percentage or is it 100%.

**Commented [GDL8R7]:** This measure is a topic of controversy nationally too, and may be revised. The current plan says 75%. Note: there is no space for narrative here.



**SECTION 7**  
**State Use of Funds**

**Eligible Entity Allocation (90 Percent Funds)** [Section 675C(a) of the CSBG Act]

**7.1 Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

**7.1a.** Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?  Yes  No

**7.2. Planned Allocation:** Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

► See Attachment 3A [Attachment 3A FFY 2018 Funding Formula.docx](#)  
For this amendment: **TBD**

<b>Planned CSBG 90 Percent Funds</b>				
<b>CSBG Eligible Entity</b>	<b>Year One</b>		<b>Year Two</b>	
	<b>Funding Amount</b>	<b>Funding Amount</b>	<b>Funding Amount</b>	<b>Funding Amount</b>
	\$	%	\$	%
<i>City of Glendale Community Action Program</i>		\$ 190,479		<b>TBD</b>
<i>City of Phoenix Human Services Department</i>		\$ 1,286,962		
<i>Coconino County Community Services Department</i>		\$ 150,000		
<i>Community Action Human Resources Agency</i>		\$ 272,403		
<i>Gila County Community Action Agency</i>		\$ 150,000		
<i>Maricopa County Human Services Department</i>		\$ 811,075		
<i>Mesa Community Action Network</i>		\$ 294,411		
<i>Northern Arizona Council of Governments</i>		\$ 235,376		
<i>Pima County Community Action Agency</i>		\$ 692,289		

Southeastern Arizona Community Action Program	\$ 208,297	
Western Arizona Council of Governments	\$ 471,007	
Portable, Practical, Educational Preparation, Inc.	\$ 97,190	\$ 97,190

<b>Total</b>	Totals will be auto-populated	Totals will be auto-populated
--------------	-------------------------------	-------------------------------

**7.3. Distribution Process:** Describe the specific steps in the State’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

*The State operates the Community Action Program on the State Fiscal Year (SFY), July 1st through June 30th. The State enters into five-year budget-based/cost reimbursement contracts with eligible entities. Upon notification from OCS of annual allocations allotment to states. ~~from OCS~~, DAAS/CAPS communicates estimated annual allocations to eligible entities for the upcoming SFY to eligible entities in ~~February, March or~~ no later than April prior to the beginning of the upcoming SFY. DAAS/CAPS calls these communications ALERTS. Following any subsequent federal allocation change, OCS Notices of Award, etc., dollars are announced each quarter as they occur. The award of carryover from the previous year is also announced in August of the current fiscal year. If contract dollar amounts are changed, DAAS/CAPS amends the contract to reflect funding changes.*

**For this Amendment:** This change of data source had a significant impact on the distribution of funding for CSBG and other federal funds. DAAS/CAPS held the eligible entities harmless from these distribution changes while a solution could be agreed upon. Responding to input from the Network, DAAS/CAPS, in consultation with a third party consultant, conducted research and negotiations with the Network in SFY 2017 to redesign the funding formula to ensure the fairest possible distribution of funds. Funding factors agreed upon by the Network and DAAS/CAPS will be implemented for SFY 2018 for the 90 percent of CSBG funds distributed to the eligible entities. See the attached document for the new funding formula.

► See [Attachment \[#\], Funding Distribution Formula](#) Attachment 3A FFY 2018 Funding Formula.docx

**7.4. Distribution Timeframe:** Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award?  Yes  No

**7.4a.** If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

**For this amendment:** The State operates on a State Fiscal Year. Funds allocated to eligible entities are made available for obligation on the first day of the State Fiscal Year. Funds are disbursed on a cost reimbursement basis. Eligible entities annually submit a proposed Itemized Service Budget (ISB) document, ~~for~~ detailing allowable expenditures for activities included in the agency’s CAP Plan. Eligible entities invoice the State on a monthly basis for these allowable expenditures under CSBG. Invoices are due on the

25th of each month. Larger public entities may be allowed to invoice semi-monthly upon DAAS/CAPS approval. Invoices must include backup documentation for expenditures billed. DAAS/CAPS is bound by contract with the eligible entities to make payments on approved invoices within 30 days.

Payments on invoices may be delayed temporarily pending the submission of past-due contract deliverables, such as Community Action Plan documents or required reports, or for incomplete documentation.

**7.5. Performance Management Adjustment:** How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

The State is currently participating in Government Transformation with a focus on implementing lean initiatives to dramatically shorten the time for developing Requests for Applications (RFAs). Once implemented, a shorter timeframe will benefit eligible entities by communicating contract changes sooner and reduce State administrative costs. In SFY 2016, DAAS/CAPS and the Network initiated a workgroup project to evaluate the funding distribution formula factors. In SFY 2017, DAAS/CAPS engaged a consultant to conduct research and report to the group best practices utilized by other states, and additional data sources that may be of use in an updated formula.

**Administrative Funds** [Section 675C(b)(2) of the CSBG Act]

**7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage: 5%

**7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? [8]

**7.8.** How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? [1,78]

**Commented [GDL9]:** This will be updated following completion of the annual report.

**Commented [GDL10]:** This phrase will be updated following the annual report.

**Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

**7.9.** Does the State have remainder/discretionary funds?  Yes  No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Use of Remainder/Discretionary Funds			
a. Training/technical assistance to eligible entities	\$ 100,000	\$ 100,000	[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs			[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.

Use of Remainder/Discretionary Funds					
c. Statewide coordination and communication among eligible entities	\$ 55,000	\$ 55,000			[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 Characters]
e. Asset-building programs					[Narrative, 2500 Characters]
f. Innovative programs/ activities by eligible entities or other neighborhood groups	\$ 88,820	\$ 88,820			Projects – Attachment 3, Allocations 2017. Special Projects funds that are unallocated may be utilized for emergencies and disasters during the plan year. Eligible entities that received Special Projects funds may make carryover requests for ongoing projects. Such requests will be approved at the discretion of the State. Unobligated funds will be carried over to the next grant year, and redistributed with the 90 percent funds allocated to eligible entities.
g. State Charity Tax Credits					
h. Other Activities	30,000	\$30,000			Emergencies See Attachment 3 Allocations 2017. Unobligated funds from the current plan year will be carried over to the next grant year, and redistributed with the 90 percent funds allocated to eligible entities.
<b>Totals</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<i>[\$ 273,820]</i>

► Attachment: Narrative regarding allocations [Attachment 3 Allocations 2018.docx](#)

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 Characters]**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 Characters]**
- None (the State will carry out activities directly)

7.11. **Performance Management Adjustment:** How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

*DAAS/CAPS will work with the Community Action Network to evaluate discretionary funding priorities in SFY 2017 and to develop a response for the FFY 2018 Amendment. See Attachment 3 Allocations 2018 for detail on CSBG Discretionary Funding activities.*

► [Attachment 3 Allocations 2018.docx](#)

End of Section 7 –

**SECTION 8**

**State Training and Technical Assistance**

8.1. Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of remainder/discretionary Funds.)

**For this amendment: TBD**

<b>Training and Technical Assistance</b>			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but

<b>Training and Technical Assistance</b>			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
			T/TA
FY1 - Q4	Training	ROMA	
38T	38T	38T	

<b>State Response Training and Technical Assistance <i>TBD</i></b>			
FY1 - Q1	Technical Assistance	Organizational Standards - General	
<b>FY1 - Q1</b>	<b>Technical Assistance</b>	<b>Strategic Planning</b>	
FY1 - Q2	Technical Assistance	Monitoring - General	
FY1 - Q2	Training	ROMA	
FY1 - Q2	Technical Assistance	Monitoring	
FY1 - Q3	Training	Governance/Tripartite Boards	
FY1 - Q2	Technical Assistance	Reporting	
<b>FY1 - Q4</b>	<b>Training</b>	<b>Strategic Planning</b>	
<b>FY2 - Q1</b>	<b>Training</b>	<b>ROMA</b>	<b>Evaluation</b>
<b>FY2 - Q1</b>	<b>Training</b>	<b>Governance/Tripartite Boards</b>	
<b>FY1 - Q1</b>	<b>Technical Assistance</b>	<b>Reporting</b>	
<b>FY1 - Q1</b>	<b>Technical Assistance</b>	<b>Other</b>	<b>State Policies</b>
<b>FY2 - Q2</b>	<b>Training</b>	<b>Other</b>	<b>State Policies</b>
<b>FY2 - Q2</b>	<b>Training</b>	<b>Organizational Standards - General</b>	
<b>Fy - Q1</b>	<b>Training</b>	<b>Other</b>	<b>Case Management</b>
<b>FY1 - Q4</b>	<b>Training</b>	<b>Monitoring</b>	
Choose an item.	Choose an item.	Choose an item.	

Comment:

DAAS/CAPS will work closely with the Arizona Community Action Association in consultation with the Network, to develop a training and technical assistance (T/TA) strategy that will outline the various T/TA activities to be conducted, including but not limited to, the following:

- Tripartite boards, such as new member orientation and low-income representative recruitment;
- ROMA training for agency staff and board members with respect to goal setting and evaluation of outcomes; and
- basics of preparing the annual CSBG Information System Survey/ and the new CSBG Annual Report as the new system and technical assistance becomes available;
- Training on ROMA Next Generation
- Organizational Standards
- Strategic Planning
- CAP Plans
- Bylaws

The State will investigate options in conjunction with the Network, to develop further training and technical assistance priorities for implementation in SFY 2018. This schedule will be adjusted based on the availability of agency staff, boards and trainers. In addition, DAAS/CAPS will do the following:

1. To summarize trends from the monitoring visits and assessments; and identify significant deficiencies common in the Network.
2. Provide TTA during visits or calls on documentation, especially regarding board action and board engagement; what documentation does the State require CAAs to have prepared for monitoring visits.

8.1a. The planned budget for the training and technical assistance plan (as indicated in the remainder/discretionary funds table in item 7.9): /\$100,000

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate?  Yes  No

**For This amendment:**

DAAS/CAPS will place formal TAPs in place for agencies with unmet organizational standards beginning in SFY 2018. For agencies with unmet standards, DAAS/CAPS will either provide training and technical assistance with its own forces or through the Arizona Community Action Association ~~which is provided CSBG discretionary funds for this purpose.~~ to facilitate agencies implementing and attaining compliance. DAAS will track unmet standards, needed documentation, time-bound objectives toward compliance via the DAAS Contracts Report of Findings (ROF) document. DAAS/CAPS will use this document to provide a summary of the State assessment. Standards that are unmet, or met but needing documentation, or currently implementing, will be listed as Recommendations, and summarized with requested actions and due dates. See Attachment 6.4. for additional details

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.)

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to

receive funds)

- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other

DAAS/CAPS will work closely with the Arizona Community Action Association in consultation with the Network, to develop a training and technical assistance (T/TA) strategy that will outline the various T/TA activities to be conducted including, but not limited to, the following:

- Tripartite boards, such as new member orientation and low-income representative recruitment;
- ROMA training for agency staff and board members with respect to goal setting and evaluation of outcomes; and
- basics of preparing the annual CSBG Information System Survey/ and the new CSBG Annual Report as the new system and technical assistance becomes available;
- Training on ROMA Next Generation

**8.4. Performance Management Adjustment:** How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

***For this amendment:** The State will investigate options in conjunction with the Network and the ACAA, to develop further training and technical assistance priorities for implementation in SFY 2018 and 2019. This schedule will be adjusted based on the availability of agency staff, boards and trainers. ~~The FFY 2018 amendment will reflect any changes.~~ DAAS/CAPS will also engage a consultant to assist in the implementation and evaluation of our processes and evaluate State assessments of compliance with CSBG Organizational Standards.*

Commented [GDL11]: Added some text here.

End of Section 8 –



## SECTION 9

### State Linkages and Communication

**9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed.

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

#### 9.2 - Revisit - bookmark

**9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

*Linkage programs may include family/individual counseling, transportation, programs for persons with disabilities and seniors, neighborhood activities, food and nutrition, information and referral, local needs assessments, community outreach summer recreation, and other miscellaneous projects involving formal and informal partnerships and organizational relationships in the community. DAAS/CAPS has initiated conversations with the State WIOA Office, which is housed in a separate division of DES, regarding enhancing coordination of workforce related activities at the State level. DAAS/CAPS seeks specifically to work with the WIOA State Office to share data to facilitate more robust outcome reporting. The newly implemented DES Office of Community Engagement is also conducting information sessions and coordination among agency divisions and private community organizations such as Valley of the Sun United Way to promote statewide communication and to develop linkages between and among the various State agency divisions and charitable organizations, including faith-based organizations in the community. The State CSBG program staff actively participate in this initiative. DAAS/CAPS will further develop narrative descriptions of these activities in the State Plan amendment for FFY 2018. For this Amendment: "DAAS/CAPS*

will continue its conversations with the State Offices of WIOA and Child Support Services in SFY 2018 to strengthen partnerships and collaborations with the CAAs. DAAS/CAPS will investigate opportunities to coordinate and/or exchange information with the State offices of Head Start (Education Department), Public Health, and Child Welfare. .”

DAAS/CAPS will further develop narrative descriptions of these activities in the State Plan for FFY 2019.

**Commented [DAAS12]:** Let's chat to see if we can strengthen this section as the WIOA work can be revisited, but I have also connected several CAAs with their local DCSS office. Maybe remove the OCE language.

**Commented [GDL13R12]:** See also, 9.4b.

### 9.3. Eligible Entity Linkages and Coordination

**9.3a State Assurance of Eligible Entity Linkages and Coordination:** Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

*Eligible entities are required to submit to DAAS/CAPS a Community Action Program Plan (CAP Plan) that must include a description of how they will establish and/or maintain linkages per Section 676(b)(5). Eligible entities develop linkages to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations. Some eligible entities develop linkages with local private organizations, such as financial institutions, to develop individual development account programs. Others contract with local non-profit agencies to provide specific services in their communities not offered by the eligible entity, such as food banks and job training programs. Some of these relationships are informal, others are subcontracted, and still others operate under Memorandums of Understanding (MOUs). See Attachment 6, Scope of Work and Attachments 14.1a and 14.1b, Section 14 Narrative Responses - CSBG Programmatic Assurances and Information Narrative.*

**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

*Eligible entities are required by contract to establish linkages to fill service gaps per Section 676(b)(3)(B). See attached examples provided by select eligible entities. DAAS/CAPS requires eligible entities to describe in detail, in their annual/biannual CAP Plans and in their five-year contract renewal RFA responses, how they will fulfill this assurance. See Attachment 6, Scope of Work 2016-2020.*

► [Attachment 5 Scope of Work 2016-2020 x.pdf](#)

**9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?  Yes  No

**9.4a** If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the

State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

- 9.4b.** If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

*Eligible entities are required by DAAS/CAPS to submit a CAP Plan in which a description of how WIOA coordination activities are conducted is included. DAAS/CAPS initiated coordination with the State WIOA office in SFY 2015. These efforts will continue in SFY 2017. Some agencies have the WIOA offices on their own premises, while others make referrals to the nearest WIOA office. DAAS/CAPS interviews eligible entity staff during monitoring site visits regarding the details of WIOA activities. Updates to this initiative will be included in the amended two-year Plan for FFY 2018.*

**[Not amended for FFY 2018.]**

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

*DAAS/CAPS coordinates with the Low Income Home Energy Assistance Program (LIHEAP) and the Temporary Assistance to Needy Families (TANF)-funded State Short-Term Crisis Services (STCS) program via the Community Action Program Services contracts with eligible entities. CAAs utilize CSBG funds to manage and deliver energy assistance programs, including emergency energy crisis services.*

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

*This assurance is required by the DAAS/CAPS Community Action Program Services contract. Eligible entities are required to describe in their CAP Plans and in their five-year RFA response how they will meet this assurance. State CSBG Program staff inquire at monitoring site visits regarding community coordination activities. Agencies document these efforts in annual narratives and on their annual CSBG IS reports.*

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe** how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act

DAAS/CAPS requires eligible entities to describe in detail in their annual/biannual CAP Plans and in their five-year contract RFA responses how they will fulfill this assurance. DAAS/CAPS contract scopes of work also include the delivery of LIHEAP utility assistance and the State authorized Short Term Crisis Services funded by TANF. Eligible entities report on these efforts in their Annual CSBG IS Report.

**9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

DAAS/CAPS conducts monthly meetings via teleconference and/or face-to-face meetings with the eligible entities and the Arizona Community Action Association, and provides funding to the Arizona Community Action Association for coordination activities.

**9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State’s plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan				
	Tonic	Expected Frequency	Format	Brief Description of "Other"
1	Alerts	Quarterly	Other	Website and email - Include contract, program, funding information and technical assistance
2	Face-to-Face Meetings	Quarterly	Meetings/Presentation	
3	Tele-Conferences	Other	Meetings/Presentation	Monthly except where a Face-to-Face Meeting is scheduled.
4	Public Hearings	Annually	Meetings/Presentation	
5	Legislative Hearings	Other	Meetings/Presentation	Every 3 years
6	General information regarding Community Action Programs and specific information regarding LIHEAP and TANF funded crisis services	Daily	Website	

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

DAAS/CAPS has initiated discussions with the Network in 2016 on State Accountability Measures. A more detailed narrative for this item is being developed in coordination with the Network for the FFY 2018 CSBG State Plan Amendment. Topics under consideration for DAAS/CAPS to provide regular communications for are: Annual Report (CSBG IS), written feedback and State community engagement activities.

**9.11. Performance Management Adjustment:** How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide

further detail.

