




DEPARTMENT OF ECONOMIC SECURITY  
Your Partner For A Stronger Arizona

Douglas A. Ducey  
Governor

Michael Trailor  
Director

March, 30, 2018

To: Community Action Network

From: Frank Migali, Bureau Chief   
Division of Aging and Adult Services

Subject: State Fiscal Year (SFY) 2019, Community Service Block Grant (CSBG), SFY 2019 – Discretionary Awards, Community Action Program Services (CAPS); Permanent Legal Resident Documentation policy update; CSBG Organizational Standards Policy, Low Income Home Energy Assistance Program (LIHEAP), policy updates; SFY 2019 CAPS Income Eligibility Thresholds; CSBG ROMA Catalog, Quarterly and Annual Reporting; and CSBG and LIHEAP State Plan Drafts and Change Matrices.

The following ALERTS are attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY 19 A2	Allocations: Community Service Block Grant (CSBG), SFY 2019 – Discretionary Awards
ALERT SFY-19-J2	CAPS Policy Updates
ALERT SFY-19-J3	LIHEAP IT Expenditure Policy
ALERT SFY-19-K	Information: SFY 2019 CAPS Income Eligibility Thresholds
ALERT SFY-19-K1	ROMA Catalog Template and Instructions with Common Indicators Document
ALERT SFY-19-L	State Plans: CSBG and LIHEAP State Plan Drafts for FFY 2019, With Change Matrices and Request for Comments

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: Priscilla Kadi, Frank Migali, Tammy Frazee, Shelley Morgan, Edward Chien, Diana Gravett, Ben Kaufman, Bridget Casey, Matt Lecrone, and DAAS FSA Team, DAAS file



Division of Aging and Adult Services  
ALERT

SFY-19-A2

**Community Services Block Grant (CSBG)  
for SFY-2019**

**State Fiscal Year (SFY) 2019 - Community Services Block Grant (CSBG) Discretionary Awards:** The Division of Aging and Adult Services, Community Action Programs and Services, (DAAS/CAPS) is pleased to announce the awards for the CSBG Discretionary Special Projects funds for SFY 2019. For SFY 2019, DAAS received 6 proposals totaling more than the available budget of \$88,820 and was necessitated to award each agency less than requested. DAAS/CAPS has also made available \$155,000 to the Arizona Community Action Association: \$55,000 to conduct coordination among eligible entities and \$100,000 to provide training and technical assistance to eligible entities. The following grant awards have been approved:

**CSBG Funds Discretionary Funds**

<b>Agency</b>	<b>Amount</b>
Mesa Community Action Network – Assets to Outcomes	\$32,598
Portable Practical Education Preparation – YouthBuild	\$23,400
Coconino County Community Services Department – Keys to Prosperity	\$15,000
Northern Arizona Council of Governments – Employment lab	\$ 1,950
Western Arizona Council of Governments – Care Transitions	\$11,872
Southeastern Arizona Community Action Program – EITC	\$ 4,000
<b>Subtotal:</b>	<b>\$88,820</b>
Arizona Community Action Association – Coordination among eligible entities and training and technical assistance	\$155,000
<b>Total CSBG Discretionary Awarded</b>	<b>\$243,820</b>

**Discretionary award funds must be fully expended by June 30, 2019.**

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. For community, based projects, utilize the CSBG Annual Report, Module 3 forms to describe domain(s) and goals. The narrative description of activities and expenditures and goals shall be submitted in the SFY 2019 CSBG Annual Report, due November 1, 2018.

**See next page for Emergency and Disaster Funds Details**



Division of Aging and Adult Services  
ALERT

SFY-19-A2

**Community Services Block Grant (CSBG)  
for SFY-2019**

**CSBG Discretionary Emergency and Disaster Funds**

DAAS/CAPS has reserved \$30,000 of CSBG funds in the event of local emergencies or disasters. These funds are available to provide temporary shelter, food other emergency provisions in the event of a local emergency caused by fire, flood, storms, or other unanticipated conditions that threaten life, safety, health, and self-sufficiency that occur outside the control of the individuals affected. CSBG funds may be used in the event of delays in the provision of other relief programs, if no other funding is available to the agency to assist in the incident, or if relief provided by others is exhausted and the emergency condition persists. The procedure for applying for these funds is attached to this cover. (Attachment A1)

Should you have any questions, please contact your assigned Contract Specialist or CSBG Program Coordinator, Edward Chien, at [echien@azdes.gov](mailto:echien@azdes.gov) or (602)-542-3269.

# CSBG Discretionary SFY 2019

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - CSBG Discretionary (Funding \$243,820)

ALERT 19-A2

District	Agency	Served	FY 2019 Initial Allocation	Increase/ (Decrease)	FY 2019 Revised Allocation
<b>District 1</b>					
	MesaCAN				
		Maricopa/Mesa	\$ 32,598	\$ -	\$ 32,598
	CITY OF GLENDALE				
		Maricopa/Glendale	\$ -	\$ -	\$ -
	CITY OF PHOENIX				
		Maricopa/Phx	\$ -	\$ -	\$ -
	MARICOPA COUNTY				
		Maricopa/balance	\$ -	\$ -	\$ -
<b>District 2</b>					
	PIMA COUNTY		\$ -	\$ -	\$ -
	PPEP	Pima	\$ 23,400	\$ -	\$ 23,400
<b>District 3</b>					
	COCONINO COUNTY				
		Coconino	\$ 15,000	\$ -	\$ 15,000
	NACOG	Totals	\$ 1,950	\$ -	\$ 1,950
		Apache	\$ -	\$ -	\$ -
		Yavapai	\$ -	\$ -	\$ -
		Navajo	\$ -	\$ -	\$ -
<b>District 4</b>					
	WACOG	Totals	\$ 11,872	\$ -	\$ 11,872
		La Paz	\$ -	\$ -	\$ -
		Mohave	\$ -	\$ -	\$ -
		Yuma	\$ -	\$ -	\$ -
<b>District 5</b>					
	CAHRA				
		Pinal	\$ -	\$ -	\$ -
	GILA COUNTY				
		Gila	\$ -	\$ -	\$ -
<b>District 6</b>					
	SEACAP	Totals	\$ 4,000	\$ -	\$ 4,000
		Cochise	\$ -	\$ -	\$ -
		Graham	\$ -	\$ -	\$ -
		Greenlee	\$ -	\$ -	\$ -
		Santa Cruz	\$ -	\$ -	\$ -
<b>Statewide</b>					
	ACAA	Statewide	\$ 155,000	\$ -	\$ 155,000
<b>Totals</b>			<b>\$ 243,820</b>	<b>\$ -</b>	<b>\$ 243,820</b>
FY 2019 Total Allocated					<b>\$ 243,820</b>



DEPARTMENT OF ECONOMIC SECURITY

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Douglas A. Ducey  
Governor

Michael Traylor  
Director

**Attachment #A2**  
**Emergency Funding Request - Community Services Block Grant (CSBG)**

Conditions of CSBG Emergency Grants

The agency shall contact DAAS/CAPS administration directly via email/phone to inform the Department of the emergency/disaster to initiate an emergency allocation request. Then, the agency shall provide responses in writing to the following:

1. Include a description of the emergency condition or disaster that led to the need for Emergency CSBG funding.
2. Provide a description of the sudden and unforeseen need for food, housing, transportation and/or shelter or other basic necessities resulting from a natural or man-made disaster and such the provision of assistance to meet this need would be consistent with the purposes of the CSBG Act.
3. Provide CSBG budget status: the State Office will review agency CSBG voucher spending (where applicable) and carryover history when considering an emergency grant application. The agency assures it is on target with expending its CSBG budget allocation and it is not carrying an abundance of funds in the Department of Economic Security (DES) contract monies.
4. Acknowledge that CSBG funds are not to be used as a primary source of relief funds nor shall it seek to duplicate the work of such initiatives to meet immediate disaster needs, nor attempt to assume responsibilities of governments, insurance carriers, or private efforts, except where flagrant and otherwise irremediable omission or excessive delays occur. The agency shall explain how other funding sources were considered first and why they were not available or were inadequate.
5. Assure that emergency grants shall not be given or used to provide direct cash assistance to disaster victims.
6. Assure that restoring or maintaining self-sufficiency is the primary goal of this request. The agency shall explain in its justification how this condition will be met. The agency shall provide projected outcomes.
7. Provide a spending plan for the amount requested and following the assistance effort, the agency shall submit to the DES a report detailing actual expenditures, along with appropriate receipts and supporting documentation.
8. Include in its narrative a description, community partnering efforts and outcomes following the provision of CSBG Emergency Assistance.
9. Include in its narrative a description, of family or community-based outcomes following the provision of CSBG Emergency Assistance.

**See outline on the next page.**

The agency assures CSBG emergency grant funds shall be used for their original intended purpose within 30 days of receipt of the grants unless given an extension by DAAS. The agency acknowledges DES will recapture any emergency funds not expended within the 30-day period following the approval of this request.

**AGENCY REQUEST - NARRATIVE OUTLINE**

[AGENCY NAME]

Item 1. - Disaster Details

Item 2: - Need for Assistance

Item 3. – Budget Status

Item 4. – Other Funds Considered

Item 5. – Forms of Assistance

Item 6. - Justification: Crisis Remediation and Maintenance of Self-Sufficiency (Family-based)

Item 7. - Costs and Spending Plan

Item 8. - Partners and Partnership Outcomes

**Provide following the provision of assistance – include with subsequent invoice.**

Item 9 – Outcomes Participant or Community Outcomes

**Provide following the provision of assistance – include with subsequent invoice.**

[Describe the outcomes for the community affected if the project is a community-based project.]

Amount Requested

Documentation Provided

If funding of this request is approved, [Agency Name] will abide by its emergency spending plan cited above and all DES Terms and Conditions listed on page 1 of this document.

Requested by:

\_\_\_\_\_

Authorized Executive

Agency Name:

Agency Address:

\_\_\_\_\_

Date:

## Community Action Programs and Services Policy Changes for SFY 2019

Policy and Procedure ALERTS are intended to notify Community Action Program (CAP) Agencies on newly developed, updated or revised Division of Aging and Adult Services (DAAS) Policies and Procedures. Please ensure that all appropriate CAP staff is provided with this information.

### Policy Topics Covered In This Alert

- 1. Community Action Programs and Services Citizenship Documentation** – Effective immediately: The United States Citizenship and Immigration Services (USCIS), has changed its procedure and documentation issued for the extension of an expiring Permanent Legal Resident identification card in the event an application for U.S. citizenship is pending for an individual when their card expires. USCIS no longer issues a new or temporary identification card in this circumstance, but applies a stamp indicating an extension was granted to the individual's passport that includes a hand written expiration date, and the USCIS authorized agent's signature or initials. Attached is the DAAS Policy Clarification for verifying citizenship/permanent legal residence in for these individuals. This policy will apply to all DAAS/CAPS programs. See Attachment #J2.A.1.
- 2. Low Income Home Energy Assistance Program (LIHEAP) Policy** – Attached are six policy clarifications/updates for LIHEAP added to the LIHEAP Policy Manual. See Attachment #J2.A and J2.B.1 and J2.B.2
  - **Crisis Definitions**
  - **Fraud Policy**
  - **Fair Hearing Policy**
  - **Duplication of Benefits**
  - **Benefit Matrix Pilot**
  - **Referral for Weatherization Program services**
- 3. Community Services Block Grant (CSBG)** – Updated proposed policy for the implementation and evaluation of compliance with the CSBG Organizational Standards. See Attachment #J2.D.

If you have any questions, please contact Shelley Morgan, [smorgan@azde.gov](mailto:smorgan@azde.gov), or Edward Chien, [echien@azdes.gov](mailto:echien@azdes.gov).



DEPARTMENT OF ECONOMIC SECURITY  
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## Division of Aging and Adult Services

# Low Income Home Energy Assistance Program



## Policy and Procedure Manual

Revised March 2018



1. Outreach activities
2. Assistance with home energy costs
3. Intervention in energy emergency situations
4. Provision of low-cost residential weatherization and cost-effective energy-related home repair
5. Planning, developing, administering and leveraging activities

Federal law also requires DES to agree to comply with sixteen assurances included in the *State Plan* that states must use to develop their policies and procedures. *{LIHEAP Statute Section 2605(c) (1) (F)}*

LIHEAP services include:

- Financial aid to pay a portion of utility costs
- Crisis intervention for threat of, or no utility situations
- Energy related repair for home energy system repair or replacement
- Referral to Weatherization and other human service providers as funding is available

LIHEAP is administered by the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS). DES/DAAS provides grants to local Community Action Agencies, counties, tribal governments, the Arizona Department of Housing and private not for profit Service Providers to deliver the program in defined geographic areas. These entities will be referred to as Service Providers in this manual. DES/DAAS has statewide administrative authority over LIHEAP including:

- Selecting and contracting with local Service Providers
- Program and policy development
- Training and support
- Disbursing financial resources
- Monitoring for compliance
- Data collection
- Reporting

Annually, DES/DAAS submits a State Plan or an update to the State Plan to the US Department of Health and Human Services as required by law. The State Plan describes how federal LIHEAP funds will be used to help low-income households pay energy costs and reduce energy. Then the Plan is put before the public for input *{LIHEAP Statute Section 2605 (a)(2)}*. Comments received at the public hearing and in writing during the comment period are considered in the development of the State Plan. The proposed State Plan is available at the main DES site.

([https://www.azdes.gov/uploadedFiles/Aging\\_and\\_Adult\\_Services/Community\\_Services\\_Unit/LIHEAP\\_Policy\\_Manual\\_SF14.pdf](https://www.azdes.gov/uploadedFiles/Aging_and_Adult_Services/Community_Services_Unit/LIHEAP_Policy_Manual_SF14.pdf))

The LIHEAP program provides utility assistance in the form of a regular LIHEAP and/or Supplemental (Crisis) benefit. For the purposes of this manual LIHEAP assistance will be referred to as LIHEAP. All LIHEAP payments are made to the energy vendor or landlord (if utilities are included in the rent) on behalf of eligible households that meet income criteria and accumulate the required number of

State Statute and federal regulation should be noted in the data sharing request: ARS 36-598-01, CFR 233.120

#### **200.11 Records Maintenance**

Service Providers must maintain a record management system that retains applications and supporting documents for a period of a minimum of five years from the date of the final audit. Contractor's retention policies should not exceed five years to protect the data privacy of applicants. (ARS35-214)

#### **200.12 Duplication of Benefits**

Community Action Agencies (CAA) are to review all LIHEAP eligible households within the agency's geographical service boundary for LIHEAP (regular and supplemental) benefits received within the prior 12 month period. The review should cover a 12 month period, and identify any households, and household members, that have received LIHEAP (regular and/or supplemental) benefits. Please note that this policy will be implemented until an automated option is developed. .

#### **200.13 Fraud Detection**

Service Providers must have a written policy and mechanisms in place in order to identify and report cases of suspected LIHEAP fraud, waste, abuse or improper payments. Any known fraud/abuse must be reported to DES/DAAS as soon as it is identified along with information on how the situation was corrected.

For questions related to fraud at the federal level email [fraudnet@gao.gov](mailto:fraudnet@gao.gov). To report suspected fraud, waste or abuses at the state level go to: <https://www.azdes.gov/forms.aspx?menu=10&form=4825> or call **1-800-251-2436**.

#### **Investigation of Suspected Fraud**

Service Providers must take action in the case of credible fraud allegations or other discoveries of potential fraud. A complaint is likely to be credible when the complainant identifies themselves and describes a situation that would violate some aspect of LIHEAP's policy. Situations that are easily remedied such as overpayments that are recovered by the Service Provider do not need to follow the fraud parameters. If an error is discovered to be due to the Service Provider, the Service Provider must ensure that the household has not experienced a loss of energy due to the mistake. The Service Provider is only obligated to assist the household within the eligibility guidelines. Reasons to investigate may include:

- A complaint of misuse of LIHEAP resources
- A credible complaint that contradicts application information affecting eligibility or benefits
- Knowledge that a household has received LIHEAP assistance in more than one location twice within the 12 month (365 day) period
- Knowledge that a household has received Supplemental (Crisis) LIHEAP assistance twice within the 12 month (365 day) period (The Service Provider where the household applied last is in charge of the investigation. The Service Provider where the household applied first should cooperate with the investigation.)
- Public information from law enforcement activities or the news media

When undertaking the investigation the Service Provider must:



- Report the situation by contacting the DES LIHEAP Program Coordinator with pertinent information
- Ensure due process and protect the privacy rights of the household. If legal action commences, the privacy rights may change
- Contact agency's staff that investigates fraud management and/or their legal advisor to determine what course of action is needed
- Inform the energy vendor and household that the assistance may be re-captured, a refund may be requested or a freeze of LIHEAP credit on the household's energy vendor account may be implemented in the event that fraud is determined
- Collect and verify facts and information to determine if an error or potential fraud occurred
- Conduct follow-up interviews to obtain additional information, if necessary
- Take appropriate action to safeguard public resources such as requesting repayment of LIHEAP funds from the household if applicable
- Track fraud cases until completion including convictions and restitution if applicable and submit all updates and conclusions to DES/DAAS
- Document a household's suspected fraud and investigation results and forward to DES/DAAS LIHEAP Program Coordinator

#### **200.14 Fiscal Transactions**

Service Providers must use generally accepted fiscal practices including authorized personnel having program specific knowledge. Practices should have:

- Proper segregation of duty (to have more than one person complete the fiscal tasks to prevent fraud and error.)
- Auditable processes
- Consistent communication between program and fiscal staff

#### **200.15 Life Threatening Crisis Policy**

A crisis exists when a household faces an energy burden which depletes or threatens to deplete financial resources, or which poses a potential health and/or safety threat to the well-being of the household.

- A client is considered to be in crisis when the household has received a shutoff or eviction notice and/or is pending loss of energy. Eligible LIHEAP crisis applicants must be provided some type of assistance within **48** hours, as funding is (resources are) available.

##### **200.15.1 Life threatening Crisis Definition**

When an eligible LIHEAP crisis client meets LIHEAP criteria and the household is considered to be in a life-threatening emergency per, but not limited to, the following criteria:

- The client can establish through medical documentation that, in the opinion of a licensed medical physician, termination of power, or exposure to heat or cold would

be especially dangerous to the health of a client or a permanent resident residing on the client's premises.

- Life supporting equipment used in the home that is dependent on utility service for operation of such apparatus.

LIHEAP Eligible clients who are in a life-threatening emergency situation must be provided some type of assistance within **18** hours, as funding is (resources are) available.

## **200.16 Overpayments and Recovery of LIHEAP Funds**

A correction is required when LIHEAP assistance is overpaid. Service Providers must track households with unresolved overpayments. If the overpayment is due to the household reporting inaccurate information the household is not eligible to receive LIHEAP (regular/supplemental) assistance until the overpayment issue is resolved and the recovery procedure is complete. If the overpayment is due to an error on the part of the Service Provider or other circumstance, the household is eligible to receive LIHEAP (regular/supplemental) Assistance.

Service Providers must document overpayments when recovering LIHEAP funds paid to a household or for a household to an energy vendor. Documentation should include the household number, reason for the overpayment and the utility type and type of assistance. This information should be kept by the Service Provider and provided to the DES monitoring team if requested.

Follow the overpayment recovery procedures for an error, waste, abuse, or suspected fraud below:

If an error results in overpayment of LIHEAP funds, the Service Provider must attempt to recover funds in the following order:

1. If identified immediately, work with the energy vendor to determine if the incorrect payment can be easily refunded to the CAA
2. Adjust scheduled payments, if possible
3. Recover credit on energy vendor account, if possible

All cases of suspected fraud must be reported to proper authorities (Fraud Detection, section 200.12). The following rules guide overpayment recovery of LIHEAP funds for instances of suspected fraud.

Households who have committed fraud must repay funds. Recover funds in the following order:

1. If identified immediately, work with the energy vendor to determine if incorrect payment can be easily refunded.
2. Recover credit on energy vendor account, if possible.
3. Write to the client by certified mail to:
  - Notify them of the situation
  - Request repayment of overpaid LIHEAP funds not recovered
  - Clarify the household's rights and responsibilities and appeals process
  - Offer to meet with the household member(s)
  - Set up a repayment schedule including installment payments as needed ensuring full repayment is made



When the decision is to approve assistance for **Low Income Home Energy Assistance Program (LIHEAP)**, the Service Provider's approval notice of LIHEAP assistance received is provided to the applicant. No further action will be required. If the client refuses the copy of the completed approval page at the time of the application, the Service Provider must document this in the file. When the decision reported is to approve assistance, the approval notice or application is acceptable means of notification. No further action is required. The applicant must be handed or mailed a hard copy of the approval notice or completed application within five (5) working days of application date.

#### **1000.02 Denial Notices**

If the Service Provider determines that the household is not eligible prior to completing the application no written decision needs to be given to the household.

When the decision is to deny or reduce assistance, the denial reason must be stated on the denial letter, or on the application, which is given to the applicant.

The applicant has the right to appeal this decision. Instructions for initiating the appeal process are listed below in Section 1100, Grievance Process.

When the decision reported is to deny or reduce funded assistance, the reason for such denial must be stated on the intake form, application or denial letter. The applicant is handed or mailed a hard copy of the denial notice within five (5) working days of application date.

#### **1000.03 Payment Process**

The Service Provider will make direct payments to vendors, and will receive reimbursement through the DES/DAAS contract invoice process.

#### **1000.04 Vendor Refunds**

Any unused payments or deposits made with LIHEAP funds which are eligible for refund to the client must be returned to the client when possible. When the client cannot be located, funds must be returned by the vendor to ACAA. ACAA will return the funds to the Department of Economic Security for redistribution to the Community Action Agencies during the next allocation process. Funds older than two years will be remitted to the Federal Government.

Funds returned from vendors to ACAA must be accompanied by the following information:

- Client name
- Agency issuing benefit
- Benefit amount
- Date the benefit was paid
- Account number
- Funding source

### **1100 GRIEVANCE PROCESS**

This section addresses the grievance process and clients who choose to escalate their grievance to the state level. Each Service Provider must have a grievance procedure in place as defined in their

respective contract. The Service Provider should include the DES grievance process contained in this section when providing their internal process to the applicant. Service Provider's internal grievance process should allow for a client to attempt to resolve complaints at the local level in an informal manner. First the applicant/recipient must follow the Service Provider's process prior to appealing with DES. Should an individual decide to appeal the local Service Provider's decision they may appeal through the DES grievance process.

A grievance procedure is a process through which any individual may have a decision reviewed by a third party in accordance with *Arizona Administrative Code R-5-2404*. An opportunity for a grievance hearing shall be granted to any applicant who requests a hearing because their application for LIHEAP assistance was denied, terminated or incurred a benefit reduction. There are four steps to the procedure;

1. An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the Service Provider 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 (10) working days provide in writing a statement of the grounds for the hearing. The request must be submitted to the Service Provider within ten (10) working days after the mailing date on the decision letter. The Service Provider receiving the grievance will make all efforts to resolve the issues within ten (10) working days of the request.
2. In the event the applicant/recipient wishes to appeal the decision of the Service Provider, the applicant/recipient may within ten (10) working days of receiving the Service Provider's decision letter appeal in writing to the DES/DAAS Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within thirty (30) working days of the appeal letter.
3. In the event the applicant/recipient wishes to appeal DES/DAAS's decision the applicant/recipient may within ten working days of receiving the DES/DAAS's decision letter, request in writing, a fair hearing in accordance with Arizona Administrative Code R6-5-2405.
4. In the event the applicant/recipient wishes to appeal the decision of the Fair Hearing, the applicant/recipient may within ten (10) working days of receiving 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 sixty (60) days of the request.

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283**  
**Division of Aging and Adult Services**  
**COMMUNITY SERVICES PROGRAM ADMINISTRATOR**  
**P.O. Box 6123**  
**Phoenix, AZ 85005-6123**

5. In the event the applicant/recipient wishes to appeal DES/DAAS's decision the applicant/recipient may within ten working days of receiving the DES/DAAS's decision letter, request in writing, a fair hearing in accordance with Arizona Administrative Code R6-5-2405. The request shall be directed to:

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283**



**Assistant Director  
Division of Aging and Adult Services  
P.O. Box 6123  
Phoenix, AZ 85005-6123**

6. In the event the applicant/recipient wishes to appeal the decision of the Fair Hearing, the applicant/recipient may within ten (10) working days of receiving a 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 sixty (60) days of the request.