*A Communication Plan is being developed in coordination with the Network. A narrative response to this item will be provided for the FFY 2018 CSBG State Plan Amendment. **For this Amendment: DAAS/CAPS will address a written communication plan in coordination with the Network in SFY 2019, as the State and the Network are at work on the priorities of implementing ROMA next generation and the CSBG Annual report, as well as improving a joint Training and Technical Assistance Plan.***

**End of Section 9**

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## SECTION 10

### Monitoring, Corrective Action, and Fiscal Controls

#### Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

10.1. Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State’s proposed monitoring schedule.

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Full onsite</li> <li>• Newly Designated</li> <li>• Follow-up</li> <li>• Other</li> <li>• No review</li> </ul>	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• FY1 Q1</li> <li>• FY1 Q2</li> <li>• FY1 Q3</li> <li>• FY1 Q4</li> <li>• FY2 Q1</li> <li>• FY2 Q2</li> <li>• FY2 Q3</li> <li>• FY2 Q4</li> </ul>	Select a date	If “Other” is selected in column 2, describe in this column

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PPEP	8/17
Pima County	9/17
Gila County	11/17
City of Phoenix	12/17
City of Glendale	1/18
Maricopa County	4/18
NACOG	5/18

**[For this amendment: DAAS/CAPS will update this section prior to posting the draft plan online for public inspection, and after the Network is informed of the SFY 2018-2019 monitoring schedule.]**

**10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

► **State Subrecipient Monitoring Policies**

See Attachment 8 subrecipient\_monitoring.pdf. This policy covers the fiscal portion of DES subrecipient contracts. DAAS/CAPS does not have a written monitoring policy regarding programmatic elements of CSBG. DAAS/CAPS follows CSBG Statute, the contract scope of work, and the CSBG Organizational Standards when monitoring eligible entities.

**10.3. Initial Monitoring Reports:** According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

30

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements** (Section 678C of the Act)

**10.4. Closing Findings:** Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above?  Yes  No **10.4a.** If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings.

Currently, DAAS/CAPS prepares a Corrective Improvement Plan (CIP) and tracks time-bound objectives toward the remedy of findings and deficiencies. For serious deficiencies, the State Office of Procurement may issue a demand for assurance letter to the eligible entity for findings related to fiscal and administrative terms and conditions of the DAAS/CAPS contract. DAAS/CAPS follows up with the agency to assure the completion of the CIP, making follow up visits if necessary and providing technical assistance. DAAS/CAPS is developing a TAP tool to be used to track technical assistance and efforts toward compliance where it is more appropriate for DAAS/CAPS to assist eligible entities in achieving compliance than it is to make findings. [Needs more work]

**10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans?

0

**10.6. Reporting of QIPs:** Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

DAAS/CAPS does not currently report eligible entities on QIPs to the Office of Community Services. As the CSBG Organizational Standards are still in the State approved assessment and implementation period until SFY 2018. Eligible entities that do not meet all applicable Standards according to the State Assessment in SFY 2017, will be assisted as needed to become compliant beginning in SFY 2018. DAAS/CAPS will implement TAPs in SFY 2018 for agencies needing assistance in their compliance efforts. DAAS/CAPS does not currently have any eligible entities on QIPs.

- 10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).”  Yes  No

**Note:** This response will link with the corresponding assurance under item 14.8.

#### **Policies on Eligible Entity Designation, De-designation, and Re-designation**

- 10.8.** Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?  Yes  No

**10.8a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

*Currently, DAAS/CAPS has placed a moratorium on the designation of new eligible entities and the division of service areas by the State or the Network. A new entity designation would only occur as a result of an existing entity being de-designated, either voluntarily or for cause. In this instance, DAAS/CAPS would initiate a public solicitation process in coordination with the State Office of Procurement within the unserved area. A public hearing is held in the unserved area to inform the community of the proposed designation. A public Request for Proposals is published via the State Office of Procurement website, [www.ProcureAZ.gov](http://www.ProcureAZ.gov). Local human service agencies may submit proposals for designation that contain all federal assurances under CSBG, and State assurances as required. An evaluation committee within DAAS/CAPS determines the best qualified agency to be designated based upon qualifications stated and completeness of response to required assurances in the RFP response. The agency selected then completes a Request for Applications (RFA) response package identical to the RFA completed by existing eligible entities every five years as mentioned 10.10a below. This RFA includes federal CSBG assurances, agency fiscal information, and a detailed Scope of Work that includes allowable and required activities under the Community Action Program Services contract. During the annual State public hearing process, the statewide public at large will be informed of the designation of a new entity. DAAS/CAPS will follow Public Law 105-285, Title II – Community Services Block Grant Act, Section 676A.*

- 10.9.** Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?  Yes  No

**10.9a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities.

*There is no State CSBG statute or regulation regarding the de-designation of eligible entities. DAAS/CAPS will follow Public Law 105-285, Title II – Community Services Block Grant Act, Section 678C, and the guidance provided in Information Memorandum No. 116, Corrective Action, Termination, or Reduction of Funding, in the event of the de-designation of an eligible entity.*

- 10.10.** Does the State CSBG statute and/or regulations specify a process the State CSBG agency must



follow to re-designate an existing eligible entity?  Yes  No

**10.10a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

#### **Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:** Describe how the State’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

*The State has established fiscal controls, procedures, audits, and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act. Arizona assures that fiscal control and fund accounting procedures established shall be sufficient to assure the proper disbursement of and accounting for federal funds paid to the State under this subtitle, including procedures for monitoring the assistance provided under this subtitle. Arizona assures the eligible entities and any other recipients of funds under this subtitle shall comply with the Office of Management and Budget cost and accounting principles. These assurances will be implemented by the State and/or through contract agreements with service providers. Each provider agreement will include requirements that the provider adhere to these areas as applicable to them.*

**10.12. Single Audit Management Decisions:** Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number.

*At least annually, each state, local government and American Indian Tribe or tribal organization that receives \$100,000 or more (during the fiscal year) in all types of federal financial assistance must conduct an audit in accordance with the Single Audit Act, Public Law 98-502. [31 U.S.C. 75 and OMB Circular A-128], ‘678D(a)(1) and ‘678D(a)(2)]*

*The State further assures that a copy of such audit shall be made available to the eligible entities, State Legislature and the Secretary of the U.S. Department of Health and Human Services.*

**10.13. Assurance on Federal Investigations:** Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?  Yes  No

**Note:** This response will link with the corresponding assurance, item 14.7

**10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide

further detail.

*DAAS/CAPS does not have plans to revise its monitoring processes for SFY 2017, except for the adoption of a tool for assessing compliance with the CSBG Organizational Standards that was developed in conjunction with the Network. Any adjustments following internal discussion and feedback from eligible entities will be described in the amendment for FFY 2018. Current monitoring includes the following for assessing the CAAs status in implementing the CSBG Organizational Standards. Beginning in SFY 2016 and continuing in SFY 2017, the State is conducting an informal assessment of each eligible entity using the same model. The informal assessment will be conducted in conjunction with the existing monitoring schedule. The intent of this assessment is to identify training and technical assistance needs. Agencies in need of technical assistance may request State assessment and technical assistance earlier than their scheduled monitoring dates. The ADES will provide appropriate technical assistance to support eligible entities in achieving compliance with the organizational standards. The State will require full compliance with the organizational standards, as may be amended, by SFY 2018, and will monitor each eligible entity in accordance with its regular monitoring schedule.*

*For this amendment: In SFY 2018, DAAS/CAPS anticipates all agencies will reach full compliance with the CSBG Organizational Standards or*

**End of Section 10**

## SECTION 11

### Eligible Entity Tripartite Board

**11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? **[Check all that applies and narrative where applicable]**

- Attend Board meetings
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other **[Narrative, 2500 Characters]**

**11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**

- Annually
- Semiannually
- Quarterly
- Monthly
- Other **[Narrative, 2500 Characters]**

**11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

*DAAS/CAPS will require that each eligible entity in the State establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization or low-income individuals to be inadequately represented on the board (or other mechanism) of the eligible entity can petition for adequate representation.*

**11.4.** Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act.  Yes  No

**11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

*Private non-profit eligible entities are required to seat a tripartite board as set forth in Section 676B(b)(1) of the Act. Public entities may follow the provision stated above from 676B(b)(2) of the CSBG Act. The DAAS/CAPS contract Scope of Work Section 9.3.2 for public eligible entities reads as follows: "Select members to serve on a Board in which one-third of the board members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-*

*income individuals and families. Select representatives to fill balance of seats as set forth in governing documents.” Currently, all public eligible entities voluntarily maintain tripartite boards per Section 676B(b)(1) of the Act.*

**End of Section 11**

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## SECTION 12

### Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:** What is the income eligibility threshold for services in the State?  
**[Check one item below.]**

- 125% of the HHS poverty line
- 150 % of the HHS poverty line (fill in the threshold): 150% **[insert up to a 3 digit percentage]**
- Varies by eligible entity

**12.1a.** Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 2500 Characters, or attachment]**

*Income eligibility statewide varies by program. DAAS/CAPS follows program rules and State laws for State and federally funded programs conducted under Community Action Program Services contracts. For CSBG funded crisis services, eligible entities may set the income eligibility threshold at 150 percent of the federal poverty level for households with one or more members that are seniors aged 60 and over, or persons with disabilities. Households that do not meet this criteria are income eligible at or below 125 percent of poverty. This is in keeping with State laws regarding assistance provided under the TANF funded Short-Term Crisis Services (STCS), as set forth in Title 6, Article 8 of the Arizona Administrative Code.*

*This uniform eligibility threshold maintains fairness for households without children that have one or more vulnerable members, but do not qualify for crisis services under STCS/TANF. Using a uniform threshold and criteria avoids confusion, offers flexibility for case managed clients, reduces the administrative burden on eligible entities and will reduce technical assistance requests to DAAS/CAPS. The income eligibility limit for LIHEAP energy assistance programs administered with CSBG dollars is 60 percent of the State Median Income (SMI), adjusted for household size; or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater for a given household. For SFY 2016 in Arizona, the FPG is greater for households with seven or more members.*

See Attachments 5 and 10 Income Thresholds

**12.2. Income Eligibility for General/Short Term Services:** For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

*All Eligible entities are required by contract and State laws verify program eligibility for CSBG supported services where required by program rules. Eligible entities target limited intake, general and short-term community based services such as: medical copay and prescription assistance, school supply, clothing and personal care product and emergency food assistance, to existing case managed client households. Eligible entities coordinate extensively with local partners in delivering these community based services to the households in the greatest need. CAAs may conduct or promote periodic mass events offering the services mentioned above by inviting program participants from their own and/or partners client lists who are known to have qualified for benefits. **For this amendment: Income eligibility for CSBG funded direct services will follow the rules for the service being provided. If CSBG funds are used to provide a service under the Short Term Crisis Services, the income eligibility requirements for that program will apply. Conversely, for utility assistance, the income eligibility requirements would follow those for LIHEAP. Eligible entities may consider income eligibility for TANF funded or LIHEAP funded programs to indicate categorical income eligibility for any CSBG funded service.***

**12.3. Community-Targeted Services:** For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

*Some eligible entities offer community targeted services within their own or partner facilities that are located in low-income neighborhoods and/or senior centers. For example, some eligible entities coordinate with local education institutions and refer existing case managed households to community based education services. Still others offer community based services themselves at their own facilities and make them available to client households and applicants. These services include financial services, community gardens, career centers, education, and income management. DAAS/CAPS documents these activities during monitoring visits and encourages eligible entities to submit program narratives annually to highlight these activities.*

**End of Section 12**

## SECTION 13

### Results Oriented Management and Accountability (ROMA) System

**13.1. ROMA Participation:** In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- An alternative system for measuring performance and results

**13.1a.** If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

*Participation and utilization of ROMA in program planning is required by DAAS/CAPS Community Action Program Services contracts. DAAS/CAPS utilizes guidance from federal partners and OCS IMs 49, and 82. See Community Action Program Services Scope of Work (SOW) sections 9.2.1 and 9.4.1*

► Attachment. SOW 2016-2020 [Attachment 5 Scope of Work 2016-2020 x.pdf](#)

**13.1b.** If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement.

**13.2.** Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

**13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

*DAAS/CAPS provides funds to the Arizona Community Action Association to provide ROMA training and offers technical assistance to individual eligible entities upon request, responding to questions and conducting research on the agency's behalf.*

**[Not Amended]**

**13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery?

*DAAS/CAPS program staff interview agency staff and Tripartite Board members, attend board meetings and review meeting minutes to ascertain the agency's use of ROMA NPIs to evaluate programs. Agencies*

demonstrate the use of data through formal decisions made in Board meetings relative to data collected in the previous program year.

**[Not Amended]**

### **Community Action Plans and Needs Assessments**

- 13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. [

*Submission of a Community Action Plan by the eligible entities is required by contract at least once every two years, and during the contract renewal period, as part of the eligible entity's application package. **For this Amendment: DAAS/CAPS has begun work with ACAA to develop a new model CAP Plan that should be completed during SFY 2018.***

***Put a calendar-Timelines here***

- 13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

*Submission of a Community Needs Assessment is required by contract at **least once every three years**. This period may be extended for eligible entities with an active assessment project under way during the year the assessment document is due. An extension may also be granted by DAAS/CAPS for agencies coordinating community assessments with other programs such as Head Start. Agencies requesting extensions must demonstrate that they are engaged in an active assessment project and provide a written methodology and timeline for completion.*

**End of Section 13**



**SECTION 14**  
**CSBG Programmatic Assurances and Information Narrative**  
**(Section 676(b) of the CSBG Act)**

**14.1 Use of Funds Supporting Local Activities**

**CSBG Services**

**14.1a. 676(b)(1)(A):** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
  - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
  - (ii) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
    - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
    - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

*DAAS/CAPS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes written Service and Administrative Methodologies that outline their proposed activities. These activities are required to align with the eligible entities' Community Needs Assessments and their contract scope of work. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds and meet the noted assurances. [not amended for 2018]*

### **Needs of Youth**

- 14.1b. 676(b)(1)(B)** Describe how the State will assure “that funds made available through grant or allotment will be used –
- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
    - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
    - (ii) after-school child care programs;

*DAAS/CAPS requires CSBG eligible entities to submit an annual Community Action Program Plan (CAP Plan). The CAP Plan includes a description that outlines proposed activities. DAAS/CAPS staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. DAAS/CAPS requires a referral to the DES Division of Child Support Enforcement Office for heads of households who are single/divorced custodial parents not currently receiving child support. In ongoing efforts to avoid duplication of services, DAAS/CAPS does not directly operate or support after school child care programs, as these are available through other programs in the communities served. Eligible entities are required by their contracts, to set forth in their written administrative and service methodologies, a description of how they will support these programs through coordination with community partners, federally funded programs, such as Head-Start, and referrals to local and private programs. For examples, see Attachment 14.1b - Needs of Youth. [Not amended for FFY 2018]*

► Attachment [Attachment 14.1b - Needs of Youth.doc](#)

### **Coordination of Other Programs**

- 14.1c. 676(b)(1)(C)** Describe how the State will assure “that funds made available through grant or allotment will be used –
- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

*DAAS CAPS requires CSBG eligible entities to submit an annual Community Action Program Plan (CAP Plan). The CAP Plan includes a description of its plans and ongoing efforts to coordinate programs in its service area. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds and coordination. At the State level, The State Human Services agency, DES, coordinates a variety of programs using State and federal resources including Supplemental Nutrition Assistance Program (SNAP), and Workforce Innovation and Opportunity Act (WIOA), Temporary Assistance for Needy Families (TANF) Medicaid, Department of Housing and Urban Development (HUD), Department of Labor (DOL) programs. DAAS/CAPS includes in its Community Action Programs and Services contracts with eligible entities, the Low-Income Home Energy Assistance Program (LIHEAP), Short-Term Crisis Services (STCS/TANF), and other State and county funds. Current DES agency-wide outreach efforts conducted by*

the Office of Community Engagement are working to coordinate the various State service departments with other local private, and faith-based organizations including, Community Action Agencies. DAAS/CAPS staff participate in the activities of this office. DAAS/CAPS also supports the State Association, the Arizona Community Action Association (ACAA), in its efforts to coordinate with the Community Action Network as a whole, to develop and maintain relationships with other State and local agencies, federal programs, and information and referral systems. . [Not amended for FFY 2018]

#### **State Use of Discretionary Funds**

- 14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

*Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10 [Not amended for FFY 2018]*

► Attachment [Attachment 3 Allocations 2018.docx](#)

#### **Eligible Entity Service Delivery, Coordination, and Innovation**

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

##### **Eligible Entity Service Delivery System**

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

*The Department requires CSBG eligible entities to submit an annual Community Action Program Plan (CAP Plan) and contract documents that include a description of the service delivery system, the county or counties served, the facilities where services are available, and information regarding how the eligible entity conducts outreach and delivers services in counties where service centers are not available. The CAP Plan also describes how the eligible entity coordinates funds with other organizations. The eleven CAAs in Arizona are contracted by DAAS/CAPS under their Community Action Programs and Services contract to provide services through the Low Income Home Energy Assistance Program (LIHEAP). DAAS/CAPS also contracts with the Arizona Department of Housing to provide Weatherization services in coordination with funding from the Department of Energy, which in turn subcontracts with nine eligible entities, and one additional sub-grantee, to offer Weatherization services. All eligible entities are required by contract to utilize CSBG funding in coordination with funding from Temporary Assistance for Needy Families (TANF), to deliver the State mandated emergency assistance program, Short Term Crisis Services (STCS). The State may award CSBG discretionary funds to support enhanced service methods, innovative special projects, and partnership initiatives. [Not amended for FFY 2018]*

##### **Eligible Entity Linkages – Approach to Filling Service Gaps**

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management,

and follow up consultations.”

*Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.*

**Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources**

**14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

*Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.*

**Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility**

**14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

*DAAS/CAPS requires CSBG eligible entities to submit an annual Community Action Program Plan (CAP Plan), in which the entities describe how CSBG funds will be used to meet the noted assurance.*

**Eligible Entity Emergency Food and Nutrition Services**

**14.4. 676(b)(4)** Describe how the State will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

*DAAS/CAPS requires CSBG eligible entities to submit an annual Community Action Program Plan (CAP Plan). As part of the CAP Plan, eligible entities must provide a description of how the eligible entity will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. Most CSBG eligible entities work with either a local food pantry, a food bank, or operate their own emergency food service in house, to provide food in these circumstances. Some eligible entities subcontract with local charities that provide emergency food as part of their suite of services. Some eligible entities also coordinate with the State Supplemental Nutrition Assistance Program (SNAP) to facilitate applications for State nutritional assistance. Under eligible entities' contracts with DAAS/CAPS, CSBG funds may be used to support emergency food program operations. If the cases of emergent need that cannot be met immediately through other programs, eligible entities may utilize CSBG funds to meet food emergencies by providing food cards to qualified low-income households. In the case of a local emergency or disaster in low-income neighborhoods, eligible entities may be authorized by DAAS/CAPS to utilize*

*CSBG discretionary funds to provide temporary shelter and/or emergency food to affected residents. [Not amended for FFY 2018]*

**State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

- 14.5. 676(b)(5)** Describe how the State will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

**Note:** The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

***State Coordination/Linkages and Low-income Home Energy***

***Assistance***

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

**Note:** *The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.*

**[No response; links to 9.2 and 9.5]**

***Federal Investigations***

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

**Note:** *the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13. [No response; links to 10.13]*

### ***Funding Reduction or Termination***

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

**Note:** the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7. **[No response; links to 10.7]**

### ***Coordination with Faith-based Organizations, Charitable Groups, Community Organizations***

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

**Note:** the State describes this assurance in the State Linkages and Communication section, item 9.6. **[No response; links to 9.6]**

### ***Eligible Entity Tripartite Board Representation***

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

**Note:** the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3. **[No response; links to item 11.3]**

### ***Eligible Entity Community Action Plans and Community Needs Assessments***

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

**[No response; links to items 13.5 and 13.6]**

**State and Eligible Entity Performance Measurement: ROMA or Alternate system**

**14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

**Note:** The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

**[No response; links to 13.1, 13.2, 13.3, and 13.4]**

**Validation for CSBG Eligible Entity Programmatic Narrative Sections**

**14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

**Note:** The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

**[No response for this item]**

By checking this box, the State CSBG authorized official is certifying the assurances set out above.

**- End of Section 14**

**SECTION 15**  
**Federal Certifications**

**The box after each certification must be checked by the State CSBG authorized official.**

**15.1 Lobbying**

***Certification for Contracts, Grants, Loans, and Cooperative Agreements***

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

***Statement for Loan Guarantees and Loan Insurance***

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title



31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- By checking this box, the State CSBG authorized official is providing the certification set out above.

## 15.2 Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

### ***Certification Regarding Drug-Free Workplace Requirements*** (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies. (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### ***Certification Regarding Drug-Free Workplace Requirements***

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about -
- (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 Characters]**

N/A

Check if there are workplaces on file that are not identified

here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the

conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant. [55 FR 21690, 21702, May 25, 1990]

By checking this box, the State CSBG authorized official is providing the certification set out above.

### 15.3 Debarment

#### ***CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS***

Certification Regarding Debarment, Suspension, and Other Responsibility Matters -

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9,

subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

***Certification Regarding Debarment, Suspension, and Other Responsibility Matters***

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

***Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions***

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared

ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

By checking this box, the State CSBG authorized official is providing the certification set out above.

#### **15.4 Environmental Tobacco Smoke**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

By checking this box, the State CSBG authorized official is providing the certification set out above.

**End of Document**



## DAAS/CAPS Policy Clarification

### CSBG Organizational Standards Implementation and Assessment Policy and Procedure

In cooperation with the Community Action Network, DAAS/CAPS has drafted a proposed policy and procedure to evaluate the State policy and process for assessing CAA's Compliance with Organizational Standards. See also Section 6.4a of the CSBG State Plan.

#### In SFYs 2017 and 2018

- a. DAAS/CAPS will perform desk reviews of all eligible entities to assess current compliance/implementation status and provide a summary of requirements and documentation needed to comply within 30 days of the review.
- b. Eligible entities scheduled for monitoring visits, DAAS/CAPS will discuss results of desk reviews with eligible entities at scheduled monitoring visits.
- c. All eligible entities are expected to be in compliance with the CSBG Organizational Standards by the end of SFY 2018.
- d. For agencies with unmet standards, technical assistance will be provided and tracked in the agreed upon Organizational Standards Assessment Tool. A summary of the unmet standards is provided in the Report of Findings document, as applicable.
  1. Review cycle per the Calendar of Required Actions once a standard is met.

#### In SFYs 2019 and going forward

- a. DAAS/CAPS will include formal assessment for compliance with Organizational Standards in the State On-site Monitoring Schedules beginning in SFY 2019.
- b. All eligible entities will be reviewed annually for compliance with the applicable CSBG Organizational Standards either by desk review, or a scheduled on-site monitoring visit.
  - i. To reduce administrative burden on DAAS/CAPS and eligible entities, following full implementation and/or compliance, standards without a prescribed a review cycle timeframe in the "Calendar of Scheduled Actions" listed as "Maintain" or "As Needed/More Frequently than Annually", will be reviewed annually only if associated with another regulatory, statutory, or contractual process that is an annual, or more frequent than annual. Otherwise, these will be assessed every two years at scheduled monitoring onsite visits. See Exhibit A.
- c. Standards listed in the Calendar of Required Actions to be reviewed at 3 or 5 year intervals, will be reviewed at the next onsite monitoring following the respective 3 or 5-year anniversary dates the last review.
- d. DAAS/CAPS will notify eligible entities of when desk reviews will, prior to making any requests for information.
- e. DAAS/CAPS will not request eligible entities to provide documents that are already on file. However, DAAS/CAPS will request references and/or citations that indicate specific dates or

sections of documents where evidence of compliance is to be found, such as specific dates of meeting minutes, links to online information, or identification of relevant section of bylaws or policies. Eligible entities are encouraged to conduct self-assessments annually and will be requested to conduct self-assessments in preparation for on-site monitoring using the agreed upon assessment tool.

- f. Formal and informal findings for Organizational Standards are as follows:
- i. The State CSBG Office will not make formal findings regarding Organizational Standards that are not;
    - a. existing State or federal statutory or regulatory requirements, or
    - b. State specified administrative or programmatic requirements in contract scope of work. The State CSBG Office will instead work with the agency to provide or secure on their behalf, any needed technical assistance to achieve compliance with any unmet Standards.
    - c. These items will be noted as a recommendation in the Report of Findings.
  - ii. When formal findings are noted DAAS/CAPS will indicate the item in the Report of Finding with a prescribed date for resolution.

NOTE: This policy applies only to the implementation and compliance with the CSBG Organizational Standards. All contractual, fiscal, programmatic, statutory, administrative and fiscal requirements that apply to DAAS/CAPS contracts will continue to be subject to findings and recommendations.

- iii. Existing programmatic, contractual or statutory requirements that may, or may not, intersect with Organizational Standards, for CSBG or other contracted programs, will still be subject to formal findings.

Exhibit list –

- A. **The Community Action Partnership Calendar of Required Actions**, a checklist created by the Community Action Partnership that divides the Organizational Standards by frequency of required actions (ongoing, annually, every 2 years, etc.).
- B. Summary of Requested documents (blank)

Corresponding Section New Model Plan	Proposed Plan Modifications – Detail and Remarks for upcoming FFY 2018 in bold text	CAP Network's 2017 historical comments and space for FFY 2018 remarks going forward	DES Response/changes and tracking of workgroup discussion
Form SF-424M – CSB Model Plan Template form OMB 0970-0382	<ul style="list-style-type: none"> <li>Proposed narrative or changes listed in this column, dated and annotated.</li> <li>Agreed upon changes will be transferred to the final matrix document.</li> <li>Historical narrative text (FFY 2017) is in small font.</li> <li>Items requiring updating for FFY 2018 are marked and highlighted as follows: <b>MUST UPDATE FOR FFY 2018</b></li> </ul>	<ul style="list-style-type: none"> <li>Comments provided in workgroup going forward will be listed here in <b>bold</b>.</li> <li>Historical Comments are in small font.</li> <li>New comments, remarks, suggestions and requested can be typed here in this column in the line associated with the appropriate section.</li> <li>Additional lines may be inserted at the bottom of this form for items not appearing here, that the Network would like to discuss at future</li> </ul>	The comments below in small font are from SFY 2017 and included for historical reference.
General	<p><b>FFY 2018: 11/7/16: All instances of the abbreviation "DAAS/CAPS", indicating the State CSBG work unit, in the document will be changed to "State CSBG Office". This change will be explained in a narrative in Section 1.</b></p> <p>DES will need to update its attached agency policy documents, as some of these may have changed during FFY 2016 and 2017. 2/2017: OCS instructions and comment boxes removed from draft to save space.</p>	FFY 2018:	
Section 1	11/7/16 - Changes in divisional structure will need to Stated here. <b>2/2017: Updated with administrative name changes FOR FFY 2018</b>		
Section 2 – State Legislation and Regulation	11/1/16 – This Section will not change. 2/14/17 Confirmed. No changes		
Section 3 - State Plan Development and Statewide Goals	3.1 and 3.2– Narrative text derived in part from existing language from the previous Plan, Section V. A. 1. Paragraph (a); and also from language paraphrased from the <a href="#">DES webpage</a> . Also under this section: 3.2, State Plan Goals, with language derived from the previous Plan Section V. C. Item 3.3a through 3.5 are new, and will likely be discussed at length with the Network. Revisions expected for the SFY 2018 amendment.	<p><b>FFY 2018:</b></p> <p><i>The Network would like the State to develop goals for Community Action statewide / at the state level. This may need to be deferred to the new plan that will be drafted in 2018.</i></p>	<p><i>This will be a topic for the 2019 Plan. Goals for Community Action should be drawn from needs assessment. Common areas of concern should be addressed by DAAS and the Network, as should local and State resources available, in order to develop statewide goals for Goals. The following verbiage added: <b>For this amendment: DAAS/CAPS, in response to Network input, and in coordination with the Network, will utilize SFY 2018 to further develop statewide goals for Community Action. That discussion will include</b></i></p>

	<p>Comment - 10/31/16: This section will need to be revised and strengthened for FFY 2018 in response to the Network feedback. Updated with programmatic changes for the division. <b>Some narrative text from the DES website was removed.</b></p>		<p><i>enhanced communication and technical assistance initiatives; broader area assessment strategies, robust data collection, sharing and analysis; coordination among statewide agencies and programs, and evaluation and improvement of state processes. DAAS/CAPS, will rewrite this planning section for the FFYs 2019-2020 CSBG State Plan. Programmatic changes include the addition and modification of programs administered by DAAS. Hunger Prevention and Independent Living program name change to Aging and Disability Services added.</i></p>
Section 3 – State Plan Development	<p><b>2/2017: 3.2: text added:</b> “For this amendment: DAAS/CAPS, in response to Network input, and in coordination with the Network, will utilize SFY 2018 to further develop statewide goals for Community Action, that discussion will include enhanced communication and technical assistance initiatives; broader area assessment strategies, robust data collection, sharing and analysis, and coordination among statewide agencies and programs and evaluation of state processes and DAAS/CAPS will rewrite this planning section for the FFYs 2019-2020 CSBG State Plan.”</p>	2018	
Section 3 – State Plan Development	<p><b>2/2017</b> The following added to 3.3b. “Other” checkbox checked to indicate consultation with a third party regarding the funding formula, and 3.4a was revised to add narrative to describe the process for revising the funding formula.</p>	2018	
Section 3 – State Plan Development	<p><b>2/2018: 3.4 - Text Added -</b> “For this amendment: DAAS/CAPS distributed a matrix of proposed changes and updates for the FFY 2018 amendment to the Network in November 2016 and solicited input. In SFY 2016 and 2017, DAAS/CAPS engaged a third party consultancy and facilitated a workgroup with the Arizona Community Action Agency (ACAA) and the Network to implement a new funding formula for CSBG, and other DAAS/CAPS administered programs. As a result, the funding formula was revised based using factors agreed upon by the Network DAAS/CAPS distributed a matrix of proposed changes and updates for the FFY 2018 amendment to the Network in November 2016 and solicited input. A draft amendment for Network comment was distributed in February 2017, for comment. Following meetings and discussion, DAAS/CAPS published the draft amendment for public inspection to its website in May 2017, and conducted one public hearing in June [ ], 2017. DAAS/CAPS also conducted a legislative hearing in August, 2017.”</p>	2018	
Section 3 – State Plan Development	<p><b>2/2017 3.4b</b> “For this amendment, DAAS/CAPS has revised this two-year plan for FFY 2018. DAAS/CAPS has, in consultation with the Network, reviewed funding formula</p>		

	factors for CSBG, and sought input from the Network to update funding distribution, strengthen narrative sections, update and clarify monitoring activities and revise CSBG Organizational Standards implementation policy. in SFY 2017, DAAS/CAPS began discussions with the network earlier in the grant cycle, and offered additional time for input and inspection. Section 3.5 below was revised to reflect guidance from OCS and NASCSP regarding expectations for growth in this score."		
Section 3 - State Plan Development and Statewide Goals	<p>FFY 2017 - 3.5 Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity. Overall Satisfaction during the performance period:</p> <p><b>10/31/16: This section will need to be revised and strengthened for FFY 2018. OCS has indicated in a recent training, that a goal of 10% improvement in ASCI scores is realistic. This goal should be adjusted to 67% from 75% for FFY 2018.</b></p>	<p>FFY 2017 - <i>The Network supports the goal of a 75% overall satisfaction rate; up from 56% currently. The Network also requests the inclusion of the survey results (both the overall score and the score in each of the 9 survey categories) in this document as they are now available. In addition, if appropriate, the Network would like DES to comment on addressing the State Accountability Measure as it relates to survey scores.</i></p> <p><b>FFY 2018:</b></p>	<p>FFY 2017 - DAAS/CAPS will develop narrative remarks for this State Accountability Measure for the FFY 2018 Amendment.</p> <p><i>There is no space for narrative remarks in Section 3.5 of the Model Plan. The Survey results are considered confidential and not public information, and will not be included with the OLDC submitted State Plan. However, for historical and Network coordination purposes, they are on record at the DAAS/CAPS office for review.</i></p> <p><b>DAAS/CAPS revised the 75% overall satisfaction goal to 67% following guidance from OCS suggesting states aim for a 10% improve in survey scores.</b></p>
Section 4 - CSBG Hearing Requirements	<p>Section III of the previous Model Plan is now contained in Section 4. See Subsections 4.1-4.3. Hearing dates updated, and next legislative hearing forecast.</p> <p><b>Comment -10/31/16: Hearing date(s) need to be scheduled. Also, a legislative hearing will need to be scheduled for summer 2017. The current means and methods for advertising upcoming public hearings may be discussed.</b></p>	<p>FFY 2017- <i>In conjunction with the designated CAP Agencies and the Arizona Community Action Association, there is a need to better advertise the State Plan Hearings to stakeholders and community partners.</i></p> <p><b>FFY 2018:</b></p>	<p>FFY 2017: <i>Dates updated. Response 1. Hearings are advertised per State Public Information Office guidelines, on the agency web page. Eligible entities and the Arizona Community Action Association may also advertise the public hearings. DAAS/CAPS suggest further discussion regarding additional means to advertise public hearings in the areas where hearings are held as part of the ongoing communications plan development. 7/11/16 – in response to the Network comment regarding better advertising for public hearings: DAAS/CAPS now advertises the CSBG public hearings via social media in addition to the DES webpage.</i></p>
Section 5 – CSBG Eligible Entities	11/1/16 - <b>This section will not change.</b>		
Section 6 - Organizational Standards for Eligible Entities	<p>6.3 – DAAS/CAPS will draft a written policy clarification document in SFY 2017 to clarify the timing at which all eligible entities will be expected to be in compliance with all Organizational Standards, and when "hard monitoring" for full compliance will begin" <b>FFY 2018: We will revisit this policy if needed. Any significant revisions should be done for FFY 2019</b></p> <p><b>2/2017 6.3 – Text added:</b> " For this amendment: Through discussion with the Network in SFY 2017, DAAS/CAPS</p>	<p><i>The Network expressed concern with the timing of all eligible entities reaching compliance status (see detailed comment below in section 6.4 on the next line).</i></p> <p><b>FFY 2018:</b></p> <p><i>The Network still has concerns about the timeline (full compliance by SFY 2018) since agencies recently monitored have not yet received notification of deficiencies and no TA plans have been developed. The Network would like to recommend changing the target date for full compliance to SFY 2019. The two-year monitoring</i></p>	<p><i>Policy clarification document in process. 7/11/16: Added a check to the box for "Policy" regarding organizational standards assessment, and the narrative edited to add detail to the description of the policy development process.</i></p>