**1100.01 Service Provider's Additional Responsibilities to the Applicant/Recipient**

The Service Provider will provide the applicant/recipient with a copy of their application. The Service Provider is also responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the review, including copies of pertinent documents in their case file.
- B. The grievance hearing notification shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- C. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- D. The Service Provider shall render a written decision to the appellant no later than twenty (20) calendar days from the date of the hearing.
- E. The applicant/recipient must be advised of their right to appeal the decision and process by which to do so.

**Note:** All documents given to the public must include a reasonable accommodation statement.

**1100.02 Service Provider's Responsibilities to the Division of Aging and Adult Services**

The Service Provider is responsible for providing the following information to DES/DAAS within ten (10) working days from the request:

- A. A grievance packet that contains the appellant's application, verification documents which justify the action the Service Provider has taken, case notes, printouts and all other information relevant to the issue, and a copy of the denial notice given to applicant.
- B. A brief summary of the circumstances supporting the Service Provider's determination which is at issue including copies of all pertinent documentation.
- C. The date the hearing was conducted.

### **1100.03 Service Provider's Appeal Rights**

Service Providers have the right to appeal a decision made by DES/DAAS. A written request must be submitted to DES/DAAS within ten (10) working days of the post-mark date of the DES/DAAS decision letter. The request must be signed, dated and contain the reason for requesting the hearing. The request must be submitted to:

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283  
Division of Aging and Adult Services  
COMMUNITY SERVICES PROGRAM ADMINISTRATOR  
P.O. Box 6123  
Phoenix, AZ 85005-6123**

### **1100.04 Division of Aging and Adult Services Responsibilities**

DES/DAAS is responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with contact information for available legal service.
- B. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the hearing, including copies of pertinent documents in their case file.
- C. The hearing notice shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- D. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- E. DES/DAAS shall render a written decision to the applicant/recipient and Service Provider no later than twenty (20) calendar days from the date of the hearing.



**Temporary Evidence of Lawful Permanent Residence. Valid Until (Date)  
With the following Stamp/Annotations of Law**

- 1) Adjustment Admission Stamp - Eligible when any of the following sections of law are indicated: 203(a)(7); 207;208;212(d)(5); 243(h)(with (PRUCOL) determination)
- 2) Non-Specific Admission Stamp - Eligible when the form is noted with an I-551 eligible statuscode
- 3) Parole Admission Stamp - Eligible when the period of parole is for at least one year as verified on the stamp
- 4) Replacement Admission Stamp - Eligible when the stamp displays an I-551 eligible Status Code
- 5) Temporary [I-551](#) Admission Stamp - Eligible when the key phrase reads one of the following:
  - a) "Admission for Permanent Residence at: a machine-readable immigrant visa (MRIV) usually has the following text on it: "UPON ENDORSEMENT SERVES AS TEMPORARY I-551 EVIDENCING PERMANENT RESIDENCE FOR 1 YEAR."
  - b) Asylee

An Asylee, Non-Citizen Legal Resident is granted asylum through an exercise of discretion by the Attorney General, pursuant to Section 208 of INA. This Non-Citizen is potentially eligible for benefits for a period of seven years from the date their status is granted.

**Note:** The eligibility period begins from the month the Asylee status is granted, NOT the month of U.S. entry.

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- 1-94 with one of the following:

A stamp showing grant of asylum under Section 208 of the INA to include:

- A. AS1 - Eligible for benefits
- B. AS2 - Eligible for benefits
- C. AS3V92 - Eligible for benefits

### **Refugee or Amerasian**

A Refugee or Amerasian is admitted into the U.S. under Section 207 of INA. This Non-Citizen is potentially eligible for benefits for a period of seven years from the date that their status is granted.

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

1-94- endorsed to show entry as a refugee under Section 207 of the INA or entry as an Amerasian OR noted with one of the following Status Codes: NP2 - 7; P2 -6, -7, -71; RE-8; Z2; (Eligible for Benefits).

### **Victim of Human Trafficking**

A victim of human trafficking is admitted onto the U.S. under the Trafficking Victims Protection Act (TVPA) of 2000. This Non-Citizen Legal Resident is potentially eligible for services for a period of seven years from the date that their status is granted. These applicants normally have one of the following USCIS documents:

- **1-94- with a T Visa or Derivative T Visa (T, T-2, T-3, T-4, or T-5)**  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED).

### **Non-Citizen Legal Resident Paroled Into The U.S.**

A Non-Citizen paroled into the U.S. is lawfully present in the U.S. as a result of a grant of parole by the Attorney General, pursuant to Section 212(d) (5) of the INA. This Non-Citizen is potentially eligible for services when the period of the parole is for at least one year. These applicants normally have one of the following USCIS documents (NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- 1-94 - with PAROLE PURSUANT TO SECTION 212(d) (5) on the front.

The form must not be expired and the expiration date must be at least one year after the issue date. Both dates are documented on the form (Eligible for Benefits).

### **Non-Citizen Legal Resident Whose Deportation Is Withheld**

A Non-Citizen Legal Resident whose deportation is withheld is a Non-Citizen Legal Resident for whom the Attorney General has withheld deportation from the U.S. pursuant to Section 243(h) or 241 (b)(3) of the INA. A Non-Citizen Legal Resident whose deportation is withheld is potentially eligible for services for a period of seven years from the date of the judge's orders.

These applicants normally have one of the following USCIS documents:  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED).

1-94 -with an order from an immigration Judge showing one of the following:

- Deportation withheld under 243(h) of the INA (Eligible for Benefits)



This section identifies alien ID cards that applicants may provide to determine whether they meet one of the qualified non-citizen requirements to receive benefits. Documents cannot be EXPIRED.

## **I. Alien Identification Cards**

The eligible ID cards listed in this section are as follows:

1. 1-94 Arrival/Departure Record
2. POTENTIALLY ELIGIBLE depending on the following:
  - 1-94 admission stamp used, section of law/class-code annotations; Applicant must also meet a qualified Non-Citizen Legal Resident Status criteria identified in Section II-A. NOT ELIGIBLE for benefits when the document lacks a registration number

### **a. 1-94 Parole Edition**

POTENTIALLY ELIGIBLE depending on the following:

1-94 admission stamp used; section of law/class-code annotations; Applicant must also meet a qualified Non-Citizen Legal Resident Status criteria identified in Section II-A. NOT ELIGIBLE for benefits when the document lacks a registration number.

### **b. 1-151 Alien Registration Card**

POTENTIALLY ELIGIBLE -The 1-151 is the original green card. Many however were printed on blue paper; several versions of this card exist.

Applicants must also meet qualified Non-Citizen Legal Resident Status criteria identified in Section 11-A.

### **c. 1-551 Permanent Resident Card**

### **d. Visa Stamps in Foreign Passports-Eligible when all of the following occur:**

- I. The Visa is stamped "UPON ENDORSEMENT SERVES AS TEMPORARY I-551 EVIDENCING PERMANENT RESIDENCE FOR 1 YEAR."
- II. Neither the Visa NOR the passport have expired. The passport's expiration date is normally found on the same page as the person's photograph.

**Note:** Applicants, who have expired, lost or otherwise cannot locate their immigration documents from USCIS are responsible for contacting USCIS for replacement documents.

LIHEAP ELIGIBILITY WORKSHEET  
Effective January 1, 2018

**ATTACHMENT 3**

APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

**4. INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_ (a)

**ENERGY BURDEN**

To calculate:

- h) Use one month's bill for both electric and gas
- i) If client does not have electric bill, call utility company for actual cost (document collateral contact)
- j) If client pays a gas bill, but does not have proof of the most recent bill, use \$50
- k) Enter \$200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- l) Enter \$200 for utilities included in the rent unless another amount is documented
- m) If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
- n) If income is less than energy bill total, energy burden will be a minimum of 100% (maximum Income Points should be given)

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_ Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_ %Energy Burden

**Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden**

5% and less	0 points
6%--10%	3 Points
11%--15%	4 Points
16%--20%	5 Points
21%--++	6 Points

Deliverable fuel Points (include in Energy burden Points below: \_\_\_\_\_)

**Note: Add 2 points for deliverable fuels**

Energy Burden Points: \_\_\_\_\_ (b)

**5. ENERGY NEED**

Elderly	1 point
Disabled	1 point
Working Poor	1 point
Child age 6 or younger	1 point
(Only one point per category allowed)	

Elderly Points: \_\_\_\_\_ (c)

Disability Points: \_\_\_\_\_ (d)

Working Poor Points: \_\_\_\_\_ (e)

Child Points: \_\_\_\_\_ (f)

**6. PAYMENT MATRIX**

- d) Benefit level must be within the point ranges
- e) Minimum payment level for the point range **must be made**
- f) Maximum payment level for the point range **cannot be exceeded**

<u>Total Points</u>	<u>Payment Ranges</u>
1-2	\$ 75-160
3-6	\$ 161-320
7-11	\$ 321-480
12 and up	\$ 481-640

Total All Points: \_\_\_\_\_  
(a+b+c+d+e+f)

Allowable Payment: \_\_\_\_\_



APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

1. **INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$\$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_(a)

**ENERGY BURDEN**

To calculate:

- a) Use one month's bill for both electric and gas
- b) If client does not have electric bill, call utility company for actual cost (document collateral contact)
- c) If client pays a gas bill, but does not have proof of the most recent bill, use \$50
- d) Enter 200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- e) Enter 200 for utilities included in the rent unless another amount is documented
- f) If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
- g) If income is less than energy bill total, energy burden will be a minimum of 100% (maximum Income Points should be given)

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_ Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_ %Energy Burden

**Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden**

5% and less	0 points
6%--10%	3 Points
11%--15%	4 Points
16%--20%	5 Points
21%--++	6 Points

Deliverable fuel Points (include in Energy burden Points below: \_\_\_\_\_)

**Note: Add 2 points for deliverable fuels**

Energy Burden Points: \_\_\_\_\_(b)

2. **ENERGY NEED**

Elderly	1 point
Disabled	1 point
Working Poor	1 point
Child age 6 or younger	1 point
(Only one point per category allowed)	

Elderly Points: \_\_\_\_\_(c)

Disability Points: \_\_\_\_\_(d)

Working Poor Points: \_\_\_\_\_(e)

Child Points: \_\_\_\_\_(f)

3. **PAYMENT MATRIX**

- a) Benefit level must be within the point ranges
- b) Minimum payment level for the point range **must be made**
- c) Maximum payment level for the point range **cannot be exceeded**

<u>Total Points</u>	<u>Payment Ranges</u>	Total All Points: _____
1-2	\$ 75-160	(a+b+c+d+e+f)
3-6	\$ 160-320	
7-11	\$ 321-480	
12-14	\$ 481-640	
15 and up	\$ 641-800	

## ELIGIBILITY DETERMINATION AND COMPLETING THE LIHEAP WORKSHEET

LIHEAP benefits are targeted to assist low-income households, particularly those with the lowest income, that pay a high proportion of their income for home energy. There are three (3) areas that are used to complete the LIHEAP Worksheet (**ATTACHMENT 2**) and determining LIHEAP benefits. Special assistance to vulnerable populations or varying program design to accommodate the unique needs of these LIHEAP recipients special consideration can be made for certain populations regarding recertification programs for seniors, individuals with disabilities and families with children 6 and under.

### **Income of All Household Members**

Income of all household members may not exceed 60 percent of the State Medium Income (SMI). After determining the monthly gross income for the household, use the chart provided in attachment 5 to determine Income Points for the LIHEAP Eligibility Worksheet. (Note: Agencies must choose one benefit worksheet to utilize for determining eligibility for the entirety of the SFY)

### **Energy Burden**

Energy Burden is determined by dividing the household's utility costs by the 30 days income.