	<p>agreed that a written policy clarification will need to be developed a policy to facilitate implementation and assess ongoing compliance with the Standards going forward. This item will be amended for FFY 2018 to reflect enhancements. DAAS/CAPS engaged a third party consultant in SFY 2017 to evaluate the State Office policies, processes, and the assessments of eligible entities.</p> <p><b>2/2017: See policy draft Attachment 6.4</b></p>	<p><i>requirement for DES will mean that some agencies monitored in 2015 will need to be monitored again in the fall of 2017, not allowing enough time to correct deficiencies, especially if TA is needed first. There was a plan that DES submitted to OCS, and the Network would request that DES/DAAS develop a process for moving forward, implement this plan and possibly make changes to the plan.</i></p>	
<p>Section 6 - Organizational Standards for Eligible Entities</p>	<p>6.4 - Organizational Standards for Eligible Entities See attachment 6.4a Narrative updated for FFY 2017.</p> <p><b>FFY 2018:</b></p>	<p><i>There is concern by the Network about the adoption of the Organizational Standards through contracts with eligible entities. The process that DES has laid out is that in FY16 half of the agencies will be monitored/assessed and the additional half will be monitored/assessed in FY 17. This monitoring/assessment will result in recommendations but no findings. Agencies will be expected to address deficiencies in order to come into full compliance in FY18. If this process is held to, there is significant concern about how DAAS can contractually require all agencies to be in compliance with the Organizational Standards. If for example, an agency is monitored/assessed in FY17 and there is an Organizational Standard that they are not meeting and they plan to come into compliance by FY18 through training and technical assistance are they out of contract compliance? Clarity is needed on this issue and it is the recommendation of the Network that a policy is issued for FY17. It is requested that this policy comprehensively outline a uniform process that will be utilized to determine whether agencies are meeting the Organizational Standards. There is request for clarification on how the state of third party has or will validate the results of the self-assessments.</i></p> <p><b>FFY 2018:</b></p> <p><i>Regarding comments in the change matrix, the Network feels more clarity is needed. How will agencies that were monitored be notified of deficiencies? How and when will a plan with timeline be developed to address deficiencies? The DES response in the change matrix (third column) says "in SFY 17 and 18, entities found not in compliance will placed on a Technical Assistance Plan" – this has not happened. This will make it hard for agencies to achieve compliance.</i></p> <p><i>The Network reviewed the draft policy on monitoring and is requesting an updated version. The text that was shared still lists a separate TAP tool. The Network also had the following questions: Can a desk review result in findings?</i></p>	<p><i>Policy clarification is being drafted and will be released in July 2016. Will remove language from OLDC document, and include instead in Attachment 6.4a. The revised text is too long for character limits in the Online Data Collection System (OLDC). DAAS/CAPS do not have plans to utilize third party assessment at this time. 7/11/16: Added a check to the box for "Other" regarding organizational standards assessment, to indicate the bi-annual desk review that will take place between onsite monitoring visits. Attachment 6.4 will constitute a draft policy clarification following discussion with the Network in late July, 2016. DAAS/CAPS will complete initial State assessments in SFY 2017. Eligible entities will be required to be in full compliance by SFY 2018, as stated in the FFYs 2017-2018 Plan. Beginning in SFY 2017, eligible entities will be assessed via desk review in the year following an onsite monitoring visit. In SFY's 2017 and 2018, eligible entities found not in compliance with the organizational standards will be placed on a Technical Assistance Plan. DAAS/CAPS will begin formal monitoring for compliance with the organizational standards for SFY 2018, in SFY 2019.</i></p> <p><i>FORFFY 2018 – Policy</i></p>

		<i>Has the final monitoring tool been identified and/or have there been changes to the tool? The draft policy states there will not be findings but then goes in to define findings. It needs to be clarified what can result in a finding (vs. a deficiency) and starting when.</i>	
Section 6 - Organizational Standards for Eligible Entities	11/1/16 - This item may change in the OLDC system. We should revisit after the 1 <sup>st</sup> of the year.	<p>FFY 2017 - Network Comments – Section 6.6  <i>Similar to the comment outlined above, the Network is concerned about the inclusion in this State Plan that 100% of agencies will meet ALL Organizational Standards when they are still in the process of being monitored/assessed for full compliance. This might be a reasonable expectation for FY 18 but currently seems out of alignment with the process being followed.</i></p> <p><b>FFY 2018</b>  <i>[this item may still require input from the Network]</i></p>	<p>FFY 2017 - 7/25/16- this amount was changed to 75% as the OLDC system would not accept/validate 0% in the field. This line item is under consideration by OMB as part of the Annual Report draft documents. Among members of the national Network, this item is a point of controversy. DAAS/CAPS will coordinate with the Network in SFY 2017 to come to agreement on the percentage to be listed here, after the OMB clearance process is completed and it is known if this line item is to be maintained or revised. DAAS/CAPS informed the Arizona Community Action Network of this issue and solicited comment. No comments were provided. This may be updated in the development year for SFY 2019.</p>
Section 7 - State Use of Funds	<p>7.1 indicates the funding formula type by a multiple choice checkbox. The current funding formula description is included in a separate document, Attachment 3A, Funding Formula, drawn from the previous Plan and data source updates, DES has previously provided OCS with this information in the CSBG IS Report. Item 7.2 indicates planned allocations to eligible entities for FFYs 2017 and 2018. Attachment 3 is a copy of the CSBG March Alert indicating DES communication of planned allocations for SFY 2017 to the Community Action Network. The totals auto populate. 7.3-7.4 describe the distribution process and timeframe. This is new text, not included in previous plans. Item 7.5 asks the State to describe any improvements It made to the grant and/or contract administration process from previous State Plans that were the result of feedback from the Community Action Network (CAN), OCS, etc. DES gives a brief description of the Government Transformation and lean initiative project underway. Going forward, this item will prompt DES to obtain feedback from the above mentioned sources and determine if performance management adjustments are necessary.</p> <p>2/2017 – <b>Funding formula revised.</b> See attachment.</p> <p>11/1/16 – Per the last paragraph, this item will be discussed in workgroup for FFY 2018. <b>MAY UPDATE FOR FFY 2018 PENDING FUNDING FORMULA DISCUSSION (LIKELY)</b></p>	<p><b>FFY 2018:</b></p>	<p>To be updated</p>
Section 7 - State Use of Funds	7.2. Allocations updated using March 2016 Alert numbers. No other changes. Source: FFYs 2015-2016 CSBG State Plan Amended, FFYs 2015-2016, Section V.3.	<p><b>FFY 2018:</b></p>	<p>To be updated</p>

	<p>FFY 2018: <b>MUST UPDATE FOR FFY 2018</b>. This item will be updated with initial allocation numbers typically announced in the March Alert. If the funding formula changes prior to determining FFY 2018 allocations, will convey these changes in this attachment.                  2/2017: Will update – numbers pending.</p>		
Section 7 - State Use of Funds	<p>7.3. Narrative updated for FFY 2017. See Attachment 3, FFY 2017 Funding Formula. Information derived from the FFY 2016 State Plan Amendment document, Section V. B. Note: The source for the unemployment factor has been changed from the Arizona Department of Administration Unemployment Statistics Program Special Unemployment Report to the most recent annual Local Area Unemployment Survey (LAUS). Text tweaked for format compatible with OLDC.</p> <p>FFY 2018:</p>	<p>FFY 2017 - 7/7/16: Public Hearing: Coconino County Community Services Department – “With all the economic background provided at the beginning of our comments, Coconino County is very grateful that the Arizona Department of Security is undertaking a thorough evaluation of the current funding distribution formula, that which is described in Attachment 3A, and in Section 7 of the Plan . We strongly recommend that the Cost of Living Index become a part of further funding formulas.</p> <p>FFY 2018</p>	<p>7/20/16: DAAS/CAPS acknowledges the comments and will indicate in the State Plan under Section 7.5 - Performance Management Adjustment, the following: “In SFY 2016, DAAS/CAPS and the Network initiated a workgroup project to evaluate the funding distribution formula factors. In SFY 2017, DAAS/CAPS engaged a consultant to conduct research and report to the group best practices utilized by other states, and additional data sources that may be of use in an updated formula. DAAS/CAPS will provide an update to the funding formula discussion in the amendment for FFY 2018.”</p>
Section 7 – State Use of Funds 7.4 and 7.4	<p>7.3-7.4 – Distribution processes and timeframe. See new narrative text added. Item 7.5: “Performance management adjustment:” asks DES to describe any changes/improvements made to “grant and/or contract administration procedures” from previous Plans. New narrative added. No corresponding item in previous Model Plans.                  2/2017:                  11/1/16: 7.4 <b>SHOULD UPDATE FOR FFY 2018</b>. Availability of funds: NEW verbiage proposed in FFY 2018. OCS accepted the current verbiage, but noted with remarks the description of the availability of funds. In light of the fact OCS found this language unclear, CSBG Program suggests revising this verbiage for clarity. The following is OCS’s remark: “7.4 State operates on a July-June FY and an invoice reimbursement system so funds are not made available to EE’s w/in 30 days.”                  CSBG Program staff will confer with fiscal and contract personnel to ensure that the description of distribution of funds clearly describes the way funds are made available.                  -----                  Facts for discussion about the State CSBG Office process for making CSBG funds available:    <b>Arizona uses a cost reimbursement model to disburse CSBG and other funds. The State allocates and makes available funding to the</b></p>	<p>FFY 2018:  <i>Network comments: OCS had asked about the fiscal year and availability of funds. DES provided a description of the process, but does not seem to address the 30-day issue. The Network would like to request that DES provide actual draft language for the Network to review.</i></p>	<p>7.4a – Actual verbiage/new in bold: <b>For this amendment: The State operates on a State Fiscal Year. Funds allocated to eligible entities are made available for obligation on the first day of the State Fiscal Year. Funds are disbursed on a cost reimbursement basis.</b> Eligible entities annually submit a proposed Itemized Service Budget (ISB) document, for detailing allowable expenditures for activities included in the agency’s CAP Plan. Eligible entities invoice the State on a monthly basis for these allowable expenditures under CSBG. Invoices are due on the 25th of each month. Larger public entities may be allowed to invoice semi-monthly upon DAAS/CAPS approval. Invoices must include backup documentation for expenditures billed. DAAS/CAPS is bound by contract with the eligible entities to make payments on approved invoices within 30 days.                  Payments on invoices may be delayed temporarily pending the submission of past-due contract deliverables, such as Community Action Plan documents or required reports, or for incomplete documentation.</p>



	<p><b>CAAs, using funding formulas with variables as follows:</b></p> <ul style="list-style-type: none"> <li>• The State includes CSBG and LIHEAP, as well as TANF, and several other funds as components of the Community Action Program and Services contract.</li> <li>• The available funding is forecast in advance of the new State fiscal year (July-June). The allocations forecast is based upon the previous year’s funding, and estimated funding available is communicated to the network in a bulletin, officially called an “Alert”. These are usually issued in March, prior to the start of the State fiscal year.</li> <li>• Contracts are issued shortly thereafter, signed and returned prior to July 1.</li> <li>• CAAs may bill against the initial allocation if they have returned their signed contracts, and the new fiscal year has begun.</li> <li>• If actual funding amounts change, the State issues a new bulletin, and amends the contracts.</li> <li>• Carryover is determined, and made available via another Alert, and a subsequent contract amendment occurs in August or September.</li> <li>• Agencies provide an itemized service budget (ISB), with their annual application for funds. Then, they bill monthly for all direct and indirect expenditures for allowable activities conducted under the contract, in accordance with their ISB.</li> <li>• Larger agencies may be allowed to issue “supplemental” billings during a month in peak demand periods, in addition to regular scheduled invoicing.</li> </ul>		
<p>Section 7 – State Use of Funds 7.7</p>	<p>11/9/16: This section may change depending upon the distribution of State administrative funds and any State personnel changes that will be in effect for FFY 2018. <b>MUST UPDATE FOR FFY 2018</b> 2/017 – updates pending</p>	<p>FFY 2018:</p>	

<p>Section 7 – State Use of Funds and Section 8 State Training and Technical Assistance 7.9-7.11</p>	<p>7.9-7.10. Discretionary award amounts updated in table provided by OCS. Narrative consists of a description of awards given in the past year. Item 7.11 checkboxes to indicate the type of organizations receiving discretionary funds. The 7.11 information is usually reported on the annual CSBG IS Report. CSBG Program recommends adding verbiage indicating the plan for unspent discretionary funds. Section Item 8.1. Training and Technical Assistance (T/TA), derived from previous (FFY 2016 Amendment) Plan, Section, D. Section 8 (T/TA) is referred to here as DES uses discretionary funds to provide training and technical assistance. Relevant dates updated. Maricopa County discretionary narrative will be updated to describe current use of carryover discretionary funds. Source for DAAS narrative: FFYs 2015-2016 CSBG State Plan Amended, Section V., Section V. D., FFYs, 2015-2016. 11/9/16: <b>SHOULD UPDATE FOR FFY 2018</b> CSBG Program suggests reviewing verbiage in this area relative to any CSBG Discretionary funds carried over, and any special projects funds not awarded during the applicable fiscal year. Currently, this is covered in the Attachment 3, "Allocations 2017". CSBG Program further suggests adding this verbiage to the <u>front end</u> of the plan document in Section 7.11, instead of an attachment. <b>2/2017 - updated</b></p>	<p><i>The Network is requesting that DAAS outline what is done with the discretionary CSBG dollars if they go unspent within a given fiscal year?</i> <i>The Network would like clarification on whether there is a separate set aside for unforeseen emergencies or is this included in the \$88,820?</i></p> <p><b>FFY 2018:</b> <i>The Network requests inclusion of more information about the disposition of unused discretionary funds. Will unused funds be carried over as discretionary funds? Will they be redistributed based on the funding formula?</i></p>	<p><i>The CSBG Discretionary funds allocated for emergencies and disasters are \$30,000, <u>in addition</u> to the \$88,820 allocated for special projects. There is no option to attach the allocations document in this area of the Plan in OLDC. Attachment 3 addresses the unspent funds, and a narrative was added to address the carryover funds for special projects and emergencies. 7/11/16: DAAS/CAPS has further stipulated that CSBG discretionary funds allocated for special projects (\$88,820) that are not awarded for the upcoming SFY, will be made available for emergencies and disasters in addition to the \$30,000 allocated for this purpose. New text: CSBG discretionary awards for SFY 2017 described.</i> <b>2/2017:</b> <b>Regarding Special Projects funds: Text Added:</b> <i>If all funds are not awarded during the current fiscal year, these funds may be used for emergencies and disasters should the need arise during said year. Remaining unobligated funds will be carried over to the next grant year, and redistributed with the 90 percent funds allocated to eligible entities.</i></p> <p><b>Regarding Emergencies :</b> <i>Emergencies</i> <i>See Attachment 3 Allocations 2017. Unobligated funds from the current plan year will be carried over to the next grant year, and redistributed with the 90 percent funds allocated to eligible entities.</i></p>
<p>Section – 8 State Training and Technical Assistance</p>	<p>8.1 Sources: CSBG State Plan Document, Section V. D., FFYs, 2015-2016, Amended for FFY 2016 and FFY 2016 form SF-424. OCS requests a description of the State's technical assistance plan with timeframes. See also Section 8.4 of the State Plan document. <b>FFY 2018: MUST UPDATE FOR FFY 2018 and include narrative describing our current coordination efforts for TTA going forward.</b></p>	<p><i>Network Comments – Section 8.1</i> <i>In addition to the topics outlined above, the Network requests inclusion of the following training priorities:</i></p> <ol style="list-style-type: none"> <li>1. <i>ROMA Next Generation</i></li> <li>2. <i>Creating and implementing a meaningful CAP Plan 2018</i></li> <li>3. <i>Evidenced Based, High Impact, Outcome Driven Programing – ROMA NEXT</i></li> <li>4. <i>Technical Assistance on using the Self Sufficiency Matrix to track client outcomes</i></li> </ol> <p><i>7/6/16: Pima County Community Services Department commented requesting case management training be added to the training and technical assistance schedule. Pima County also requested clarification to section 8.2.</i></p> <p><b>FFY 2018:</b> <i>The Network is requesting an actual TTA plan, if necessary action steps to develop such a plan, deadlines and explanation who would provide the TTA .</i> <i>The Network would like to see a plan that shows the State's responsibility for TTA as distinct from ACAA activities.</i></p>	<p><i>Items of concern from the Network added, such as those addressing ROMA Next Gen, CAP Plans and Self-Sufficiency Matrix. DAAS/CAPS and the Arizona Community Action Association will continue to coordinate and agree upon topics and adjust schedules for SFYs 2017 and 2018.</i></p> <p><i>7/11/16: DAAS/CAPS will work to develop and deliver case management training in SFY 2017. The CSBG Plan Training and Technical Plan draft contains a line item for "Program Delivery" to be delivered in FFY1 – Q3. This training has the DAAS/CAPS case management component.</i> <i>Section 8.2 applies to the CSBG organizational standards. Narrative related to other training and technical assistance is moved to 8.4.</i></p> <p><b>2/2017 - DAAS/CAPS is working with ACAA in SFY 2017 to develop a concrete technical assistance plan.</b></p>

		<i>DAAS should also indicate how they identified the categories for TTA, e.g. due to monitoring. The Network would like to suggest a thorough needs assessment (in addition to the ACA survey already completed).</i>	
Section – 8 State Training and Technical Assistance	<p>8.2 Technical Assistance Plan</p> <p>FFY 2018: <b>MUST UPDATE FOR FFY 2018.</b> TAP Plan has been incorporated into existing monitoring tools.</p> <p>2/2017 Text added: “to facilitate agencies implementing and attaining compliance. DAAS will track unmet standards, needed documentation, time-bound objectives toward compliance via the DAAS Contracts Report of Findings (ROF) document. DAAS/CAPS will use this document to provide a summary of the State assessment. Standards that are unmet, or met but needing documentation, or currently implementing, will be listed as Recommendations, and summarized with requested actions and due dates.</p>	<p><i>Network Comments – Section 8</i></p> <p><i>The Network is not aware of the Technical Assistance Plan or Quality Improvement Plan Section 8.2 indicates is in place. The Network is requesting the opportunity to review this document.</i></p> <p><b>FFY 2018:</b></p>	<p><i>Section 8.2 changed to “no”. DAAS/CAPS is developing a tool for creating a TAP for eligible entities with unmet Organizational Standards which it is testing for workability during the State Assessment period. 7/11/16: A draft copy of a proposed Technical Assistance Plan tool has been distributed to the Network for review and comment.</i></p> <p><b>2/2017</b></p> <p><i>Technical Assistance will be tracked using the CSBG Organizational Standards Monitoring Tool, and the existing Report of Findings tool. The proposed TAP Tool draft was discontinued. References to a formal TAP tool were removed.</i></p>
SECTION 9 State Linkages and Communication	<p>9.1-9.2 – State Linkages and Communication</p> <p><b>FFY 2018: To be discussed. May be redesigned for FFY 2019, plan development year.</b></p>	<p><i>“The Network requests that significant modifications be made to this section. The Network thinks it is crucial that the State (DAAS) be creating linkages with those listed above in addition to-</i></p> <ol style="list-style-type: none"> <li><i>1. Head Start</i></li> <li><i>2. Public Health</i></li> <li><i>3. Child Welfare</i></li> <li><i>4. Aging</i></li> <li><i>5. Faith Based Organizations</i></li> <li><i>6. Educational Institutions</i></li> </ol> <p><i>The Network is requesting that DAAS utilize section 9.2 to outline how they are planning on coordinating with these entities.”</i></p> <p><i>7/7/16: Network comment - Coconino Community Services Department – “ WIOA was not included in the list of programs with which the State needs to make a direct connection and create a collaborative process for service to families throughout the State. Community Action Agencies were specifically cited in the Workforce Investment Opportunity Act as Partners. We encourage the State of Arizona to move swiftly, with our input, to develop a meaningful plan to address how the State will be integrating program areas and goals, as well as creating a nexus for the agencies to do so as well.” Pima County Community Services Department also commented, requesting clarification on this item.</i></p>	<p><i>No changes were made at this time. This language was carried over from FFYs 2015-2016 CSBG State Plan document.</i></p> <p><i>DAAS/CAPS has begun conversations with some of the organizations/agency divisions operating the programs listed in Section 9 and in the Network comments. DAAS/CAPS will discuss with the Network in SFY 2017 and update this Section in the FFY18 plan submittal. 7/11/16: 9.1 The State WIOA office was included in the checkboxes in this section of the Plan. The State Plan document is revised to clarify State role in making federal assurances regarding linkages and communication. Enhanced responses related to Section 9 questions are added to the OLDC document and removed from Attachment 4. Attachment 4 will contain only program narrative material derived from submittals from CAAs to serve as examples of assurances stated in Section 14. Added to 9.2: “DAAS/CAPS will continue its conversations with the State WIOA office in SFY 2017. DAAS/CAPS will investigate opportunities to coordinate and/or exchange information with the State offices of Head Start (Education Department), Public Health, and Child Welfare. DAAS/CAPS CSBG program staff participate in the activities of the DES Office of Community Engagement, which is at this time engaging the Child Support Services Office in an effort to link non-custodial parents with services that may better enable them to meet child support obligations. DAAS/CAPS provides CSBG discretionary funding to ACA (State Association) to provide coordination among programs. DAAS/CAPS will discuss further with the Network a plan for coordination of program activities with other State agencies in SFY 2017.</i></p>

		<p><b>FFY 2018</b>  <i>The Network would like more specifics on how linkages at the State level are created, describing goals for the linkages, a work plan, and an explanation what the impact is, what NPIs are affected, and how the relationships benefit the Network.</i></p> <p><i>This section can build on the CAP plans where CAAs report on their linkages, but the State should describe state-level activities. An example that was suggested previously was building relationships with WIOA/Arizona@Work. DES/DAAS could use language from the IM on coordinating community action with workforce programs. The plan can build on local activities (e.g. x number of CAAs are doing xyz with workforce) and then state what the State is doing to support those activities.</i></p>	
<p>SECTION 10  Monitoring, Corrective Action,  and Fiscal Controls</p>	<p>10.1. Section requests detail regarding monitoring and monitoring reports not requested in the previous plan model, including a monitoring schedule and the inclusion of written monitoring policies. Section 6 contains detailed information regarding monitoring.  10.4a.  10.6 Reporting of QIPs: DAAS CAPS does not currently report eligible entities on QIP's, or Corrective Improvement Plans (CIPs), to OCS in DAAS/CAPS terminology. Organizational Standards are still in the implementation phase and eligible entities found deficient will be offered technical assistance as appropriate at this time.</p> <p><b>FFY 2018: SHOULD UPDATE FOR FFY 2018 TAP Plan is incorporated into existing monitoring tools; a separate TAP tool will not be used. Must update for FFY 2019.</b></p>	<p><i>The Network is requesting clarity on the Full onsite review in relation to the Organizational Standards. Is the plan to exempt Organizational Standard compliance from this review until FY18?</i>  <i>ACAA - Again, the Network is requesting access to the Technical Assistance Plan document as no one is currently utilizing one to ensure they are coming into compliance with Organizational Standards by 2018.</i></p> <p><b>FFY 2018:</b>  <i>See comments above on section 6.4. The Network is requesting an updated policy and clear communication on any deficiencies or findings.</i></p>	<p><i>In response to the comment regarding full on-site review in Section 10.1, see Attachment 6.4a. The Technical Assistance Plan document is in draft form and will be shared and discussed with the Network prior to finalization and formal utilization.</i>  <i>7/11/16: The State Plan indicates agencies are expected to reach full implementation by SFY 2018. Eligible entities assessed during onsite monitoring in SFY 2016 and 2017 will be assessed by desk review in SFYs 2017 and 2018, respectively. DAAS/CAPS will still be performing initial State assessments in SFY 2017. However, the State Plan, and the policy document in development, will indicate DAAS/CAPS will not begin to make formal monitoring findings with respect to organizational standards compliance status until SFY 2019, in accordance with the State monitoring schedule. Currently, DAAS/CAPS solicits a Corrective Improvement Plan (CIP) from the eligible entity and tracks time-bound objectives toward the remedy of findings and deficiencies. For serious deficiencies, the State Office of Procurement may issue a demand for assurance to the eligible entity for findings related to fiscal and administrative Terms and Conditions of the DAAS/CAPS contract. DAAS/CAPS follows up with the agency to assure the completion of the CIP, making follow up visits if necessary and providing technical assistance. DAAS/CAPS is developing a TAP tool to be used to track technical assistance and efforts toward compliance with the CSBG organizational standards. DAAS/CAPS believes it is more appropriate for the State to assist eligible entities making good faith efforts to comply in achieving compliance than it is to make findings. A draft TAP tool has been sent to the Network for review and comment.</i></p>
<p>SECTION 10  Monitoring, Corrective Action,  and Fiscal Controls</p>	<p>10.9 - From the FFYs 2015-2016 CSBG State Plan document Section IV (B)(a)-(e). See also Attachment 7 Scope of Work 2016-2020. Bold text added for clarification.</p>		

	<b>10/2016 Previous monitoring dates added to the plan document at the request of OCS. MUST UPDATE FOR FFY 2018</b>		
Section 11 - Eligible Entity Tripartite Board	FFY 2018: No planned changes		
Section 12 - Individual and Community Income Eligibility Requirements	FFY 2018: <b>MUST UPDATE FOR FFY 2018.</b> Updates to income thresholds – no other planned changes	<i>FFY 2018: The Network requests a description be added on the use of categorical eligibility. Several CAAs are or will be using it, and the process and options for utilizing it should be described in the state plan.</i>	
Section 13 - Results Oriented Management and Accountability (ROMA) System	13.1-13.4 contain checkbox responses and narrative regarding ROMA system reporting, and planning processes. <b>FFY 2018: update 13.5 verbiage describing creating a new CAP Plan model in coordination with the Network in FFY 2018. May fully recast in the FFY 2019 development</b>	<i>2017: 7/6/16: Pima County Community Services expressed a desire to submit a CAP Plan every two years instead of annually. Pima County also expressed a desire for the State in coordination with the Network, to update the CAP Plan model. FFY 2018: The development of the CAP plan and revision of the CAP Plan template should be addressed. The description should reflect the language from the org standards and outline a process and timeline for change. The org standard monitoring tool (standard 4.2) states that a CAP plan would be required every three years and lists key components of the plan. Submission of the plan is currently staggered and the Network would like to retain that option since agencies are aligning their needs assessment and/or plan with other programs.</i>	<i>7/14/16: Section 13.5 of the CSBG State Plan Draft reads "Submission of a Community Action Plan by the eligible entities is required by contract at least once every two years, and during the contract renewal period, as part of the eligible entity's application package." DAAS/CAPS will issue a policy clarification on this topic and revise scopes of work to reflect this option. DAAS/CAPS will initiate discussion with the Network in SFY 2017 to develop an updated model CAP Plan template that better reflects the Network's objectives and aligns with the CSBG Organizational Standards.</i>  13.3-13.4 to be revisited for SFY 2019
SECTION 13 Results Oriented Management and Accountability (ROMA) System	FFY 2018: No planned changes.	<i>FFY 2018:</i>	
Section 14 CSBG Programmatic Assurances and Information Narrative	14.1, Attachment 4, Section 14 Narrative Responses - State Linkages and Communication.  FFY 2018: Extensive revision and updates needed by FFY 2019.	<i>2017: The Network is concerned that Attachment 4 - State Linkages and Communication, does not demonstrate assurances effectively. Example: Assurance that funds are used to secure and retain meaningful employment -- "Eligible entities provide employment supports and coordinate with WIOA programs. Some entities operate employment assistance in their own facilities." This answer doesn't demonstrate how DAAS assures that eligible entities provide employment supports so that funds are used to help low-income individuals secure and retain meaningful employment. This is the case throughout Attachment 4. 7/7/16 Public Hearing Comment: Coconino County Community Services Department – "Increased benefits for</i>	<i>Attachment 4 was reworked in response to the Network's concerns. Program narrative text will be reviewed again by the Network, and may be revised prior to final submission of the State Plan and/or in the FFY 2018 amendment. Regarding the example provided, it could be revised as follows: 7/11/16: Section 14 is substantially revised to clarify the State's role in making the federal assurances contained therein. DAAS/CAPS reviewed responses for this Section made by other states and discussed Network concerns and suggestions with ACAA, (the State association) prior to making revisions. Responses to Section 14 questions are removed from the Attachment 4, and added to the OLDC document. Responses to questions 14.1a and 14.1b are too long to include in the OLDC document, due to character limitations, and are included as two separate attachments, Attachments 14.1a and 14.1b. Attachment 4</i>

		<p><i>working poor: there is a reference to increased benefit levels for applicants reporting income in this section of the plan in Attachment 4, 14.1a 676(b)(1)(A)(i). We believe that the accurate reference here should be the working poor, but that is left to interpretation. Therefore, we recommend an explanation of the intended meaning." Pima County also requested clarification on 7/6/16.</i></p> <p><b>FFY 2018:</b></p>	<p><i>will contain only program narrative material derived from submittals from eligible entities to serve as examples of eligible entity activities related to assurances in Sections 9 and 14. See also Section 9. Response to 7/7/16 comments: DAAS/CAPS revises 14.1a.(i) to read as follows: "(i)The State has authorized increased benefit levels for utility assistance for the "working poor", defined as applicants from households reporting income from employment, self-employment/business income, or Unemployment Insurance, who have incomes that fall below 150% of poverty, and struggle to meet basic needs. CSBG supported programs such as the State authorized Short-Term Crisis Services (STCS), funded by Temporary Assistance for Needy Families (TANF) funds, may provide for work related expenses such as necessary licensing fees, uniforms or transportation assistance through CSBG funded programs. Eligible entities are required by contract to deliver this program. The State allows eligible entities to use CSBG funds for these services for childless adults who do not qualify for this service under TANF rules.</i></p>
<p>SECTION 14 CSBG Programmatic Assurances and Information Narrative</p>	<p>14.3-14.13 – Program narrative examples.</p> <p><b>FFY 2018: Narrative material may be updated. This could wait until FFY 2019.</b></p>	<p><i>The Network is concerned that Attachment 4 - State Linkages and Communication, does not demonstrate assurances effectively. Example: Assurance that funds are used to secure and retain meaningful employment -- "Eligible entities provide employment supports and coordinate with WIOA programs. Some entities operate employment assistance in their own facilities." This answer doesn't demonstrate how DAAS assures that eligible entities provide employment supports so that funds are used to help low-income individuals secure and retain meaningful employment. This is the case throughout attachment 4.</i></p> <p><i>7/7/16 Public Hearing: Network comment: - Coconino County Community Services Department – "CSBG Programmatic Assurances and Information Narrative: the information included in Attachment 4 of the Plan is a cut and paste of the information included by the Community Action Agencies in the plans. It address how Community Action Agencies coordinate anti-poverty services. However this Section is silent on the State of Arizona's responsibilities for the same program assurances. We recommend the State's role be specifically articulated before the Plan is submitted to HHS."</i></p> <p><b>FFY 2018:</b></p> <p><i>Regarding 14.2. on discretionary funds, please see the comments from the Network regarding sections 7.9 – 7.11.</i></p>	<p><i>Portions of Attachment 4 were reworked in response to the Network's concerns. Please see revised version. Program narrative text will be reviewed again by the Network, and may be revised prior to final submission of the State Plan. Regarding the example provided, 14.1a.(ii) in Attachment 4 is revised as follows: "Eligible entities provide employment support services listed in ROMA NPI 1.2 through the State Short Term Crisis Services Program, and through CSBG funded services. Eligible entities also coordinate with WIOA programs. Some entities operate employment assistance programs in their own facilities."</i></p> <p><i>7/19/16: Section 14 responses were further revised to clarify the State's role. Responses to questions 14.3-14.4 were made in the OLDC document. Program narrative examples of Network activities remain in Attachment 4, renamed "Attachment 4, 2017 Program Narratives".</i></p>

Section 15 Federal Certifications	FFY 2018: This will not change.		
Additional Comment Space			
Section [ ]			
Section [ ]			
Section [ ]			
Section [ ]			



**Section 7 - CSBG State Plan FFYs 2017-2018 – Funding Formula –and Administrative Budget -  
AMENDED**

Distribution Formula

The distribution of CSBG funds to eligible entities is based upon the following formula factors:

Poverty Factor	Rural Factor	Extreme Poverty	Tribal Adjustment	Migrant/ Seasonal Farmworker Adjustment	Minimum Funding Variable
90%	5%	5%	Yes	2%	\$150,000

In SFY 2018, eligible entities will be held harmless to 50 percent of any decrease from the previous state fiscal year resulting from the new funding formula.

• Poverty

**Ninety percent** of funds are distributed according to the number of persons living at or below 125 percent of poverty in a given geographic area. Tribal households residing on reservations receiving direct CSBG funds are not included in the calculations. Poverty statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for 2015 a five-year period (2011-2015).

• Extreme Poverty

**Five percent** of funds are distributed according to the number of households living at or below **70%** of poverty in a given geographic area. Tribal households residing on reservations receiving direct CSBG funds are not included in the calculations. Poverty statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for 2015 a five-year period (2011-2015).

• Unemployment

~~Ten percent of funds are distributed based upon the unemployment rates in each designated geographic service area. The source for the unemployment factor is the most recent annual Local Area Unemployment Survey (LAUS). Unemployment statistics are updated on a yearly basis.~~



- Rural

**Five percent** of funds are distributed only to rural counties based upon a determination of special needs such as disproportionately high unemployment, logistical challenges such as availability of transportation, distances to and from remote areas and disproportionate cost and availability of energy and other essential services. Rural statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for a five-year period (2010-2014).

- Tribal Adjustment

In 1982, American Indian Tribes within the State were given the opportunity to apply for funding directly from the Department of Health and Human Services. The tribes receive approximately 15 to 20 percent of the State’s gross allocation. American Indian populations residing on reservations receiving separate CSBG allocations are excluded from the funding formula.

- Migrant and Seasonal Farmworker Adjustment

Two percent of funds allocated to eligible entities is reserved for a designated limited purpose entity serving migrant or seasonal farmworkers and their families statewide.

- Minimum Funding Variable - \$150,000

All eligible entities are guaranteed a minimum allocation of \$150,000 depending upon availability of funds.

Agencies will receive a proportional share of any increase or decrease to the State’s appropriation.

- **Administrative Budget**

The State will not expend more than the greater of \$55,000 or five percent of its allotment under Section 674 of the Act for administrative expenses, including monitoring activities. Arizona will not use CSBG funds for Charity Tax Credit Programs. The State maintains accounting procedures established to assure that the administrative cost limitation is not exceeded. Regular meetings will be held to discuss the level of expenditures. The State’s Office of Accounting will prepare monthly reports. In the event that the State does not use the entire five percent of the total reserved for the ADES administrative expenses, the remainder may also be used to fund discretionary activities.