5%	Or	Less	0 Points
6%	-	10%	3 Points
11%	-	15%	4 Points
16%	-	20%	5 Points
21%	Or	Higher	6 Points

- If the household utilizes electric and gas utilities, both bills will be used to determine the energy burden. If the applicant does not have both bills at the time of application, **the maximum amount of \$50 can be used for gas or propane (only if the client uses either)**; for electricity, a current one-month billing amount can be obtained by calling the utility company, and for wood burning stoves a maximum of **\$200** can be considered to calculate the household's energy burden.
- If utilities are included in the rent and the landlord refuses to specify the utility portion, a maximum of **\$200** can be considered to calculate the household's energy burden.
- If the applicant has electric and gas bills, use a one-month billing amount from each of the bills. Only a one (1) month billing cycle for a utility bill is to be considered in determining the energy burden. It can be the past due amount or the current month's bill. The amount that would be the most beneficial to the client should be used to calculate the energy burden.
- If the client has receipts for the purchase of propane for one month's use, the caseworker must use that amount. If the amount covers a 6 (six) month usage, then divide the amount by 6 (six) to determine a month usage amount.



- If the household is requesting a deposit for utilities, use the required deposit amount(s) including disconnect, re-connect and late fees to determine the energy burden. If a deposit is needed for both gas and electric, use both amounts to determine the energy burden.
- If the applicant has no bills for gas or propane or the Case Worker cannot make contact with a utility vendor than the Case Worker can note the application as such and this will suffice as the client statement verifying usage of either gas or propane (can only be used for this purpose) once the application is signed by the applicant and the Case Worker.
- Because the purchase of bulk fuels increases immediate energy burden, 2 energy burden points may be added to facilitate delivery of bulk fuels.

### Energy Need

- Priority points will be given to households that include a member of a vulnerable population. This includes:

<b>Elderly</b>	<b>1 Point</b>
<b>Working Poor</b>	<b>1 Point</b>
<b>Disabled</b>	<b>1 Point</b>
<b>Child age 6 and Under</b>	<b>1 Point</b>

- **"Elderly"** is defined as any individual age 60 and over.
- **"Working poor" is defined as any eligible household with at least one member who received or is due earnings from any type of employment or receiving unemployment benefits, within 30 days prior to the date of application.**
- A **"disabled" individual** is defined as any person in the household with a permanent or temporary disability. The disabled status on the application must be marked "Yes".
- A maximum of 1 point can be given in each category. 1 point for elderly, 1 point for working poor, 1 point for a disabled household member and 1 point for a child age 6 or under living in the household. The household will receive 1 point for a child age 6 or under regardless of the number of children in the household.

### TO DETERMINE BENEFIT PAYMENT LEVELS, THE FOLLOWING GUIDELINES WILL BE FOLLOWED:

Total Points	Payment Levels
1 – 2	\$75 – \$160
3 – 6	\$161 – \$320
7 – 11	\$321 – \$480
12 – 15	\$480 – \$640 (matrix 1)
15 and above	\$641 – \$800 (matrix 2)

- Calculation of points should be rounded to the nearest whole number using standard rounding rules: .5 and over-round up and .4 and below-round down.
- Benefit levels must be within the point ranges.

- Minimum payment level for the point range **must be made.**  
Maximum payment level for the point range **cannot be exceeded.**







Division of Aging and Adult Services  
ALERT

SFY-18-J2.B

## Policy and Procedures for SFY 2019

Policy and Procedure ALERTS are intended to notify Community Action Program (CAP) Agencies on newly developed, updated or revised Division of Aging and Adult Services (DAAS) Policies and Procedures. Please ensure that all appropriate CAP staff is provided with this information.

### Background

The federal Office of Community Services (OCS) conducted an assessment of the DAAS Community Action Programs and Services (CAPS), Low Income Home Energy Assistance (LIHEAP) Program in SFY 2018. One of the results of the assessment was a request for CAPS to revise its benefit matrix (LIHEAP Worksheet) to include a broader range of benefit amounts. CAPS also recognized a need create flexibility for providers that will allow them to take resources and community conditions into account when selecting a maximum benefit level. DAAS has created two proposed benefit matrices that will offer local providers an alternative payment range system.

### Summary of Revisions

Attachments #J2.B.1 and #J2.B.2 contain proposed LIHEAP benefit schedules that will allow local providers the option to select from two maximum benefit amounts, \$640 or \$800, as opposed to using only the current maximum, of \$640.

### Implementation

The Drafts of the LIHEAP Worksheets are supplied in this ALERT for review by the Community Action Network. Please submit which matrix your agency will use for the SFY in writing to [smorgn@azdes.gov](mailto:smorgn@azdes.gov) no later than June 1, 2018. Please note that Matrix 2 with the max benefit of 800 dollars will be utilized for the Senior Recertification program and any upcoming pilots at the agency's discretion.

Please direct any questions regarding the policies and procedures to Shelley Morgan at (602) 542-6620 or via email at [smorgan@azdes.gov](mailto:smorgan@azdes.gov)

APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

1. **INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_(a)

**ENERGY BURDEN**

To calculate:

- a) Use one month's bill for both electric and gas
- b) If client does not have electric bill, call utility company for actual cost (document collateral contact)
- c) If client pays a gas bill, but does not have proof of the most recent bill, use \$50
- d) Enter \$200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- e) Enter \$200 for utilities included in the rent unless another amount is documented
- f) If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
- g) If income is less than energy bill total, energy burden will be a minimum of 100% (maximum Income Points should be given)

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_  
 Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_  
 %Energy Burden

**Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden**

5% and less	0 points
6%--10%	3 Points
11%--15%	4 Points
16%--20%	5 Points
21%--++	6 Points

Deliverable fuel Points (include in Energy burden Points below: \_\_\_\_\_)

Note: Add 2 points for deliverable fuels Energy Burden Points: \_\_\_\_\_ (b)

2. **ENERGY NEED**

Elderly	1 point	Elderly Points: _____ (c)
Disabled	1 point	Disability Points: _____ (d)
Working Poor	1 point	Working Poor Points: _____ (e)
Child age 6 or younger	1 point	Child Points: _____ (f)
(Only one point per category allowed)		

3. **PAYMENT MATRIX**

- a) Benefit level must be within the point ranges
- b) Minimum payment level for the point range **must be made**
- c) Maximum payment level for the point range **cannot be exceeded**

<u>Total Points</u>	<u>Payment Ranges</u>	Total All Points: _____
1-2	\$ 75-160	(a+b+c+d+e+f)
3-6	\$ 161-320	
7-11	\$ 321-480	
12 and up	\$ 481-640	

Allowable Payment: \_\_\_\_\_

APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

1. **INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_(a)

**ENERGY BURDEN**

To calculate:

- a) Use one month's bill for both electric and gas
- b) If client does not have electric bill, call utility company for actual cost (document collateral contact)
- c) If client pays a gas bill, but does not have proof of the most recent bill, use \$50
- d) Enter 200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- e) Enter 200 for utilities included in the rent unless another amount is documented
- f) If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
- g) If income is less than energy bill total, energy burden will be 100%.

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_  
Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_  
%Energy Burden

Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden

5% and less	0 points
6%--10%	3 Points
11%--15%	4 Points
16%--20%	5 Points
21%--++	6 Points

Deliverable fuel Points (include in Energy burden Points below: \_\_\_\_\_)

Note: Add 2 points for deliverable fuels Energy Burden Points: \_\_\_\_\_ (b)

2. **ENERGY NEED**

Elderly	1 point	Elderly Points: _____ (c)
Disabled	1 point	Disability Points: _____ (d)
Working Poor	1 point	Working Poor Points: _____ (e)
Child age 6 or younger	1 point	Child Points: _____ (f)
(Only one point per category allowed)		

3. **PAYMENT MATRIX**

- a) Benefit level must be within the point ranges
- b) Minimum payment level for the point range **must be made**
- c) Maximum payment level for the point range **cannot be exceeded**

<u>Total Points</u>	<u>Payment Ranges</u>	Total All Points: _____
1-2	\$ 75-160	(a+b+c+d+e+f)
3-6	\$ 161-320	
7-11	\$ 321-480	
12-14	\$ 481-640	
15 and up	\$ 641-800	Allowable Payment: _____

J2.C

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**Attachment #J2.D**  
**DAAS/CAPS Policy Clarification**  
**Revised 3/26/18**

**CSBG Organizational Standards Implementation and Assessment Policy and Procedure**

**Background**

- In November 2017, the State CSBG Office implemented the eGov ReportHub software for evaluation of Organizational Standards compliance.
- The review cycle for Organizational Standards changed from State Fiscal Year (SFY) to Federal Fiscal Year (FFY) with the implementation of eGov.
- Organizational Standards will no longer be reviewed for compliance as part of onsite monitoring, but rather will be reviewed by desk monitoring using the software.
  - However, onsite monitoring visits will still be used as opportunities to discuss agencies' progress with Organizational Standards and any technical assistance potentially needed.
- This information is also included in section 6.4a of the CSBG State Plan.

**Summary of Deadlines**

2/28/18: Agencies submit FFY17 assessment

*3/28/18: State will provide feedback*

6/30/18: Agencies submit draft of FFY18 assessment, including any requests for compliance extensions

*7/31/18: State will provide feedback and grant/deny compliance extensions*

9/30/18: Agencies submit final FFY18 assessment. All Standards must either be in compliance or have been granted an extension by the State

**FFY 2018**

- a. CSBG-eligible community action agencies (hereafter "agencies") will be expected to submit the FFY17 assessment by 2/28/18.
  1. Acceptable submission entails completing self-assessment on all Standards that are due for review or "Not Met." This includes uploading needed documents per the guidance included in eGov and creating a compliance plan (see §b) for unmet Standards. In the case of lengthy attached documents, agencies are requested to point out where in the document the relevant evidence of compliance is to be found.
  2. Once self-assessment has been completed on all pertinent Standards, the agency must "Sign and Submit" the assessment as a whole in order for it to become visible for the State CSBG Office's review.
  3. The State CSBG Office will review the FFY17 submissions and provide feedback by 3/28/18. Agencies are not expected to revise FFY17 submissions for compliance; the intention is that agencies may incorporate the State's feedback into their FFY18 submissions.
  
- b. "Compliance plans" are written plans detailing the steps that an agency intends to take to come into compliance with a Standard. The Compliance/Technical Assistance Plan section below each Standard in eGov is designed to hold these plans.

1. Compliance plans may include a component in which agencies identify technical assistance which they need in order to comply with the Standard. However, compliance plans must envisage concrete agency actions beyond receipt of technical assistance.
  2. Compliance plans are to specify the approximate date by which compliance is expected to be achieved.
    - i. Date of expected compliance should be by the end of FFY18 (9/30/18).
    - ii. If an agency believes that a longer timeframe than the end of FFY18 is needed in order to meaningfully implement a compliance plan, the agency may include in their plan an explanation of this belief and a request for an extended deadline.
    - iii. The State CSBG Office will review the request and work with the agency to grant extensions.
- c. Agencies should submit a first draft of the FFY18 assessment by 6/30/18. The first draft must meet the following criteria:
1. All required documents are current (i.e. not expired).
  2. For all unmet Standards, a compliance plan is in place that either:
    - i. envisages compliance by 9/30/18, *or*
    - ii. states reasons for requesting an extension from the State CSBG Office
- d. The State CSBG Office will provide feedback on FFY18 first drafts and either grant or deny extensions by 7/31/18.
- e. By 9/30/18, agencies will submit their final FFY18 assessment. The final assessment must meet the following criteria:
1. All required documents are current (i.e. not expired)
  2. All Standards are either met or have been granted an extension by the State CSBG Office
- f. For each Standard, the review cycle described in the Calendar of Required Actions (Exhibit A) will begin as of the effective date of the Standard's compliance.
- g. Submission of assessments per the requirements specified in this section will be considered mandatory "participation in the implementation of CSBG Organizational Standards" per Section 6.9.1 of the Community Action Programs and Services Scope of Work (Exhibit B).

#### **FFY 2019 and onward**

- a. All agencies will be reviewed for compliance with the applicable CSBG Organizational Standards at least annually by desk review. The State CSBG Office will notify agencies in advance of upcoming desk reviews.
- b. All Standards will be reviewed at the first desk monitoring which follows their review due date; Standards will *not* be reviewed on a rolling basis as they become due. However, agencies are encouraged to conduct self-assessments regularly.
- c. Formal findings and recommendations for Organizational Standards are as follows:

1. The State CSBG Office will only make formal findings regarding an Organizational Standard if it intersects with at least one of the following:
  - i. Existing State or federal statutory or regulatory requirements
  - ii. Administrative or programmatic requirements specified by the State in a contractual scope of work
  
2. The State CSBG Office will note formal findings in the Report of Findings with a prescribed date for resolution.
  - i. If noncompliance with an Organizational Standard does not meet the criteria to result in a formal finding, it will be noted as a recommendation in the Report of Findings.
  - ii. Whether in the case of formal findings or recommendations, the State CSBG Office will work with the agency to provide or secure on their behalf any needed technical assistance to achieve compliance with the Standard.