The State’s projected administrative budget is as follows:

<b>Administrative Budget – SFY 2018 Amendment</b>	<b>2017</b>	<b>2018</b>
Personnel	\$ 121,000	TBD
Employee Related Expenses	\$ 56,000	

Professional & Outside	\$ 39,500
Travel In-State	\$ 3,000
Non-Capital Equipment	
Other Operating	\$ 4,000
Indirect	\$ 50,320
Total:	\$ 273,820

**DETAILED MODEL PLAN (LIHEAP)**

Program Name: Low Income Home Energy Assistance  
 Grantee Name: ARIZONA  
 Report Name: DETAILED MODEL PLAN (LIHEAP)  
 Report Period: 10/01/2016 to 09/30/2017  
 Report Status: Submitted

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## Mandatory Grant Application SF-424

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
**MODEL PLAN**  
**SF - 424 - MANDATORY**

* 1.a. Type of Submission: <input checked="" type="radio"/> Plan		* 1.b. Frequency: <input checked="" type="radio"/> Annual		* 1.c. Consolidated Application/Plan/Funding Request? Explanation:		* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update	
				2. Date Received:		State Use Only:	
				3. Applicant Identifier:			
				4a. Federal Entity Identifier:		5. Date Received By State:	
				4b. Federal Award Identifier:		6. State Application Identifier:	
<b>7. APPLICANT INFORMATION</b>							
* a. Legal Name: Arizona Department of Economic Security							
* b. Employer/Taxpayer Identification Number (EIN/TIN): 86-6004791				* c. Organizational DUNS: 136730434			
* d. Address:							
* Street 1:	1789 WEST JEFFERSON			* Street 2:	P.O. BOX 6123		
* City:	PHOENIX			* County:			
* State:	AZ			* Province:			
* Country:	United States			* Zip / Postal Code:	85007 -		
e. Organizational Unit:							
Department Name:				Division Name: The Division of Aging and Adult Services			
f. Name and contact information of person to be contacted on matters involving this application:							
Prefix:	* First Name: Tammy	Middle Name:			* Last Name: Frazee		
Suffix:	Title: Community Action Administrator			Organizational Affiliation:			
* Telephone Number: (602) 542-2895	Fax Number (602) 542-6655			* Email: tfrazee@azdes.gov			
* 8a. TYPE OF APPLICANT: A: State Government							
b. Additional Description:							
* 9. Name of Federal Agency:							
		Catalog of Federal Domestic Assistance Number:			CFDA Title:		
10. CFDA Numbers and Titles		93568			Low-Income Home Energy Assistance		
11. Descriptive Title of Applicant's Project LIHEAP State Plan							
12. Areas Affected by Funding:							
13. CONGRESSIONAL DISTRICTS OF:							
* a. Applicant 07				b. Program/Project: Statewide			

Attach an additional list of Program/Project Congressional Districts if needed.

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b> 10/01/2016	<b>b. End Date:</b> 09/30/2017	<b>* a. Federal (\$):</b> \$0	<b>b. Match (\$):</b> \$0

**\* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

**a. This submission was made available to the State under the Executive Order 12372**

Process for Review on :

**b. Program is subject to E.O. 12372 but has not been selected by State for review.**

**c. Program is not covered by E.O. 12372.**

**\* 17. Is The Applicant Delinquent On Any Federal Debt?**

YES

NO

**Explanation:**

**18. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**\*\*I Agree**

**\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.**

<b>18a. Typed or Printed Name and Title of Authorized Certifying Official</b>	<b>18c. Telephone (area code, number and extension)</b>
	<b>18d. Email Address</b>
<b>18b. Signature of Authorized Certifying Official</b> 	<b>18e. Date Report Submitted (Month, Day, Year)</b> 09/01/2016

**Attach supporting documents as specified in agency instructions.**

## Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Department of Health and Human Services  
 Administration for Children and Families  
 Office of Community Services  
 Washington, DC 20447

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
 OMB Approval No. 0970-0075  
 Expiration Date: 02/28/2005

**THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.**

### Section 1 Program Components

Program Components, 2605(a), 2605(b)(1) - Assurance 1, 2605(c)(1)(C)

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/1/2016	09/30/2017
<input checked="" type="checkbox"/>	Cooling assistance	10/1/2016	09/30/2017
<input checked="" type="checkbox"/>	Crisis assistance	10/1/2016	09/30/2017
<input checked="" type="checkbox"/>	Weatherization assistance	10/1/2016	09/30/2017

**Provide further explanation for the dates of operation, if necessary**

Arizona has identified date ranges for heating and cooling, and has assigned a date range to each county for FFY 2017.

1) HEATING (November 1st - March 31st) and COOLING (April 1st - October 31st) for counties: Coconino, Yavapai, Navajo, Apache, Greenlee, Graham, Cochise, and Santa Cruz.

2) HEATING (December 1st - March 31st) and COOLING (April 1st - November 30th) for counties: Mohave, La Paz, Yuma, Maricopa, Gila, Pinal, and Pima.

**Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16**

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage ( % )
Heating assistance	21.80%
Cooling assistance	41.20%
Crisis assistance	5.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	0.00%
Administrative and planning costs	10.00%

Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	2.00%
<b>TOTAL</b>	<b>100.00%</b>

Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

**1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:**

<input type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify :) Support a year-round crisis assistance program that includes heating and cooling.

**Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8**

**1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below?**  Yes  No

If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.

	Heating	Cooling	Crisis	Weatherization
TANF	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
SSI	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
SNAP	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
Means-tested Veterans Programs	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other(Specify) 1	Heating	Cooling	Crisis	Weatherization
	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

**1.5 Do you automatically enroll households without a direct annual application?**  Yes  No

If Yes, explain:

**1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?**

SNAP Nominal Payments

**1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households?**  Yes  No

If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.

**1.7b Amount of Nominal Assistance:** \$0.00

**1.7c Frequency of Assistance**

<input type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	Other - Describe:

**1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?**

Determination of Eligibility - Countable Income

**1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income?**

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

**1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP**

<input checked="" type="checkbox"/>	Wages
<input checked="" type="checkbox"/>	Self - Employment Income
<input checked="" type="checkbox"/>	Contract Income

<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts		
<input checked="" type="checkbox"/>	Unemployment insurance		
<input checked="" type="checkbox"/>	Strike Pay		
<input checked="" type="checkbox"/>	Social Security Administration (SSA ) benefits		
<input type="checkbox"/>	Including MediCare deduction	<input checked="" type="checkbox"/>	Excluding MediCare deduction
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI )		
<input checked="" type="checkbox"/>	Retirement / pension benefits		
<input checked="" type="checkbox"/>	General Assistance benefits		
<input checked="" type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits		
<input type="checkbox"/>	Supplemental Nutrition Assistance Program (SNAP) benefits		
<input type="checkbox"/>	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits		
<input type="checkbox"/>	Loans that need to be repaid		
<input checked="" type="checkbox"/>	Cash gifts		
<input type="checkbox"/>	Savings account balance		
<input checked="" type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.		
<input checked="" type="checkbox"/>	Jury duty compensation		
<input checked="" type="checkbox"/>	Rental income		
<input checked="" type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)		
<input type="checkbox"/>	Income from work study programs		
<input checked="" type="checkbox"/>	Alimony		
<input checked="" type="checkbox"/>	Child support		
<input checked="" type="checkbox"/>	Interest, dividends, or royalties		
<input checked="" type="checkbox"/>	Commissions		
<input checked="" type="checkbox"/>	Legal settlements		
<input checked="" type="checkbox"/>	Insurance payments made directly to the insured		
<input type="checkbox"/>	Insurance payments made specifically for the repayment of a bill, debt, or estimate		
<input checked="" type="checkbox"/>	Veterans Administration (VA) benefits		
<input checked="" type="checkbox"/>	Earned income of a child under the age of 18		



<input type="checkbox"/>	<b>Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.</b>
<input type="checkbox"/>	<b>Income tax refunds</b>
<input type="checkbox"/>	<b>Stipends from senior companion programs, such as VISTA</b>
<input type="checkbox"/>	<b>Funds received by household for the care of a foster child</b>
<input type="checkbox"/>	<b>Ameri-Corp Program payments for living allowances, earnings, and in-kind aid</b>
<input type="checkbox"/>	<b>Reimbursements (for mileage, gas, lodging, meals, etc.)</b>
<input checked="" type="checkbox"/>	<b>Other</b> Cash gifts \$50 or over are counted. Earned income of a child under the age of 18 if not a full time student.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

## Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
 OMB Clearance No.: 0970-0075  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 2 - Heating Assistance

Eligibility, 2605(b)(2) - Assurance 2

**2.1 Designate the income eligibility threshold used for the heating component:**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

**2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE?**  Yes  No

**2.3 Check the appropriate boxes below and describe the policies for each.**

**Do you require an Assets test?**  Yes  No

**Do you have additional/differing eligibility policies for:**

- Renters?**  Yes  No
- Renters Living in subsidized housing?**  Yes  No
- Renters with utilities included in the rent?**  Yes  No

**Do you give priority in eligibility to:**

- Elderly?**  Yes  No
- Disabled?**  Yes  No
- Young children?**  Yes  No
- Households with high energy burdens?**  Yes  No
- Other? Working poor**  Yes  No

**Explanations of policies for each "yes" checked above:**

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible. Elderly participants in recertification programs may apply using an abbreviated, expedited application process, and may have their eligibility date adjusted to the beginning of the Federal Fiscal Year for ease of administration.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**2.4 Describe how you prioritize the provision of heating assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.**

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible.

**2.5 Check the variables you use to determine your benefit levels. (Check all that apply):**

- Income**
- Family (household) size**
- Home energy cost or need:**
  - Fuel type**
  - Climate/region**
  - Individual bill**

<input type="checkbox"/>	<b>Dwelling type</b>		
<input checked="" type="checkbox"/>	<b>Energy burden (% of income spent on home energy)</b>		
<input checked="" type="checkbox"/>	<b>Energy need</b>		
<input checked="" type="checkbox"/>	<b>Other - Describe:</b>		
Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.			
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)			
<b>2.6 Describe estimated benefit levels for FY 2016:</b>			
<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$640
<b>2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No			
<b>If yes, describe.</b>			
Service Providers offer blankets, wood, wood pellets, and bottled propane when available.			
<b>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</b>			

### Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

## LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

### Section 3 - Cooling Assistance

Eligibility, 2605(c)(1)(A), 2605 (b)(2) - Assurance 2

**3.1 Designate The income eligibility threshold used for the Cooling component:**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

**3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE?**  Yes  No

**3.3 Check the appropriate boxes below and describe the policies for each.**

**Do you require an Assets test?**  Yes  No

**Do you have additional/differing eligibility policies for:**

- Renters?**  Yes  No
- Renters Living in subsidized housing?**  Yes  No
- Renters with utilities included in the rent?**  Yes  No

**Do you give priority in eligibility to:**

- Elderly?**  Yes  No
- Disabled?**  Yes  No
- Young children?**  Yes  No
- Households with high energy burdens?**  Yes  No
- Other? Working poor**  Yes  No

**Explanations of policies for each "yes" checked above:**

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible. Elderly participants in recertification programs may apply using an abbreviated, expedited application process, and may have their eligibility date adjusted to the beginning of the Federal Fiscal Year for ease of administration.

**3.4 Describe how you prioritize the provision of cooling assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.**

Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**3.5 Check the variables you use to determine your benefit levels. (Check all that apply):**

- Income**
- Family (household) size**
- Home energy cost or need:**
  - Fuel type**
  - Climate/region**
  - Individual bill**
  - Dwelling type**

<input checked="" type="checkbox"/> Energy burden (% of income spent on home energy)			
<input checked="" type="checkbox"/> Energy need			
<input type="checkbox"/> Other - Describe:			
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)			
<b>3.6 Describe estimated benefit levels for FY 2016:</b>			
<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$640
<b>3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No			
<b>If yes, describe.</b>			
Service Providers provide fans when available.			
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.			

**Section 4 - CRISIS ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
 MODEL PLAN  
 SF - 424 - MANDATORY**

**Section 4: CRISIS ASSISTANCE**

Eligibility - 2604(c), 2605(c)(1)(A)

**4.1 Designate the income eligibility threshold used for the crisis component**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

**4.2 Provide your LIHEAP program's definition for determining a crisis.**

A crisis is defined as a delinquent or shut off notice, or if utilities are included in the rent, an eviction notice is required.  
 Added to the definition of a crisis is the determination of a Human Service Emergency made by the Arizona Department of Economic Security. A Human Service Emergency includes, but is not limited to, fire or flood which results in the evacuation of homes and shelters. Upon determination of a Human Service Emergency, households affected may be assisted with costs to temporarily shelter or house individuals in hotels, apartments, or other living situations, i.e., placing people in settings to preserve health and safety and to move them away from the crisis situation.

**4.3 What constitutes a life-threatening crisis?**

A life-threatening crisis is defined as, but not limited to, individuals who are exposed to extreme out door temperatures that adversely affect their health and can potentially directly or indirectly lead to death. A life-threatening crisis also includes individuals who must utilize life sustaining medical equipment and are either unable to pay their utility bill or are within five days of running out of fuel/utility or being shut off. A household member's health and/or well-being would likely be endangered if energy assistance is not provided.

**Crisis Requirement, 2604(c)**

**4.4 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households? 48Hours**

**4.5 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households in life-threatening situations? 18Hours**

Crisis Eligibility, 2605(c)(1)(A)

**4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?**  Yes  No

**4.7 Check the appropriate boxes below and describe the policies for each**

**Do you require an Assets test?**  Yes  No

**Do you give priority in eligibility to :**

- Elderly?**  Yes  No
- Disabled?**  Yes  No
- Young Children?**  Yes  No
- Households with high energy burdens?**  Yes  No
- Other?**  Yes  No

**In Order to receive crisis assistance:**

- Must the household have received a shut-off notice or have a near empty tank?**  Yes  No
- Must the household have been shut off or have an empty tank?**  Yes  No
- Must the household have exhausted their regular heating benefit?**  Yes  No
- Must renters with heating costs included in their rent have received an**

eviction notice ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must heating/cooling be medically necessary?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must the household have non-working heating or cooling equipment?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Do you have additional / differing eligibility policies for:</b>	
Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters with utilities included in the rent?	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Explanations of policies for each "yes" checked above:</b>	
<p>Although the point system is not used for LIHEAP supplemental assistance, the household must receive heating/cooling assistance either prior to or with the supplemental payment. The point system is utilized to determine the household's LIHEAP assistance and is not recalculated for the supplemental payment.</p>	
Determination of Benefits	
<b>4.8 How do you handle crisis situations?</b>	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> Crisis assistance is available to applicants who have already received non-crisis assistance within a twelve (12) month period. The applicant must have a shut-off, disconnect notice, or a notice that the utility has already been disconnected or an eviction notice if utilities are included in the rent.
<b>4.9 If you have a separate component, how do you determine crisis assistance benefits?</b>	
<input type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> Amount to resolve crisis, up to a maximum of \$500.
Crisis Requirements, 2604(c)	
<b>4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?</b>	
<input checked="" type="radio"/> Yes <input type="radio"/> No <b>Explain.</b>	
Accommodations are made to address households in rural areas by various Service Providers offering satellite locations and partnering with local community agencies that are geographically accessible to households. Some Service Providers travel to alternate locations to accommodate those who reside in rural areas.	
<b>4.11 Do you provide individuals who are physically disabled the means to:</b>	
<b>Submit applications for crisis benefits without leaving their homes?</b>	
<input checked="" type="radio"/> Yes <input type="radio"/> No <b>If No, explain.</b>	
<b>Travel to the sites at which applications for crisis assistance are accepted?</b>	
<input checked="" type="radio"/> Yes <input type="radio"/> No <b>If No, explain.</b>	
<b>If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?</b>	
Benefit Levels, 2605(c)(1)(B)	
<b>4.12 Indicate the maximum benefit for each type of crisis assistance offered.</b>	
Winter Crisis	\$0.00 maximum benefit
Summer Crisis	\$0.00 maximum benefit
Year-round Crisis	\$500.00 maximum benefit
<b>4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?</b>	
<input checked="" type="radio"/> Yes <input type="radio"/> No <b>If yes, Describe</b>	

Service Providers offer blankets, space heaters, and fans when available.

**4.14 Do you provide for equipment repair or replacement using crisis funds?**

Yes  No

If you answered "Yes" to question 4.14, you must complete question 4.15.

**4.15 Check appropriate boxes below to indicate type(s) of assistance provided.**

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?**

Yes  No

If you responded "Yes" to question 4.16, you must respond to question 4.17.

**4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.**

Several of Arizona's energy vendors enforce moratoriums with varying criteria. The largest energy vendors are represented below with their specific guidelines.

In accordance with Arizona Administrative Code 14-2-211(A)(5)(c) & 14-2-201(46), Arizona Public Service (APS) uses 32 degrees Fahrenheit as the point in which they stop disconnections for non-payment for low temperatures. In addition, APS also developed an internal business process where disconnections are suppressed for non-payment when high heat stress indexes are present, as determined by the Phoenix Heat Alert website that relies on heat and humidity predictions from the National Oceanic and Atmospheric Administration (NOAA).

Southwest Gas (SWG) tariff is prohibited from performing shutoffs during periods of time where weather will be especially dangerous to one's health. These weather conditions are defined as that period of time commencing with the scheduled termination date when the local weather forecast, as predicted by the NOAA, indicates that the temperature will not exceed 32 degrees Fahrenheit for the next day's forecast. The Corporation Commission may determine that other weather conditions are especially dangerous to one's health as the need arises.