NOTE: This policy applies only to the implementation and compliance with the CSBG Organizational Standards specifically. All contractual, fiscal, programmatic, statutory, administrative and fiscal requirements that apply to DAAS/CAPS contracts—including those that intersect in content with Organizational Standards—will continue to be subject to existing findings and recommendations.

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. [Community Action Programs and Services Scope of Work](#)





### Community Action Programs and Services Policy Changes for SFY 2019

Policy and Procedure ALERTS are intended to notify Community Action Program (CAP) Agencies on newly developed, updated, proposed, or revised Division of Aging and Adult Services (DAAS) Policies and Procedures. This ALERT is regarding proposed policy for the allowed expenditure of LIHEAP service dollars for IT system development.

#### **LIHEAP: Project Announcement 2019**

#### **Title: LIHEAP IT Project Development and Enhancement Fund**

**Purpose:** The purpose of this project is to allow up to three percent of LIHEAP Program dollars to be used for the enhancement or development of an IT system to enable CAP agencies to better serve clients. Allowable information technology development or enhancement project cannot include the purchase of equipment such as computers or other equipment, administration costs, or materials. The dollar amount will be approved by DAAS after agencies have submitted proposals for the project.

**Participants:** Please contact Shelley Morgan, LIHEAP Coordinator or Tammy Frazee, Community Action Program Administrator. CAP agencies who wish to participate should include organization information, project description, total estimated costs, and an estimated timeline. Additionally, agencies must explain how they will track project costs and report progress to DAAS once the project has commenced. The deadline to apply for project funds is May 15, 2018.

**Summary:** For the purposes of this project, OCS allows block grant recipients latitude to utilize recent Temporary Assistance for Needy Families (TANF) regulation changes that allow grantees to administer their block grant programs under the following TANF guidelines: "Grantees should consider whether the new TANF regulations affect their interpretation of what constitutes administrative costs for the LIHEAP program." 45 CFR 263.13b.

Under TANF rules, the following are considered administrative costs:

- Salaries and benefits for administrative staff
- Activities related to eligibility determination
- Preparation of plans and budgets
- Monitoring
- Fraud and abuse prevention
- Procurement
- Public relations
- Audits, accounting, litigation, management of property, payroll, and personnel
- Goods and services used in the course of other administrative functions
- IT systems not related to tracking and monitoring statutory requirements

If you have any questions, please contact Shelley Morgan Program Coordinator, [smorgan@azdes.gov](mailto:smorgan@azdes.gov), (602) 542-6620 or Tammy Frazee, [tfrazee@azdes.gov](mailto:tfrazee@azdes.gov), (602) 542-2895

**Technical Assistance  
for SFY 2019**

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 2019 Income Threshold Chart for CAPS becomes effective on **July 1, 2018 and will remain in effect until June 30, 2019**. Both the Federal Poverty Guideline (FPG) and the State Median Income (SMI) have risen slightly for 2019. The income threshold for Low Income Home Energy Assistance (LIHEAP) eligibility, is set at 60 percent of the current (SMI, as determined by the 2016 American Community Survey (ACS), Five-Year Estimates, or 150 percent of the current Federal Poverty Guideline (FPG), whichever is greater.

**Changing from SFY 2018:** in SFY 2019, the 150 percent FPG will be greater than 60 percent of the SMI for households sized **8** and larger, a change from SFY 2018. Therefore, for households with **1-7** persons, 60 percent of the SMI in the last 30 days will be the income limit for LIHEAP. For households with **8** or more members, 150 percent of the FPG in the last 30 days will be the income limit.

The income thresholds are listed on the comprehensive CAPS chart (Attachment #K.A) for all Community Action Program Services. An abbreviated chart for use with LIHEAP only is also included in this ALERT (Attachment #K.B). 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 2018 Income Threshold charts in the LIHEAP and Short-Term Crisis Services (STCS) Policy and Procedure Manuals beginning July 1, 2018.

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

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

Attachment K.A

## Community Action Programs and Services

Income Thresholds for Community Action Program Services - Effective July 1, 2018 - June 30, 2019 - Updated 1/2018

Federal Poverty Guidelines (FPG) - Income thresholds for the last 30 days by percent of FPG																				
<b>Number of Household Members&gt;&gt;</b>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>							
<b>0%-75%</b> of Poverty = At or under 75% of the FPG	\$758	\$1,028	\$1,298	\$1,568	\$1,838	\$2,108	\$2,378	\$2,648	\$2,918	\$3,188	\$3,458	\$3,728	\$270							
<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.	\$1,011	\$1,371	\$1,731	\$2,091	\$2,451	\$2,811	\$3,171	\$3,531	\$3,891	\$4,251	\$4,611	\$4,971	\$360							
<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>	\$1,264	\$1,714	\$2,164	\$2,614	\$3,064	\$3,514	\$3,964	\$4,414	\$4,864	\$5,314	\$5,764	\$6,214	\$450							
<b>126%-150%</b> of Poverty = Above 125% and at or below 150% of FPG. Threshold for: STCS, NHN and CSBG HH with one or more members aged 60+, or persons with disabilities. FOR LIHEAP SEE BELOW.	\$1,517	\$2,057	\$2,597	\$3,137	\$3,677	\$4,217	\$4,757	\$5,297	\$5,837	\$6,377	\$6,917	\$7,457	\$540							
LIHEAP ONLY - Income Thresholds by Household Size																				
<b>Number of Household Members&gt;&gt;</b>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>							
The household income limit for the last 30 days for LIHEAP is <b>60% of SMI</b> for households sized <b>6 and under</b> . For households sized <b>8 and over</b> , the income limit is <b>150% of FPG</b>	\$1,865	\$2,438	\$3,012	\$3,586	\$4,160	\$4,734	\$4,949	\$5,297	\$5,837	\$6,377	\$6,917	\$7,457	\$540							
	Income limits for LIHEAP households sized 7 and under using 60% of State Median Income							Income limits for LIHEAP households sized 8 and over (using Federal Poverty Guidelines)												
LIHEAP ONLY - Energy Points for Income by Household Size																				
<b>Number of Household Members&gt;&gt;</b>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>							
<b>To determine energy points based upon poverty level</b>	Using 60 % SMI							Using 150% FPG												
A) 5 points	At or below <b>25%</b> of 60% of <b>SMI</b> , or 150% of FPG for households sized <b>8</b> or more >>							\$466	\$609	\$753	\$896	\$1,040	\$1,183	\$1,237	\$1,324	\$1,459	\$1,594	\$1,729	\$1,864	\$135
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 more >>							\$932	\$1,219	\$1,506	\$1,793	\$2,080	\$2,367	\$2,474	\$2,648	\$2,918	\$3,188	\$3,458	\$3,728	\$270
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 <b>7</b> or more							\$1,398	\$1,829	\$2,259	\$2,689	\$3,120	\$3,550	\$3,712	\$3,973	\$4,378	\$4,783	\$5,188	\$5,593	\$405
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. >>							\$1,865	\$2,438	\$3,012	\$3,586	\$4,160	\$4,734	\$4,949	\$5,297	\$5,837	\$6,377	\$6,917	\$7,457	\$540



## Department of Economic Security (DES)

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

Effective July 1, 2018 to June 30, 2019

Revised 3/28/18

**NEW for SFY 2019: 60 percent of State Median Income (SMI) is used for households sized 7 and under**

**NEW for SFY 2019: 150 percent of Federal Poverty Guideline (FPG) is used for households sized 8 and over**

<u>Household Size</u>	<u>Use 60 % SMI</u>	<u>30 Day Gross Income Limit</u>
1		\$1,865
2		\$2,438
3		\$3,012
4		\$3,586
5		\$4,160
6		\$4,734
7		\$4,949
	Use 150% FPG	
8		\$5,297
9		\$5,837
10		\$6,377
11		\$6,917
12		\$7,457
<b>For each additional household member, add \$540</b>		

Division of Aging and Adult Services  
ALERT

SFY-19-K1

**Technical Assistance  
for SFY 2019**

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) – Community Service Block Grant (CSBG) Annual Report NPIs.** Agencies are to set targets for their Annual Report NPIs by the dates indicated in the attached timeline. These targets are to be entered into Community Software Group’s online system, eGov. This is the same system that agencies are currently using for organizational standards. Training on use of eGov for NPIs is expected to be available to agencies in April. In the meantime, the NPI Catalogue Template derived from Module 4 of the CSBG Annual Report has been attached for reference. The eGov system’s layout will be based on this template. Also attached are the “Common NPI Definitions” developed by the CAA network.

**Attachment #'s: ROMA Catalogue K1.A, NPI timeline, common NPI definitions matrix, K1.C.**

Should you have any questions or require additional information, please contact Edward Chien, CSBG Program Coordinator, at [echien@azdes.gov](mailto:echien@azdes.gov) or (602) 542-3269.

Click here for NASCSP Instructions for Module 4:

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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 (FNPI 1)	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)
FNPI 1a The number of unemployed <b>youth</b> who obtained employment to gain skills or income.				#DIV/0!	#DIV/0!
FNPI 1b The number of unemployed <b>adults</b> who obtained employment ( <b>up to a living wage</b> ).				#DIV/0!	#DIV/0!
FNPI 1c The number of unemployed <b>adults</b> who obtained and maintained employment for at least 90 days ( <b>up to a living wage</b> ).				#DIV/0!	#DIV/0!
FNPI 1d The number of unemployed <b>adults</b> who obtained and maintained employment for at least 180 days ( <b>up to a living wage</b> ).				#DIV/0!	#DIV/0!
FNPI 1e The number of unemployed <b>adults</b> who obtained employment ( <b>with a living wage or higher</b> ).				#DIV/0!	#DIV/0!
FNPI 1f 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> ).				#DIV/0!	#DIV/0!
FNPI 1g 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> ).				#DIV/0!	#DIV/0!

Employment (FNPI 1)	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)
FNPI 1h 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.				#DIV/0!	#DIV/0!
FNPI 1h.1 Of the above, the number of employed participants who Increased income from employment through <b>wage or salary amount increase</b> .				#DIV/0!	#DIV/0!
FNPI 1h.2 Of the above, the number of employed participants who increased income from employment through <b>hours worked increase</b> .				#VALUE!	#DIV/0!
FNPI 1h.3 Of the above, the number of employed participants who <b>increased benefits</b> related to employment.				#DIV/0!	#DIV/0!

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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:**

<b>Other Employment Outcome Indicator (FNPI 1z)</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</b> [III/ I = IV ] (% auto calculated)	<b>V.) Performance Target Accuracy</b> (III/II = V] (% auto calculated)
FNPI 1z.1 The number of individuals or households _____.				#DIV/0!	#DIV/0!

**Comments:**

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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: \_\_\_\_\_

<b>Education and Cognitive Development (FNPI 2)</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>
FNPI 2a The number of <b>children</b> (0 to 5) who demonstrated improved emergent literacy skills.				#DIV/0!	#DIV/0!
FNPI 2b The number of <b>children</b> (0 to 5) who demonstrated skills for school readiness.				#DIV/0!	#DIV/0!
FNPI 2c The number of <b>children</b> and <b>youth</b> who demonstrated improved positive approaches toward learning, including improved attention skills. (auto total).	0	0	0	#DIV/0!	#DIV/0!
FNPI 2c.1 Early Childhood Education (ages 0-5)				#DIV/0!	#DIV/0!
FNPI 2c.2 1st grade-8th grade				#DIV/0!	#DIV/0!
FNPI 2c.3 9th grade-12th grade				#DIV/0!	#DIV/0!
FNPI 2d 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)	0	0	0	#DIV/0!	#DIV/0!
FNPI 2d.1 Early Childhood Education (ages 0-5)				#DIV/0!	#DIV/0!
FNPI 2d.2 1st grade-8th grade				#DIV/0!	#DIV/0!
FNPI 2d.3 9th grade-12th grade				#DIV/0!	#DIV/0!
FNPI 2e The number of <b>parents/caregivers</b> who improved their home environments.				#DIV/0!	#DIV/0!
FNPI 2f The number of <b>adults</b> who demonstrated improved basic education.				#DIV/0!	#DIV/0!
FNPI 2g The number of <b>individuals</b> who obtained a high school diploma and/or obtained an equivalency certificate or diploma.				#DIV/0!	#DIV/0!
FNPI 2h The number of <b>individuals</b> who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills.				#DIV/0!	#DIV/0!
FNPI 2i The number of <b>individuals</b> who obtained an Associate's degree.				#DIV/0!	#DIV/0!
FNPI 2j The number of <b>individuals</b> who obtained a Bachelor's degree.				#DIV/0!	#DIV/0!