Salt River Project (SRP) self-initiates moratoriums in the winter and summer based on weather conditions. The duration of the self-initiated moratoriums fluctuates based on weather conditions. The criteria for moratoriums are extreme cold temperatures or excessive heat warnings issued by the National Weather Service.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**



## Section 5 - WEATHERIZATION ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 5: WEATHERIZATION ASSISTANCE

**Eligibility, 2605(c)(1)(A), 2605(b)(2) - Assurance 2**

**5.1 Designate the income eligibility threshold used for the Weatherization component**

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	6	HHS Poverty Guidelines	200.00%
2	7	HHS Poverty Guidelines	200.00%

**5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component?**  Yes  No

**5.3 If yes, name the agency.** Arizona Department of Housing (ADOH)

**5.4 Is there a separate monitoring protocol for weatherization?**  Yes  No

**WEATHERIZATION - Types of Rules**

**5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)**

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):

Income Threshold

Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days

Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

Other - Describe: Weatherization Measures are not subject to DOE Savings to Investment Ratio (SIR) Standards.

Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.)

Income Threshold

Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.

Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards.

Other - Describe:

**Eligibility, 2605(b)(5) - Assurance 5**

**5.6 Do you require an assets test?**  Yes  No

**5.7 Do you have additional/differing eligibility policies for :**

**Renters**  Yes  No

**Renters living in subsidized housing?**  Yes  No

**5.8 Do you give priority in eligibility to:**

**Elderly?**  Yes  No

**Disabled?**  Yes  No

Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Households with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No

If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.

Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.

**Benefit Levels**

5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household?  Yes  No

5.10 If yes, what is the maximum? \$7,105

**Types of Assistance, 2605(c)(1), (B) & (D)**

5.11 What LIHEAP weatherization measures do you provide? (Check all categories that apply.)

<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Please see attachment 5A for full explanation.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

**Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)**

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Section 6: Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

**6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:**

- Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- Publish articles in local newspapers or broadcast media announcements.
- Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
- Mass mailing(s) to prior-year LIHEAP recipients.
- Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- Other (specify):  
 Service Providers periodically hold mass intake events.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 7 - Coordination, 2605(b)(4) - Assurance 4**

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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 Expiration Date: 06/30/2017

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Section 7: Coordination, 2605(b)(4) - Assurance 4

**7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).**

<input checked="" type="checkbox"/>	<b>Joint application for multiple programs</b>
<input checked="" type="checkbox"/>	<b>Intake referrals to/from other programs</b>
<input type="checkbox"/>	<b>One - stop intake centers</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b>

The Arizona Department of Economic Security will continue its policy of cooperation, coordination, and information exchange with the Arizona Department of Housing and Federal Resources, LIHEAP Provider Agencies, Community Services Block Grant providers, the Social Security Administration, and any other Energy Programs in order to minimize duplication of services and maximize services available to eligible clients. This cooperation is in the form of both formal and informal meetings, coordination of contracting procedures and contractors, exchange of significant correspondence, and joint planning. Currently, the same Assistant Director administers the Community Services, Social Services, and the Low Income Home Energy Assistance Program Block Grants. Coordination between the three Block Grants occurs on a regular basis to ensure that the needs of the low income households are addressed. The LIHEAP Weatherization Program is administered by the Arizona Department of Housing.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 8 - Agency Designation, 2605(b)(6) - Assurance 6**

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

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**Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)**

**8.1 How would you categorize the primary responsibility of your State agency?**

<input checked="" type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

**Alternate Outreach and Intake, 2605(b)(15) - Assurance 15**

If you selected "Welfare Agency" in question 8.1, you must complete questions 8.2, 8.3, and 8.4, as applicable.

**8.2 How do you provide alternate outreach and intake for HEATING ASSISTANCE?**

**8.3 How do you provide alternate outreach and intake for COOLING ASSISTANCE?**

**8.4 How do you provide alternate outreach and intake for CRISIS ASSISTANCE?**

<b>8.5 LIHEAP Component Administration.</b>	<b>Heating</b>	<b>Cooling</b>	<b>Crisis</b>	<b>Weatherization</b>
<b>8.5a Who determines client eligibility?</b>	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits
<b>8.5b Who processes benefit payments to gas and electric vendors?</b>	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	
<b>8.5c who processes benefit payments to bulk fuel vendors?</b>	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	
				Local City Government

8.5d Who performs installation of weatherization measures?				Local County Government Community Action Agencies Non-profits
--	--	--	--	---

**If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.**

8.6 What is your process for selecting local administering agencies?

In FFY 2017, there are 13 LIHEAP Providers, which consist of 12 Community Action Agencies, which were awarded as LIHEAP Providers due to the 2003 procurement code change that exempts Community Action Agencies (A.R.S §41-2081.P) and Tohono O'Odham Nation, who is a LIHEAP sub-grantee.

8.7 How many local administering agencies do you use? 13

8.8 Have you changed any local administering agencies in the last year?

- Yes
- No

8.9 If so, why?

<input type="checkbox"/>	Agency was in noncompliance with grantee requirements for LIHEAP -
<input type="checkbox"/>	Agency is under criminal investigation
<input type="checkbox"/>	Added agency
<input type="checkbox"/>	Agency closed
<input type="checkbox"/>	Other - describe

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 9 - Energy Suppliers, 2605(b)(7) - Assurance 7**

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 04/30/2014

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**Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7**

**9.1 Do you make payments directly to home energy suppliers?**

- Heating  Yes  No
- Cooling  Yes  No
- Crisis  Yes  No
- Are there exceptions?  Yes  No

**If yes, Describe.**

Service Providers make payments directly to Energy Suppliers on behalf of the client.

**9.2 How do you notify the client of the amount of assistance paid?**

Clients are notified by Service Providers via an approval letter of the amount paid on their behalf.

**9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?**

Energy suppliers will, through their normal billing process, apply the Energy Assistance payments to the approved household's account, just as any other payment would be applied.

**9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?**

Local Service Providers assure that households receiving LIHEAP are not treated adversely by working collaboratively with energy vendors.

**9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?**

- Yes  No

**If so, describe the measures unregulated vendors may take.**

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10**

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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Section 10: Program, Fiscal Monitoring, and Audit, 2605(b)(10)

**10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?**

Arizona Department of Economic Security assures that fiscal control and fund accounting procedures are established to assure the proper accounting of their disbursement of federal funds paid to the state under this program, including procedures for monitoring the assistance provided under this title, and that the Arizona Auditor General's Office includes LIHEAP in its audit of program expenditures in accordance with the Single Audit Act of 1984.

**Audit Process**

**10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?**

Yes  No

**10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.**

No Findings

Finding	Type	Brief Summary	Resolved?	Action Taken
1				

**10.4. Audits of Local Administering Agencies**

What types of annual audit requirements do you have in place for local administering agencies/district offices?  
 Select all that apply.

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- Grantee conducts fiscal and program monitoring of local agencies/district offices

**Compliance Monitoring**

**10.5. Describe the Grantee's strategies for monitoring compliance with the Grantee's and Federal LIHEAP policies and procedures: Select all that apply**

**Grantee employees:**

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

**Local Administering Agencies / District Offices:**

- On - site evaluation
- Annual program review



<input type="checkbox"/>	<b>Monitoring through central database</b>
<input checked="" type="checkbox"/>	<b>Desk reviews</b>
<input checked="" type="checkbox"/>	<b>Client File Testing / Sampling</b>
<input type="checkbox"/>	<b>Other program review mechanisms are in place. Describe:</b>

**10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.**

Schedule - Monitoring of Service Providers will occur at least once every three years. Any Service Provider that has a particular problem will be given technical assistance until the problem is resolved.

Focus - Monitoring focuses on the following areas: program, fiscal, policy, and general contract requirements. Monitoring may occur through a desk review of materials or on-site monitoring. Weatherization monitoring encompasses the aforementioned areas, plus on-site quality control inspection of weatherized homes. Monitoring visits are also used for contractor training and technical assistance as required. Monitoring relates to Service Providers' separate evaluations of internal controls, such as control self-assessments or internal procedures and performance. Internal monitoring processes shall be practiced by Service Providers. LIHEAP Service Providers have a responsibility to monitor and be monitored for compliance with program requirements.

The Arizona Department of Economic Security monitors Service Providers' compliance with all requirements of federal, state, and local laws, the contractual requirements, and directives in the policy manual. The Service Provider shall cooperate in the evaluation of contracted services. The evaluation may assess the Service Provider's progress and/or success in achieving the goals, objectives, and deliverables set forth in their contract related to LIHEAP.

Protocol - The Arizona Department of Economic Security shall provide the Service Provider with a request for needed documents, such as case management files, and fiscal and administrative records, at least one week prior to the scheduled monitoring date. Regarding unscheduled monitoring, the Arizona Department of Economic Security may request needed documents while on-site without prior notice. The Arizona Department of Economic Security will communicate recommendations or findings with key personnel and provide the opportunity for clarification, and will provide written results of the monitoring in a reasonable amount of time.

The Service Provider will ensure that key personnel are available for discussion during the scheduled monitoring and that the requested records are available and in order beginning on the first day of the scheduled on-site monitoring visit. It is the Arizona Department of Economic Security's expectation that the monitoring will begin at the agreed date and time for scheduled monitoring.

The on-site monitoring visit will include these activities:

The interview should include the Arizona Department of Economic Security Contract Specialist, Arizona Department of Economic Security Program Specialist and the Service Provider's Program Manager. It may include other Arizona Department of Economic Security and Service Provider staff upon request of the Arizona Department of Economic Security Contract Specialist, Arizona Department of Economic Security Program Specialist, or at the discretion of the Service Provider. The entrance interview will describe the monitoring activities that will take place, review the monitoring process, and schedule interviews with other Service Provider staff, as requested by the Arizona Department of Economic Security monitoring team.

On-site compliance monitoring will consist of a program review, with follow-up questions appropriate to the local situation. In order to complete the compliance monitoring, the Arizona Department of Economic Security Contract Specialist and/or the Arizona Department of Economic Security Program Specialist will interview the Service Provider Program Manager, the Fiscal Director, the position responsible for outreach activities, and any other staff whose work is integral to the program, as well as applicants.

**10.7. Describe how you select local agencies for monitoring reviews.**

**Site Visits:**

Service Providers are monitored at least once every three years. If there are concerns related to a specific Service Provider's operations, that Provider would be a priority for monitoring.

**Desk Reviews:**

Desk reviews are conducted on a monthly basis for financial and contract compliance.

**10.8. How often is each local agency monitored?**

Service Providers are monitored at least once every three years.

**10.9. What is the combined error rate for eligibility determinations? OPTIONAL**

The Arizona Department of Economic Security has not captured collective data in this area; however, resolution to eligibility determination issues is addressed at the time of monitoring and in a formal Report of Findings.

**10.10. What is the combined error rate for benefit determinations? OPTIONAL**

The Arizona Department of Economic Security has not captured collective data in this area; however, resolution to eligibility determination issues is addressed at the time of monitoring and in a formal Report of Findings.

**10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? 0**

**10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 0**

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

**Section 11 - Timely and Meaningful Public Participation,, 2605(b)(12) - Assurance 12, 2605(c)(2)**

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**Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)**

**11.1 How did you obtain input from the public in the development of your LIHEAP plan?  
 Select all that apply.**

- Tribal Council meeting(s)
- Public Hearing(s)
- Draft Plan posted to website and available for comment
- Hard copy of plan is available for public view and comment
- Comments from applicants are recorded
- Request for comments on draft Plan is advertised
- Stakeholder consultation meeting(s)
- Comments are solicited during outreach activities
- Other - Describe:

N/A

**11.2 What changes did you make to your LIHEAP plan as a result of this participation?**

The weatherization section of the State Plan was revised for clarity.

**Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only**

**11.3 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?**

	Date	Event Description
1	07/06/2016	Tucson Public Hearing
2	07/07/2016	Flagstaff Public Hearing
3	07/05/2016	Phoenix Public Hearing

**11.4. How many parties commented on your plan at the hearing(s)?** 3

**11.5 Summarize the comments you received at the hearing(s).**

Flagstaff: Coconino County requested that the funding formula be adjusted to account for differences in rural cost of living.

Tucson: Pima County noted that a check box indicating that the State does not automatically enroll households without a direct annual application was not selected.

**11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?**

An error was fixed after Pima County noted that the check box for section 1.5 was not selected. In addition, we are reviewing our funding formula for possible adjustment for State Fiscal Year 2017 to account for differences in cost of living for rural areas.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

## Section 12 - Fair Hearings, 2605(b)(13) - Assurance 13

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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Expiration Date: 06/30/2017

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#### Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

**12.1 How many fair hearings did the grantee have in the prior Federal fiscal year?** 0

**12.2 How many of those fair hearings resulted in the initial decision being reversed?** 0

**12.3 Describe any policy and/or procedural changes made in the last Federal fiscal year as a result of fair hearings?**

No policy and/or procedural changes were made in the last federal fiscal year as a result of fair hearings.

**12.4 Describe your fair hearing procedures for households whose applications are denied.**

A Fair Hearing procedure is in place within the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS), Community Action Programs and Services Administration, and the Community Action Agencies (CAAs). Clients will be notified at time of application of their right to appeal.

Step One: An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the CAA to any applicant/recipient who requests a hearing because his or her benefit assistance is denied, delayed, discontinued, suspended, or terminated. The applicant/recipient must, within ten working days, provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within ten working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within ten working days of the request.

Step Two: In the event the applicant/recipient wishes to appeal the decision of the CAA, the applicant/recipient may, within ten working days of receiving the CAA decision letter, appeal in writing to the Arizona Department of Economic Security Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within ten working days of the appeal letter.

Step Three: In the event the applicant/recipient wishes to appeal the decision of the Arizona Department of Economic Security Assistant Director, the applicant/recipient may, within ten working days of receiving the Arizona Department of Economic Security Assistant Director's decision letter, request in writing a fair hearing from the Arizona Court of Appeals. The Arizona Court of Appeals will be responsible for conducting the hearing and providing a decision within 60 days of the request.

Step Four: In the event the applicant/recipient wishes to appeal the decision of the Arizona Court of Appeals, the applicant/recipient may, within ten working days of receiving the Arizona Court of Appeals decision letter, request in writing a fair hearing from the Department of Health and Human Services, Office of Community Services in Washington D.C. The Department of Health and Human Services, Office of Community Services in Washington D.C. will be responsible for providing a decision within 60 days of the request.

**12.5 When and how are applicants informed of these rights?**

Applicants are informed of the right to a fair hearing through notices posted in Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

**12.6 Describe your fair hearing procedures for households whose applications are not acted on in a timely manner.**

A Fair Hearing procedure is in place within the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS), Community Action Programs and Services Administration and the Community Action Agencies (CAAs). Clients will be notified at time of application of their right to appeal.

Step One: An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the CAA to any applicant/recipient who requests a hearing because his or her benefit assistance is denied, delayed, discontinued, suspended, or terminated. The applicant/recipient must, within ten working days, provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within ten working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within ten working days of the request.

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Arizona Court of Appeals. The Arizona Court of Appeals will be responsible for conducting the hearing and providing a decision within 60 days of the request.

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**12.7 When and how are applicants informed of these rights?**

Applicants are informed of the right to a fair hearing through notices posted in Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

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## Section 13 - Reduction of home energy needs, 2605(b)(16) - Assurance 16

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August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

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#### Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

**13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?**

Service Providers offer energy reduction education through various methods such as brochures, teaching applicants during the application process, in-house tutorial videos presented in waiting areas, and/or classes.

**13.2 How do you ensure that you don't use more than 5% of your LIHEAP funds for these activities?**

To ensure that no more than 5% of LIHEAP funding is used for Assurance 16 purposes, the Arizona Department of Economic Security utilizes fiscal and program controls, including fund accounting procedures, to assure that Service Providers abide by the federal guidelines.

**13.3 Describe the impact of such activities on the number of households served in the previous Federal fiscal year.**

The Arizona Department of Economic Security has not collected this LIHEAP data for FFY 2016; however, DES is working with APPRISE to collect this data for future reports.

**13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.**

FFY 2016 data is not finalized; however, the data is forthcoming in the Performance Data Form.

**13.5 How many households applied for these services?** Applicants do not apply for these services; they are offered the education during their initial intake appointment. FFY 2016 data is not yet available.

**13.6 How many households received these services?** FFY 2016 data is not yet available.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 14 - Leveraging Incentive Program, 2607A**

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August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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 Expiration Date: 06/30/2017

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**Section 14:Leveraging Incentive Program, 2607(A)**

**14.1 Do you plan to submit an application for the leveraging incentive program?**

Yes  No

**14.2 Describe instructions to any third parties and/or local agencies for submitting LIHEAP leveraging resource information and retaining records.**

When funding is made available, a request for submittal is emailed to Service Providers along with all pertinent attachments (blank leveraging report and previous year report/reports submitted, if applicable) with a deadline to submit all leveraging resource reports by October 15th.

**14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. Â§ 96.87(d)(2)(iii), describe the following:**

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	Arizona Public Service (APS)	Provides a discount to households based on electricity usage for each month.	D
2	City of Phoenix General Purpose Fund	Funds are intended for the issuance of Emergency Assistance to clients. The General Purpose Fund assists eligible clients in meeting certain immediate financial needs for which no alternative community resources are available.	N/A
3	City of Tucson Low Income Assistance Program	Funds are used to provide a discount to low income households with water bills.	A
4	Coconino County General Funds	Funds are used to provide low income Coconino County residents with financial assistance with utility bills in conjunction with LIHEAP.	A, C and E
5	Neighbors Helping Neighbors	Funds for Home Energy Assistance available statewide. Funds are received through a voluntary State Tax check off.	E
6	Pima County General Fund Utility Assistance	Funds are used to provide low income Pima County residents with financial assistance with utility bills in conjunction with LIHEAP.	N/A
7	Salvation Army Project SHARE	Fuel fund providing benefits within the LIHEAP program statewide. Project SHARE provides benefits to households who have already been assisted by LIHEAP but are still in a crisis situation or applicant has gone to a Community Action Agency (CAA) first and the CAA has no funding available, only benefits to LIHEAP eligible households are counted.	A
		LIRA provides a 30 percent	



8	Southwest Gas (SWG) Corporation Low Income Rate Assistance Program (LIRA)	reduction on the per thermal rate applied to the first 150 thermals of natural gas used each month from November 1 through April 30 and on the service establishment and/or reestablishment charge year round.	N/A
9	SWG Low Income Energy Conservation	SWG provides funding to Community Action Agencies (CAA) to meet the energy affordability needs of low income customers through a coordinated partnership. CAAs serving SWG territory will coordinate and deliver the program elements in conjunction with their existing activities for the Weatherization and LIHEAP programs.	A
10	SWG Donated Water Heaters	SWG donated hot water heaters to be installed in low income households. Households are assessed on energy consumption and condition of unit, LIHEAP/WAP criteria is used to determine eligibility.	A
11	TEP LIFELINE Discount Program	Provides a discount to low income households at 150 percent based on electricity usage for each month. The CAAs take applications and assist clients through the application process.	D
12	TEP Weatherization	TEP funds to provide weatherization services, specifically designed to lower energy burden for qualified homeowners.	D
13	Unisource Energy Services Customers Assistance Residential Energy Support Program-Gas	Home energy discounts that reduce low income households' utility bills.	D
14	Unisource Energy Services Weatherization Program	UniSource Energy Services funds cover weatherization strategies specifically designed to lower energy burden for qualified homeowners, and are leveraged/combined with other funding sources for comprehensive home repairs.	G
15	Warm Spirit	Unisource Energy Services-Gas and Electric Divisions collect donations from customers and businesses to provide utility assistance to low income households.	D

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

### Section 15 - Training

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

## LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

### Section 15: Training

**15.1 Describe the training you provide for each of the following groups:**

**a. Grantee Staff:**

**Formal training on grantee policies and procedures**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Employees are provided with policy manual**

**Other-Describe:**

Arizona Department of Economic Security LIHEAP Staff receives formal training from the Office of Community Services and National Energy Assistance Directors Association.

**b. Local Agencies:**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:** Service Providers also attend various National, OCS, and other LIHEAP training via conferences at their discretion.

**On-site training**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Employees are provided with policy manual**

**Other - Describe**

**c. Vendors**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

<input type="checkbox"/>	<b>Other - Describe:</b>
<input type="checkbox"/>	<b>Policies communicated through vendor agreements</b>
<input type="checkbox"/>	<b>Policies are outlined in a vendor manual</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> Vendors are provided with current LIHEAP Policy Manuals. Questions and concerns are communicated verbally and via email.
<b>15.2 Does your training program address fraud reporting and prevention?</b>	
<input checked="" type="radio"/>	Yes
<input type="radio"/>	No
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.	

**Section 16 - Performance Goals and Measures, 2605(b)**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
MODEL PLAN  
SF - 424 - MANDATORY**

**Section 16: Performance Goals and Measures, 2605(b) - Required for States Only**

**16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.**

The State of Arizona (AZ) is working with APPRISE Consultants to accomplish LIHEAP Performance Measures Data Collection for FFY 2016. Abbreviated Data Templates for FFY 2015 were submitted to APPRISE in order to assist Arizona completion of the 2015 Household Report. Performance Measures monthly templates have been submitted by CAAs to AZ since October 2015. Teleconference calls, as well as face-to-face meetings, were conducted on a monthly basis with the CAA network beginning in April 2015 to provide unduplicated data for FFY 2016 reporting. Memorandums of Understanding and Data Sharing Agreements have been signed by the top five energy vendors in the State. AZ anticipates full implementation of LIHEAP Data Collection in October 2016. A statewide database system is still being considered.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 17 - Program Integrity, 2605(b)(10)**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
 MODEL PLAN  
 SF - 424 - MANDATORY**

Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

a. Describe all mechanisms available to the public for reporting cases of suspected waste, fraud, and abuse. Select all that apply.

- Online Fraud Reporting
- Dedicated Fraud Reporting Hotline
- Report directly to local agency/district office or Grantee office
- Report to State Inspector General or Attorney General
- Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse
- Other - Describe:

A dedicated fraud reporting hotline is in place for statewide fraud abuse and it not specific to LIHEAP.

b. Describe strategies in place for advertising the above-referenced resources. Select all that apply

- Printed outreach materials
- Addressed on LIHEAP application
- Website
- Other - Describe:

17.2. Identification Documentation Requirements

a. Indicate which of the following forms of identification are required or requested to be collected from LIHEAP applicants or their household members.

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested

	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1	Other documents that State uses for identification verification are; wage stubs, work and school identification cards, Arizona State Driver's License and identification cards, birth certificates, birth records, Certificates of Indian Blood (CIBs), tribal identification cards, 1 housing authority (section 8) documents, social security cards and documents, family census cards, health benefit identification cards, social service program documents or cards, passports, legal permanent residence documents, tax returns and voter registration cards.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**b. Describe any exceptions to the above policies.**

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**17.3 Identification Verification**

Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply

- Verify SSNs with Social Security Administration
- Match SSNs with death records from Social Security Administration or state agency
- Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)
- Match with state Department of Labor system
- Match with state and/or federal corrections system
- Match with state child support system
- Verification using private software (e.g., The Work Number)
- In-person certification by staff (for tribal grantees only)
- Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)

Other - Describe:

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**17.4. Citizenship/Legal Residency Verification**

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply.

- Clients sign an attestation of citizenship or legal residency
- Client's submission of Social Security cards is accepted as proof of legal residency
- Noncitizens must provide documentation of immigration status
- Citizens must provide a copy of their birth certificate, naturalization papers, or passport
- Noncitizens are verified through the SAVE system
- Tribal members are verified through Tribal enrollment records/Tribal ID card
- Other - Describe: *Some Service Providers verify Citizenship/Legal Residency Status with the State eligibility/management system (e.g. SNAP, TANF).*

**17.5. Income Verification**

What methods does your agency utilize to verify household income? Select all that apply.

- Require documentation of income for all adult household members
  - Pay stubs
  - Social Security award letters
  - Bank statements
  - Tax statements

Zero-income statements

Unemployment Insurance letters

Other - Describe:

Clients must provide verification for unearned income. Agencies require documentation of income for all adult household members and persons age 16 or above who are not full-time students. Agencies may, at their discretion, accept a participant statement as verification for income when the client has attempted but is unable to provide the verification, no other source of verification is available, and agency staff have attempted to assist in obtaining the verification on behalf of the client. When a partial month of check stubs is available, the documents available will be used to calculate the income received during the period lacking documentation.

Computer data matches:

Income information matched against state computer system (e.g., SNAP, TANF)

Proof of unemployment benefits verified with state Department of Labor

Social Security income verified with SSA

Utilize state directory of new hires

Other - Describe:

#### 17.6. Protection of Privacy and Confidentiality

Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

Policy in place prohibiting release of information without written consent

Grantee LIHEAP database includes privacy/confidentiality safeguards

Employee training on confidentiality for:

Grantee employees

Local agencies/district offices

Employees must sign confidentiality agreement

Grantee employees

Local agencies/district offices

Physical files are stored in a secure location

Other - Describe:

#### 17.7. Verifying the Authenticity

What policies are in place for verifying vendor authenticity? Select all that apply.

All vendors must register with the State/Tribe.

All vendors must supply a valid SSN or TIN/W-9 form

Vendors are verified through energy bills provided by the household

Grantee and/or local agencies/district offices perform physical monitoring of vendors

Other - Describe and note any exceptions to policies above:

#### 17.8. Benefits Policy - Gas and Electric Utilities

What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

Payment history

Account is properly credited with benefit

Other - Describe:



Centralized computer system/database tracks payments to all utilities



- Centralized computer system automatically generates benefit level
- Separation of duties between intake and payment approval
- Payments coordinated among other energy assistance programs to avoid duplication of payments
- Payments to utilities and invoices from utilities are reviewed for accuracy
- Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
- Direct payment to households are made in limited cases only
- Procedures are in place to require prompt refunds from utilities in cases of account closure
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:

Some Service Providers utilize computer databases to periodically review and verify accuracy and timeliness of payments made to utilities.

**17.9. Benefits Policy - Bulk Fuel Vendors**

What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.

- Vendors are checked against an approved vendors list
- Centralized computer system/database is used to track payments to all vendors
- Clients are relied on for reports of non-delivery or partial delivery
- Two-party checks are issued naming client and vendor
- Direct payment to households are made in limited cases only
- Vendors are only paid once they provide a delivery receipt signed by the client
- Conduct monitoring of bulk fuel vendors
- Bulk fuel vendors are required to submit reports to the Grantee
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:

Service Providers directly pay vendors and keep accounting records which are monitored by the Arizona Department of Economic Security to avert fraud and improper payments.

**17.10. Investigations and Prosecutions**

Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
- Grantee attempts collection of improper payments. If so, describe the recoupment process
- Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
- Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
- Vendors found to have committed fraud may no longer participate in LIHEAP
- Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

**Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters****Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.**
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.**
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.**
- 7. The prospective primary participant further agrees by submitting this proposal that it**

will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

**(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.**

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.**
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.**

**8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.**

**9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.**

**Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**By checking this box, the prospective primary participant is providing the certification set out above.**

## Section 19: Certification Regarding Drug-Free Workplace Requirements

### Section 19: Certification Regarding Drug-Free Workplace Requirements

**This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.**

#### **Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)**

- 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**
- 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.**
- 3. For grantees other than individuals, Alternate I applies.**
- 4. For grantees who are individuals, Alternate II applies.**
- 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.**
- 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).**
- 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).**
- 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:**

**Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### Certification Regarding Drug-Free Workplace Requirements

##### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) **The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;**
- (c) **Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);**
- (d) **Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --**
  - (1) Abide by the terms of the statement; and
  - (2) **Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;**
- (e) **Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;**

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

**Place of Performance (Street address, city, county, state, zip code)**

1789 W Jefferson <b>*_Address Line 1</b>		
Address Line 2		
Address Line 3		
Phoenix <b>*_City</b>	Arizona <b>*_State</b>	85007 <b>*_Zip Code</b>

**Check if there are workplaces on file that are not identified here.**

**Alternate II. (Grantees Who Are Individuals)**

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

**By checking this box, the prospective primary participant is providing the certification set out above.**



## Section 20: Certification Regarding Lobbying

### Section 20: Certification Regarding Lobbying

The submitter of this application certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By checking this box, the prospective primary participant is providing the certification set out above.

## Assurances

### Assurances

**(1) use the funds available under this title to--**

**(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);**

**(B) intervene in energy crisis situations;**

**(C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and**

**(D) plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;**

**(2) make payments under this title only with respect to--**

**(A) households in which one or more individuals are receiving--**

**(i) assistance under the State program funded under part A of title IV of the Social Security Act;**

**(ii) supplemental security income payments under title XVI of the Social Security Act;**

**(iii) food stamps under the Food Stamp Act of 1977; or**

**(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or**

**(B) households with incomes which do not exceed the greater of -**

**(i) an amount equal to 150 percent of the poverty level for such State; or**

**(ii) an amount equal to 60 percent of the State median income;**

**(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.**

**(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;**

**(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -**

**(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and**

**(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;**

**(7) if the State chooses to pay home energy suppliers directly, establish procedures to --**

**(A) notify each participating household of the amount of assistance paid on its behalf;**

**(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;**

**(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and**

**(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;**

**(8) provide assurances that,**

**(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and**

**(B) the State will treat owners and renters equitably under the program assisted under this title;**

**(9) provide that--**

**(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and**

**(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));**

**(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");**

**(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;**

**(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);**

**(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and**

**(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.**

**(15) \* beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.**

**\* This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.**

**(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.**

## Plan Attachments

PLAN ATTACHMENTS
The following documents must be attached to this application
<b>Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.</b>
<b>Heating component benefit matrix, if applicable</b>
<b>Cooling component benefit matrix, if applicable</b>
<b>Minutes, notes, or transcripts of public hearing(s).</b>

## Attachment 5A

Allowable measures for Low-Income Home Energy Assistance Program (LIHEAP) will include but not limited to:

- air /envelope sealing
- duct sealing
- Insulation
- base load measures
- HVAC Systems
- Refrigerators
- Gas Stove with high CO readings
- Domestic Water heaters (Gas, Electric or Propane)
- weather-stripping of doors and windows
- health and safety needs of clients

Existing gas kitchen ranges which, because of advanced age and deteriorated condition and which show unsafe levels of carbon monoxide, must be replaced with a range that has electronic intermittent ignition features and must comply with all applicable codes for gas kitchen ranges.

If conversion from propane to electric range is needed, prior approval is required from the Arizona Department of Housing Conversion.

As gas domestic hot water heaters, especially tankless units, tend to be more efficient and cheaper to operate than electric, conversion from electric water heating to natural gas water heating where the natural gas service is available to the property line is an allowable measure only if the household size is two or more occupants.

Conversion of propane heating with A/C to a Heat Pump shall be allowable, but only with prior approval from the ADOH.

Conversion of propane heating to electric heat resistances shall be allowable, but only with prior approval from the ADOH.



# Arizona Cooling Component Benefit Matrix **2017**

Payment guidelines are based upon income, energy burden and energy need. Priority points are given to households with the lowest income, highest energy burden and energy need. Households, which meet these criteria, are eligible for higher benefits.

1. Poverty: Based on 60 percent of State Median Income for household sizes of one through six. For households of seven or more percentages will be based on 150 percent of the Federal Poverty guidelines.

<u>Percent of Poverty</u>	<u>Points Applied</u>
0% - 25%	5 points
26% - 50%	4 points
51% - 50%	3 points
76% - 100%	2 point

2. Energy Burden

<u>Percent of Energy Burden</u>	<u>Points Applied</u>
5% - or less	0 points
6% - 10%	3 points
11% - 15%	4 points
16% - 20%	5 points
21% - Higher	6 points

3. Energy Need

<u>Percent of Energy Need</u>	<u>Points Applied</u>
Elderly	1 point
Disabled	1 point
Child age 6 and under in Household	1 point
Working Poor	1 point

<u>Total Points Applied</u>	<u>Payment Levels</u>
1 - 2	\$ 75 - \$160 maximum
3 - 6	\$125 - \$320 maximum
7 - 11	\$175 - \$480 maximum
12 - 15	\$225 - \$640 maximum

# Arizona Heating Component Benefit Matrix **2017**

Payment guidelines are based upon income, energy burden and energy need. Priority points are given to households with the lowest income, highest energy burden and energy need. Households, which meet these criteria, are eligible for higher benefits.

1. Poverty: Based on 60 percent of State Median Income for household sizes of one through six. For households of seven or more percentages will be based on 150 percent of the Federal Poverty guidelines.

<u>Percent of Poverty</u>	<u>Points Applied</u>
0% - 25%	5 points
26% - 50%	4 points
51% - 50%	3 points
76% - 100%	2 point

2. Energy Burden

<u>Percent of Energy Burden</u>	<u>Points Applied</u>
5% - or less	0 points
6% - 10%	3 points
11% - 15%	4 points
16% - 20%	5 points
21% - Higher	6 points

3. Energy Need

<u>Percent of Energy Need</u>	<u>Points Applied</u>
Elderly	1 point
Disabled	1 point
Child age 6 and under in Household	1 point
Working Poor	1 point

<u>Total Points Applied</u>	<u>Payment Levels</u>
1 - 2	\$ 75 - \$160 maximum
3 - 6	\$125 - \$320 maximum
7 - 11	\$175 - \$480 maximum
12 - 15	\$225 - \$640 maximum

Attachment 2

FFY 2018 LIHEAP State Plan

A draft of the FFY 2018 State Plan is included for review. Please provide any comments on the attached draft by April 28, 2018.

Workgroups for the FFY 2018 State Plan, which took place December 7, 2016 and January 25 and March 7, 2017, in addition to input from the Arizona Department of Housing, resulted in the following changes for FFY 2018:

LIHEAP FFY 2018 State Plan Draft Matrix

Section	Plan Modifications	CAP Network's Comment	DES Response/Changes
Section 1: Program Components	Error correction in 1.3: Unchecked box for Cooling Assistance  Checked the box for Other: Support a year-round crisis assistance program that includes heating and cooling.		
Section 2: Heating Assistance	2.3 Added text to explain exception to eligibility calendar for elderly participants in recertification programs.		
Section 3: Cooling Assistance	3.3 Added text to explain exception to eligibility calendar for elderly participants in pilot programs.		
Section 5: Weatherization Assistance	Changed all income guidelines to 200% of FPL regardless of household size.  Under 5.5, Checked the box marked "Other," and added explanatory text: "Weatherization Measures are not subject to DOE Savings to Investment Ration Standards."  Deselected the checkboxes in the next item, which were covered by the above change.		

## LIHEAP FFY 2018 State Plan Draft Matrix

<p>Section 14: Leveraging Incentive Program</p>	<p>14.3 Removed United Way of Pinal County</p>		
<p>Section 17: Program Integrity</p>	<p>17.4 Added language to allow Service Providers to verify Citizenship/Legal Residency Status with the State eligibility/management system (e.g. SNAP, TANF).</p> <p>17.5 Changed wording in existing sentence for clarity. Added language to allow a participant statement to be used at agency discretion as verification for income when the client has attempted but is unable to provide the verification, no other source of verification is available, and agency staff have attempted to assist in obtaining the verification on behalf of the client. When a partial month of check stubs is available, the documents available will be used to calculate the income received during the period lacking documentation.</p> <p>Checked the box for Computer data matches and Income information matched against state computer system (e.g. SNAP, TANF).</p>		