<b>Other Education and Cognitive Development Outcome Indicator (FNPI 2z)</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>
FNPI 2z.1 The number of individuals or households				#DIV/0!	#DIV/0!

Comments:



**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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 (FNPI 3)	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)
FNPI 3a The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> .				#DIV/0!	#DIV/0!
FNPI 3b The number of individuals who achieved and maintained capacity to meet basic needs for <b>180 days</b> .				#DIV/0!	#DIV/0!
FNPI 3c The number of individuals who opened a <b>savings account or IDA</b> .				#DIV/0!	#DIV/0!
FNPI 3d The number of individuals who <b>increased their savings</b> .				#DIV/0!	#DIV/0!
FNPI 3e The number of individuals who used their savings to <b>purchase an asset</b> .				#DIV/0!	#DIV/0!
FNPI 3e.1 Of the above, the number of individuals who <b>purchased a home</b> .				#DIV/0!	#DIV/0!
FNPI 3f The number of individuals who <b>improved their credit scores</b> .				#DIV/0!	#DIV/0!
FNPI 3g The number of individuals who <b>increased their net worth</b> .				#DIV/0!	#DIV/0!
FNPI 3h The number of individuals engaged with the Community Action Agency who report <b>improved financial well-being</b> .				#DIV/0!	#DIV/0!

Other Income and Asset Building Outcome Indicator (FNPI 3z)	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)
FNPI 3z.1 The number of individuals or households _____.				#DIV/0!	#DIV/0!

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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 (FNPI 4)	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)
FNPI 4a The number of households experiencing homelessness who obtained <b>safe temporary shelter</b> .				#DIV/0!	#DIV/0!
FNPI 4b The number of households who obtained <b>safe and affordable housing</b> .				#DIV/0!	#DIV/0!
FNPI 4c The number of households who maintained safe and affordable housing for <b>90 days</b> .				#DIV/0!	#DIV/0!
FNPI 4d The number of households who maintained safe and affordable housing for <b>180 days</b> .				#DIV/0!	#DIV/0!
FNPI 4e The number of households who <b>avoided eviction</b> .				#DIV/0!	#DIV/0!
FNPI 4f The number of households who <b>avoided foreclosure</b> .				#DIV/0!	#DIV/0!
FNPI 4g 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).				#DIV/0!	#DIV/0!
FNPI 4h The number of households with <b>improved energy efficiency and/or energy burden reduction</b> in their homes.				#DIV/0!	#DIV/0!

Other Housing Outcome Indicator (FNPI 4z)	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)
FNPI 4z.1 The number of individuals or households _____.				#DIV/0!	#DIV/0!

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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 (FNPI 5)	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)
FNPI 5a The number of individuals who demonstrated <b>increased nutrition skills</b> (e.g. cooking, shopping, and growing food).				#DIV/0!	#DIV/0!
FNPI 5b The number of individuals who demonstrated <b>improved physical health</b> and well-being.				#DIV/0!	#DIV/0!
FNPI 5c The number of individuals who demonstrated <b>improved mental and behavioral health and well-being</b> .				#DIV/0!	#DIV/0!
FNPI 5d The number of individuals who <b>improved skills</b> related to the adult role of parents/ caregivers.				#DIV/0!	#DIV/0!
FNPI 5e The number of parents/caregivers who <b>demonstrated increased sensitivity and responsiveness</b> in their interactions with their children.				#DIV/0!	#DIV/0!
FNPI 5f The number of <b>seniors (65+)</b> who maintained an independent living situation.				#DIV/0!	#DIV/0!
FNPI 5g The number of <b>individuals with disabilities</b> who maintained an independent living situation.				#DIV/0!	#DIV/0!
FNPI 5h The number of <b>individuals with chronic illness</b> who maintained an independent living situation.				#DIV/0!	#DIV/0!
FNPI 5i The number of individuals with <b>no recidivating event</b> for six months.	0	0	0	#DIV/0!	#DIV/0!
FNPI 5i.1 Youth (ages 14-17)				#DIV/0!	#DIV/0!
FNPI 5i.2 Adults (ages 18+)				#DIV/0!	#DIV/0!

Other Health and Social/Behavioral Development Outcome Indicator (FNPI 5z)	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)
FNPI 5z.1 The number of individuals or households _____.				#DIV/0!	#DIV/0!

Comments:

**Module 4, Section A: Individual and Family National Performance Indicators (FNPIs) - 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: \_\_\_\_\_

<b>Civic Engagement and Community Involvement Indicators (FNPI 6)</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>
FNPI 6a 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.				#DIV/0!	#DIV/0!
FNPI 6a.1 Of the above, the number of Community Action program participants who <u>improved their leadership skills.</u>				#DIV/0!	#DIV/0!
FNPI 6a.2 Of the above, the number of Community Action program participants who <u>improved their social networks.</u>				#DIV/0!	#DIV/0!
FNPI 6a.3 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>				#DIV/0!	#DIV/0!

<b>Other Civic Engagement and Community Involvement Outcome Indicator (FNPI 6z)</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>
FNPI 6z.1 The number of individuals or households _____.				#DIV/0!	#DIV/0!

Comments:

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

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

**Outcomes Across Multiple Domains**

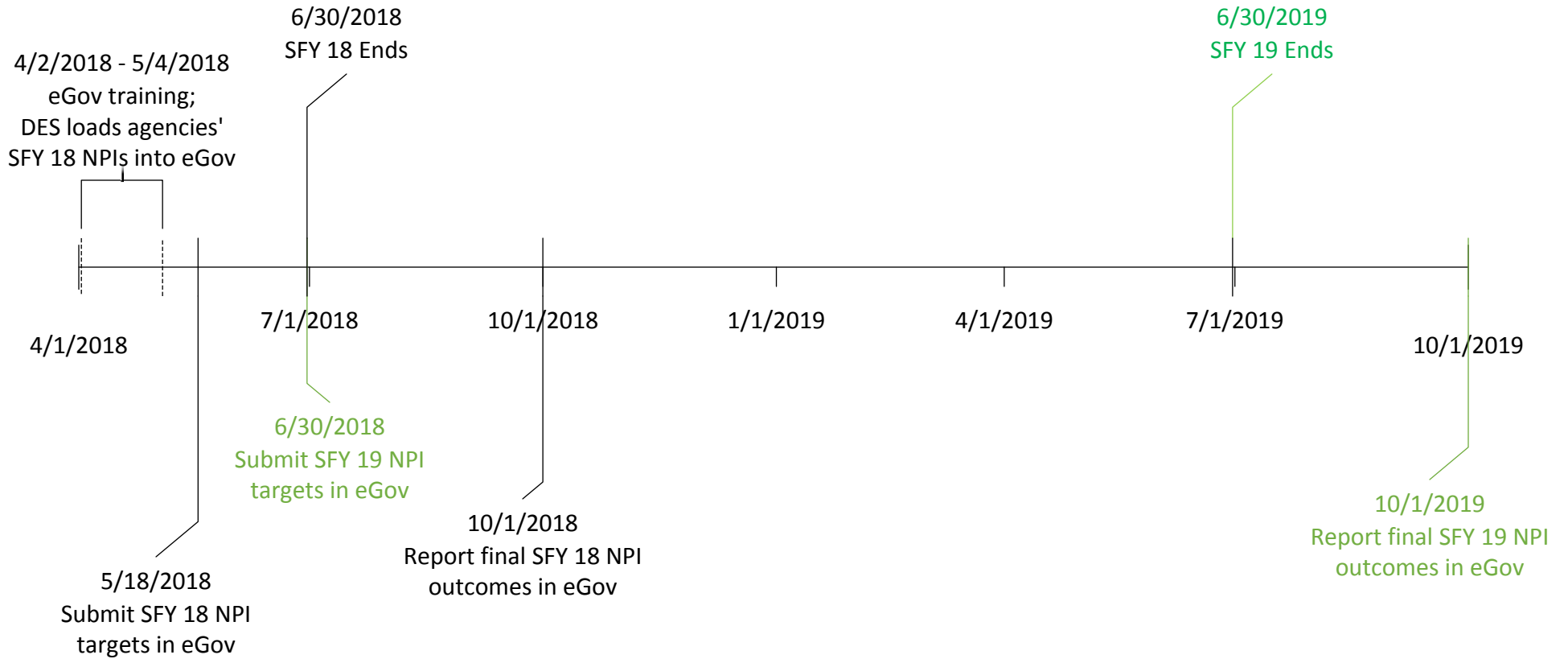
Name of CSBG Eligible Entity Reporting: \_\_\_\_\_

<b>Outcomes Across Multiple Domains (FNPI 7)</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>
FNPI 7a The number of individuals who achieved one or more outcomes as identified by the National Performance Indicators in various domains.				#DIV/0!	#DIV/0!

<b>Other Outcome Indicator (FNPI 7z)</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>
FNPI 7z.1 The number of individuals or households				#DIV/0!	#DIV/0!

Comments:

Attachment K1.B



*Black relates to SFY 18.  
Green relates to SFY 19.*

**ROMA - Network Common Indicator**

**Definitions From**

**Module 4 - Individual and Family Level**

NPI	TERM	DEFINITION	DOCUMENTATION
EMPLOYMENT			
2. The number of unemployed <b>adults</b> who obtained employment ( <b><u>up to a living wage</u></b> ).	Employment	Having any form of earned income.  Can include full-time, part-time, temporary or seasonal. Wages can be subsidized.	Documentation options: pay stub, self-sufficiency matrix, self-report during follow-up, WIOA
(see above)	Living wage	HUD Universal Living Wage Formula, based on housing being no more than 30% of income (see handout with living wage by county; see Raise Arizona)	Documentation options: pay stub, WIOA Collateral contact, employer
EDUCATION AND COGNITIVE DEVELOPMENT			
7. The number of individuals who obtained a high school diploma and/or obtained an equivalency certificate	n/a	No definition needed	
8. The number of individuals who obtained a recognized credential, certificate, or degree relating to the achievement of educational or vocational skills.	n/a	No definition needed	



NPI	TERM	DEFINITION	DOCUMENTATION
INCOME AND ASSET BUILDING			
1. The number of individuals who achieved and maintained capacity to meet basic needs for <b>90 days</b> .	basic needs	Meeting <b>basic needs</b> is the ability to have consistent access to food, safe and stable shelter and ensure the safety of oneself and their family.	Documentation options: Self-sufficiency matrix, case notes
HOUSING			
2. The number of households who obtained <b>safe and affordable housing</b> .	safe and affordable housing	<p>“Safe” is defined by client; “affordable” is under 30% of income.</p> <p>Note: if HH obtain safe housing but over 30%, then add a new NPI on “obtaining safe housing”</p> <p>“Obtaining” includes: Move-in, rapid rehousing, first month rent, permanent supportive housing.</p>	Documentation options: Calculate 30% from budget; self-sufficiency matrix
5. The number of households who <b>avoided eviction</b> .	n/a	No definition needed	
6. The number of households who <b>avoided foreclosure</b> .	Avoid foreclosure	Report emergency payment for mortgages	Documentation options: Mortgage statement
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.).	improved health and safety (due to home improvements)	Don’t need definition; use completed housing rehab or weatherization services as indicator	Documentation options: Use receipt of weatherization/housing rehab as proxy outcome because there is a test for lead levels etc. Note: This must be expressed in households (not in “units”).

NPI	TERM	DEFINITION	DOCUMENTATION
8. The number of households with <b><u>improved energy efficiency and/or energy burden reduction</u></b> in their homes.	Improved energy efficiency		Documentation options: Repair or replace appliances; weatherization/housing rehab, URRD
HEALTH AND SOCIAL/BEHAVIORAL DEVELOPMENT			
6. The number of <b><u>seniors (65+)</u></b> who maintained an independent living situation.	Maintain independent living situation	Living with a maximum degree of independence possible in their own home and community (not institutionalized)	Documentation options: Case notes, assessments of activities of daily living (ADL/IADL)
7. The number of <b><u>individuals with disabilities</u></b> who maintained an independent living situation.	Individual with disability	Determined disabled by a government entity and receives SSI, SSDI, veteran’s disability benefit, or other disability benefit under the Social Security Act; or self-declared where allowed by DES; or Assessment completed by agency	Documentation options: From aging services assessment, from demographic information (self-declared)

Division of Aging and Adult Services  
ALERT

SFY-19-L

**Plans  
for SFY 2019**

Please ensure that all appropriate CAN staff is provided with this information.

The draft Community Services Block Grant (CSBG), Attachment #L.A, and the Low Income Home Energy Assistance Program, Attachment #L.B and the State Plans for FFY 2019 are provided for Network review. The document format is not aligned accurately, as it was converted from a PDF document to a Word document. Some of the boxes and text are not in the correct spots.

Matrices that outline the modifications made from last year's Plan is also included (Attachments #L.A.1 and #L.B.1).

The Division of Aging and Adult Services (DAAS) requests that the Network review the draft CSBG and LIHEAP State Plans and provide a single response on the attached matrices (Attachments #L.B.1 and #L.B.2) in the "CAP Network's Comment" column no later than April 30, 2018. DAAS anticipates posting the revised draft of the LIHEAP and CSBG State Plans for FFY 2019 on the Department of Economic Security's Website for public inspection no later than May 15, 2018.

The **Public Hearings** will be held in the following locations:

<b>Date/Time</b>	<b>Location</b>	<b>Topic</b>
Phoenix June 19, 2018 10:30 am to 12:00 pm	Third Floor Meeting Room - Executive Tower, 1700 West Washington Street, Grand Canyon Room Phoenix, AZ 85007	CSBG and LIHEAP State Plans
Tucson TBD	Pima County TBD	CSBG and LIHEAP State Plans
Flagstaff July 11, 2018 11:30 am to 1:00 pm	Health & Community Services Building 2625 N. King Street, 1 <sup>st</sup> Floor Ponderosa Conference Room Flagstaff, AZ 86004	CSBG and LIHEAP State Plans

If you have any questions or require additional information, please contact Tammy Frazee, Community Action Programs and Services Administrator, at [tfrazee@azdes.gov](mailto:tfrazee@azdes.gov) or (602) 542-2895.

**Attachment #L.A**  
**Model State Plan**  
**(CSBG)**

**Program Name: Community Services Block Grant Grantee Name: ARIZONA**

Report Name: Model State Plan (CSBG)

Report Period: 10/01/2018 to 09/30/2019 Report Status: Saved – In Administrative Review

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## CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016

### COVER PAGE

* 1.a. Type of Submission: <b>Plan</b>	* 1.b. Frequency: <b>Other (2 Year)</b>	* 1.c. Consolidated Application/Plan/Funding Request?  Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: <b>Update</b>  State Use Only:  5. Date Received By State:  6. State Application Identifier:
<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: <b>State of Arizona</b>			
* b. Employer/Taxpayer Identification Number (EIN/TIN): <b>174100028A1</b>		* c. Organizational DUNS: <b>136730434</b>	
* d. Address:			
* Street 1:	1789 West Jefferson Street	Street 2:	Mail Drop 6283
* City:	Phoenix	County:	Maricopa
* State:	AZ	Province:	
* Country:	United States	* Zip / Postal Code:	85005 -
e. Organizational Unit:			
Department Name: <b>Arizona Department of Economic Security</b>		Division Name: <b>Division of Aging and Adult Services</b>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	*First Name: <b>Edward</b>	Middle Name:	* Last Name: <b>Chien</b>
Suffix:	Title: <b>Community Services Block Grant Coordinator</b>	Organizational Affiliation: <b>Employee</b>	
* Telephone Number: <b>(602) 542-3269</b>	Fax Number <b>(602) 542-6655</b>	* Email: <b>echien@azde.s.gov</b>	
* 8a. TYPE OF APPLICANT: <b>A: State Government</b>			
b. Additional Description: <b>Human Services Agency</b>			
* 9. Name of Federal Agency:			
10. CFDA Numbers and Titles		Catalog of Federal Domestic Assistance Number:	CFDA Title:
		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project <b>CSBG State Plan FFY's 2019-2020</b>			
12. Areas Affected by Funding: <b>All counties in Arizona</b>			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant <b>AZ</b>		b. Program/Project: <b>Community Action Program</b>	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: <b>October 1, 2018</b>	b. End Date: <b>September 30, 2020</b>	* a. Federal (\$): <b>\$0</b>	b. Match (\$): <b>\$0</b>
* 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			

<b>Process for Review on :</b>	
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?	
<input type="radio"/> YES <input checked="" type="radio"/> 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) <b>**I Agree</b> <input checked="" type="checkbox"/>	
** 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.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension) 602-542-5757
Michael Traylor	18d. Email Address MTraylor@azdes.gov
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
<b>Attach supporting documents as specified in agency instructions.</b>	

# Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 Administration for Children and Families  
 Community Services Block Grant (CSBG)

Form Approved  
 OMB No:0970-0382  
 Expires:08/31/2016

## SECTION 1

### CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

**Se1.1. 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.**

<b>1.1a. Lead agency</b>	Arizona Department of Economic Security		
<b>1.1b. Cabinet or administrative department of this lead agency</b> <i>[Check one option and narrative where applicable]</i>			
Arizona Department of Economic Security will be referred to as the State CSBG Office.			
<b>1.1c. Division, bureau, or office of the CSBG authorized official</b>	Division of Aging and Adult Services		
<b>1.1d. Authorized official of lead agency</b>	Michael Trailor		
<b>1.1e. Street Address</b>	1789 W Jefferson Street		
<b>1.1f. City</b>	Phoenix	<b>1.1g. State</b> <a href="#">AZ</a>	<b>1.1h. Zip</b> <a href="#">85007</a>
<b>1.1i. Telephone number and extension</b> (602) 542 -5757 ext.	<b>1.1j. Fax number:</b> (602) 542 - 5339		
<b>1.1k. Email address</b> <a href="mailto:director@azdes.gov">director@azdes.gov</a>	<b>1.1l. Lead agency website</b> <a href="https://des.az.gov">https://des.az.gov</a>		
<b>1.2. Provide the following information in relation to the designated State CSBG point of contact</b>			
<b>1.2a. Agency name</b>	<a href="#">Department of Economic Security</a>		
<b>1.2b. Name of the point of contact</b>	<a href="#">Edward Chien</a>		
<b>1.2c. Street address</b>	<a href="#">1789 W Jefferson Street</a>		
<b>1.2d. City</b>	<a href="#">Phoenix</a>	<b>1.2e. State</b> <a href="#">AZ</a>	<b>1.2f. Zip</b> <a href="#">85007</a>
<b>1.2g. Point of contact telephone number</b> (602) 542 - 3269 ext.	<b>1.2h. Fax number</b> (602) 542 - 6655		
<b>1.2i. Point of contact email address</b> <a href="mailto:echien@azdes.gov">echien@azdes.gov</a>	<b>1.2j. Point of contact agency website</b> <a href="https://des.az.gov">https://des.az.gov</a>		
<b>1.3. Designation Letter:</b> <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

## Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
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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 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.**

Not applicable

**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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

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### 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.*

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). DAAS/CAPS will be referred to as the State CSBG office throughout this document. DES came under new administration in 2015 under newly elected Governor Douglas A. Ducey. In SFY 2018, Governor Ducey appointed Michael Traylor as Director of the agency. The agency mission statement reads 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 and Services Programs, the State Adult Protective Services program, Refugee Resettlement Program, Aging and Disability Services (for seniors and persons with disabilities), the State Homeless Program, Low Income Home Energy Assistance (LIHEAP), Hunger Prevention and Domestic Violence Programs.

#### 3.2. State Plan Goals:

*Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.*

*(Note: This item is associated with State Accountability Measure 1Sa (i) and may pre-populate the State's Annual Report form.)*

The State CSBG Office will work with the Network to implement the following goals to administer the FY2019 State Plan:

- Identify family self-sufficiency as the statewide common priority.
- Increase workforce development opportunities for CSBG participants by partnering with DES Division of Employment and Rehabilitation Services (DERS) to provide a one stop approach to workforce development services.
- Incorporate video conferencing with CAAs.

Additionally, with the assistance of the Arizona Community Action Association (ACAA), the State CSBG Office's goal is to coordinate and provide training/technical assistance related to the following activities:

- ROMA NG Key Concepts – for board and staff
- Organizational Standards for boards
- Strategic planning
- Community-level Initiatives, Module 3 reporting
- New CAP Plan requirements and coordination with ROMA NG, including Targeting (coordinate with linkages projects)
- Development of program-related training on Community Action and CSBG

#### 3.3. State Plan Development:

*Indicate the information and input the State accessed to develop this State Plan.*

##### 3.3a. Analysis of *[Check all that apply and narrative where applicable]*

- 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] 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).
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities (e.g., State required reports) [describe]

Program narratives, public hearing comments and solicited feedback from eligible entities.

##### 3.3b. Consultation with *[Check all that apply and narrative where applicable]*

- 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) National Association of Community Action Providers (NASPCSP)
- Federal Office of Community Services
- Other (describe) Third party consultant, NASPCSP, hired to assist and evaluate implementation of CSBG Organizational Standards and the Annual Report.

#### 3.4. Eligible Entity Involvement

##### 3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

*(Note: This information is associated with State Accountability Measures ISa(ii) and may pre-populate the State's annual report form)*

The State CSBG Office worked with the Community Action Agencies (CAAs) and ACAA to create workgroups for the sole purpose of reviewing and discussing the CSBG State Plan. The workgroups provided an opportunity for the CAAs to give input and feedback on the information noted in the State Plan. There was a total of three workgroups held to gather input from the CAAs. Two of the workgroups were facilitated by the State CSBG Office and the main goal was to gather information and feedback on the drafted language, as well as gather ideas to assist with drafting the State Plan. The final workgroup was facilitated by ACAA and was used to gather the CAAs comments on the final language included in the state plan.

*If this is the first year filling out the automated State Plan, skip the following question.*

**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.

*(Note: This information is associated with State Accountability Measures ISb(i) and (ii) and may pre-populate the State's annual report form)*

The State CSBG Office began discussions with the network in December 2017 and offered additional time for input and inspection. Section 3.5 below was revised to reflect guidance from OCS and NASCP regarding expectations for growth in the Eligible Entity Overall Satisfaction score.

*If this is the first year filling out the automated State Plan, skip the following question.*

**3.5. Eligible Entity Overall Satisfaction:**

Provide the State's **target** for eligible entity Overall Satisfaction during the performance period: **76**

*(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)*

The State CSBG Office's overall satisfaction goal of 76% would represent a 3 point gain from its most recent score of 73%. Per OCS Information Memorandum #150, "[f]or ACSI scores in the 70s, a 2-3 point gain is reasonable."

## Section 4: CSBG Hearing Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 Administration for Children and Families  
 Community Services Block Grant (CSBG)

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### 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 FFY 2019 CSBG State Plan draft was made available for public inspection and comment via publication and the public hearing process in 2018. The draft State Plan was posted on the DES website in May 2018. Paper copies of the State Plan were available upon request. Oral and written testimony was solicited and accepted via the DES website and at public hearings from June 15 through July 15, 2018 (to be confirmed).

**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 [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

The State CSBG Office conducted multiple public hearings throughout the State in conjunction with this year's development cycle for this year's State Plan. Hearings were advertised on the agency web page per State Public Information Office guidelines and also on social media per Network suggestion. Eligible entities and ACAAs also advertised the public hearings in the local offices and/or publications and websites.

**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 under Item 4.4.)*

	Date	Location	Type of Hearing [Select an option]
1	6/19/18	State Capitol, in the Grand Canyon Room	Public
2	7/11/18	Coconino County Community Services Department – 2625 N. King Street, Flagstaff 86001	Public
3	TBD	Tucson	Public
4	9/19/2017	State Capitol, 1700 West Washington Street, Phoenix, AZ 85007	Legislative
5			

**4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.**

Click on the hyper link to view the State of Arizona 2017 [Joint Legislative Committee Hearing on DES Block Grants](#) that was held on September 19, 2017. For the FY 2019 plan, three public hearings were conducted, and testimony received was considered and incorporated into the State Plan, if appropriate.

## Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

Form Approved  
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### 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.)**

**Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other**

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency <small>[choose all that apply]</small>	Geographical Area Served by county <small>(Provide all counties)</small>	Brief Description of "Other"
1	City of Glendale Human Services Department	Public	Local Government Agency	City of Glendale (Maricopa County)	
2	City of Phoenix Human Services Department	Public	Local Government Agency	City of Phoenix (Maricopa County)	
3	Coconino County Community Services Department	Public	Local Government Agency	Coconino County	
4	Community Action Human Resources Agency (CAHRA)	Nonprofit	Community Action Agency (CAA)	Pinal County	
5	Gila County Community Action Agency	Public	Local Government Agency	Gila County	
6	Maricopa County Human Services Department	Public	Local Government Agency	Balance of Maricopa County	
7	Mesa Community Action Network	Nonprofit	Community Action Agency (CAA)	City of Mesa (Maricopa County)	
8	Northern Arizona Council of Governments (NACOG)	Public	Other (describe in column 5)	Yavapai, Navajo and Apache Counties	Quasi-governmental agency
9	Pima County Community Action Agency	Public	Local Government Agency	Pima County	
10	Southeastern Arizona Community Action Program (SEACAP)	Nonprofit	Community Action Agency (CAA)	Greenlee, Graham, Cochise, and Santa Cruz Counties	
11	Western Arizona Council of Governments	Public	Other (describe in column 5)	Mohave, Yuma and La Paz Counties	Quasi-governmental agency
12	Portable, Practical, Educational Preparation, Inc.*	Nonprofit	Migrant or Seasonal Farmworker Organization	Statewide	* With limited purpose

**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?**  Yes  No

*If yes, please briefly describe the changes.*

## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

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### SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

#### 6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- attach the complete list of alternative organizational standards,
- describe the reasons for using alternative standards, and
- 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)

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.

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. *[Check all that apply and narrative where applicable]*

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?*[Check all that apply.]*

- 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.

Eligible entities will be assessed for compliance at least annually via a desk review by the new automated process. Overall status will also be reviewed with each eligible entity at the triennial monitoring visit. The State CSBG Office transitioned to an automated solution in FFY18, which assists the eligible entities with their compliance and the State CSBG Office's review. The policy was updated by a third party consultant in SFY2017 and solidified. **Policy attachment**

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

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

Western Arizona Council of Governments (WACOG) is considered a public entity. In coordination with WACOG, the State CSBG Office agreed to review standards 8.11 and 8.12 to assist with their private entity requirements. The State CSBG Office will not be requiring Portable Practical Education Preparation to comply with the organizational standards since they are a limited purpose entity.

*If this is the first year filling out the automated State Plan, skip the following question.*

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? *(Provide as a percentage)* **75%**

Note: This information is associated with *State Accountability Measures 6Sa* and may prepopulate the State's annual report form.

## Section 7: State Use of Funds

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

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### 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.

Formula with Variables

**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.

Regarding Planned CSBG 90 Percent Funds, the figures were not changed as they will be changed when the State CSBG Office revises the numbers in March 2018. These figures are not up to date in the Change Matrix.

#### Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	City of Glendale Human Services Department	\$190,479	0.00%	\$232,350	0.00%
2	City of Phoenix Human Services Department	\$1,286,962	0.00%	\$1,609,418	0.00%
3	Coconino County Community Services Department	\$150,000	0.00%	\$150,000	0.00%
4	Community Action Human Resources Agency (CAHRA)	\$272,403	0.00%	\$355,893	0.00%
5	Gila County Community Action Agency	\$150,000	0.00%	\$150,000	0.00%
6	Maricopa County Human Services Department	\$811,075	0.00%	\$977,885	0.00%
7	Mesa Community Action Network	\$294,411	0.00%	\$361,063	0.00%
8	Northern Arizona Council of Governments (NACOG)	\$235,376	0.00%	\$305,074	0.00%
9	Pima County Community Action Agency	\$692,289	0.00%	\$887,354	0.00%
10	Southeastern Arizona Community Action Program (SEACAP)	\$208,297	0.00%	\$225,162	0.00%
11	Western Arizona Council of Governments	\$471,007	0.00%	\$496,725	0.00%
12	Portable, Practical, Educational Preparation, Inc.*	\$97,190	0.00%	\$117,366	0.00%
<b>Total</b>		\$4,859,489	0.00%	\$5,868,290	0.00%

**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 Services Block Grant funding on the State Fiscal Year (SFY), July 1st through June 30<sup>th</sup> cycle. The State enters into five-year budget-based/cost reimbursement contracts with eligible entities. Upon notification from OCS of annual allocations to states, the State CSBG Office communicates estimated annual allocations to eligible entities in March for the upcoming SFY. The State CSBG Office 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 announced in September of the current fiscal year. If contract dollar amounts are changed, the State CSBG Office amends the contract to reflect funding changes.

**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.**

*Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.*

The State operates on a State Fiscal Year (SFY). Funds allocated to eligible entities are made available for obligation on the first day of the SFY. Funds are disbursed on a cost reimbursement basis. Eligible entities annually submit an Itemized Service Budget (ISB) detailing proposed expenditures for allowable 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 the State CSBG Office's approval. Invoices must include backup documentation for expenditures billed. The State CSBG Office 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.

*If this is the first year filling out the automated State Plan, skip the following question.*

**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.**

*Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.*

For SFY 2019 monitoring, the State CSBG Office will utilize updated monitoring and risk assessment tools focused on enhanced fiscal and program reviews. These tools were updated in SFY18 to strengthen the State's fiscal and programmatic oversight to ensure grant funds are managed and used according to the Act, as well as provide an opportunity for the eligible entities to have a better understanding of expectations and ample time to prepare. The risk assessment tools were enhanced to allow the State CSBG Office and the eligible entities the ability to identify additional training and technical assistance that may be needed.

**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?** 6

**7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan?** 2.94

**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.**

*Note: This response will link to the corresponding assurance, Item 14.2.*

For each allowable use of remainder/discretionary funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 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 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 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 and may pre-populate the State's annual report form*

**Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)**

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$100,000.00	0.00%	\$100,000.00	0.00%	Training and Technical Assistance. These planned services/activities will be further described in State Plan item 8.1.
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	
c. Statewide coordination and communication among eligible entities	\$55,000.00	0.00%	\$55,000.00	0.00%	Coordination Activities. 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	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$88,820.00	0.00%	\$105,560.00	0.00%	These planned services/activities will be described in State Plan section 9, State Linkages and Communication. See Attachment 3, Allocations 2018
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$30,000.00	0.00%	\$30,000.00	0.00%	Emergencies and Disasters
<b>Total</b>	<b>\$273,820.00</b>	<b>0.00%</b>	<b>\$290,560.00</b>	<b>0.00%</b>	

**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. [Check all that apply and narrative where applicable]**

CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 12

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
- None (the State will carry out activities directly)

*Note: This response will link to the corresponding CSBG assurance, item 14.2.*

*If this is the first year filling out the automated State Plan, skip the following question.*

**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.**

*Note: This information is associated with [State Accountability Measures 3Sb](#), and may pre-populate the State's annual report form.*

The discretionary funding priorities for SFY 19 are focused on community initiatives. The State CSBG Office will work with the Community Action Network to help identify priorities. The unused discretionary funds, specific to items F and H, will be redistributed based upon the funding formula.



## Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

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### 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), Remainder/Discretionary Funds.)

*Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.*

#### Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1 – Q1	Training	ACAA Conference 2019 Training Topics TBD	
2	FY1 – Q1	Training	CAPLAW Board Training	
3	FY1 – Q2	Training	Motivational Interviewing	
4	FY1 – Q2, 3, and 4	Technical Assistance	Strategic Planning	
5	FY1 – Q2, 3, and 4	Both	ROMA NG Key Concepts – for Board and Staff	
6	FY1 – Q3	Training	Evaluation/Evidence-based Programs	
7	FY1 – Q3	Both	New CAP Plan Requirements and Coordination with ROMA NG, Including Targeting (Coordinate with Linkages Projects)	
8	FY1 – Q3 and 4	Training	Social Justice, Racial and Economic Equity	
9	FY1 – Q3 and 4	Both	Organizational Standards for Boards	
10	FY1 – Q3 and 4	Technical Assistance	Community-level Initiatives, Module 3 Reporting	
11	FY1 – Q3 and 4	Training	Work with ROMA Implementer Candidates	
12	FY1 – Q3 and 4	Training	Basic CSBG Training	

The State CSBG Office contracts with ACAA to conduct a needs assessment for and subsequently provide training and technical assistance to the CAAs. Survey results were addressed with CAA Executive Directors, who identified four high-priority issues to focus on:

- ROMA Next Generation – concepts (for Staff and/or Board Members)
- Organizational standards for Board Members
- Annual Report Module 3: community level initiatives
- Strategic planning and CAP planning

In addition to the survey, the State CSBG Office, along with ACAA, have monthly conference calls with the CAAs to discuss updates and issues including training and technical assistance. Additionally, the State CSBG Office uses monitoring and site visits to identify additional training and technical assistance needs. Section 8.1.a \$100,000 is the estimated training and technical assistance budget. Section 8.2, the following verbiage was added to the State Plan: "Technical Assistance will be tracked using the CSBG Organizational Standards Monitoring Tool and the existing Report of Findings tool."

**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**

*If this is the implementation year for organizational standards, skip the following question.*

**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 that could be used if appropriate?**  Yes  No

*Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).*

Training and Technical Assistance will be tracked using the CSBG Organizational Standards software and the existing Report of Findings.

**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 applies and narrative where applicable]**

<input type="checkbox"/>	CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
<input type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input checked="" type="checkbox"/>	National technical assistance provider(s)
<input checked="" type="checkbox"/>	Individual consultant(s)
<input type="checkbox"/>	Tribes and Tribal Organizations
<input type="checkbox"/>	Other

*If this is the first year filling out the automated State Plan, skip the following question.*

**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.**

*Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form*

The State CSBG Office worked in coordination with ACAA on training and technical assistance needs. For FFY19, ACAA conducted a survey to compile the needs and requests of eligible entities, including both their boards and staff. The survey resulted in the training and technical assistance plan that is outlined above. This plan also includes training and technical assistance needs identified by the State CSBG Office during onsite monitoring and policy clarification requests.

## Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

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### SECTION 9 State Linkages and Communication

*Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).*

#### 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. [Check all that apply and narrative where applicable]*

*Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.*

- 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

*[Click paper clip to attach file]*

#### 9.2. State Linkages and Coordination at the Local Level:

**Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.**

*Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.*

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. Eligible entities are required to provide an annual Community Action Program Plan (CAP Plan) that includes a description of planned activities that address the noted assurance. In conjunction with ACAA, the State CSBG Office has also initiated conversations with the State WIOA and Child Support Enforcement Offices, which are housed in separate divisions of DES, regarding enhancing coordination of activities at the State level. **These conversations have resulted in work to develop a statewide referral and reporting process to be used by the Network, along with a strengthened partnership that allows for better collaboration.**

#### 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.]**

*Note: This response will link to the corresponding CSBG assurance, item 14.5.*

Eligible entities are required to submit to the State CSBG Office a Community Action Program Plan (CAP Plan) that includes a description of how they will establish and/or maintain linkages per Section 676(b)(5). **In SFY18, the State CSBG Office contracted with ACAA to provide stronger support in this area. The contracted work included conducting a survey of the eligible entities to help identify priority linkages at a Statewide level. From the survey results, ACAA created a linkages plan which is now in process of implementation.**

**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.**

*Note: This response will link to the corresponding CSBG assurance, item 14.3b.*

Eligible entities are required by contract to establish linkages to fill gaps in service per Section 676(b)(3)(B). The State CSBG Office requires eligible entities to provide a description of how they will fulfill this requirement in their annual CAP Plans and in their five-year contract renewal Request for Application (RFA) responses (see Attachment 6, Scope of Work). 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 Memoranda of Understanding (MOUs).

**In addition, work is being completed by ACAA under State contract to provide a statewide process for linkages, as described in 9.3a.**

**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

*Note: This response will link to the corresponding CSBG assurance, item 14.5.*

**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 the State CSBG Office to submit an annual CAP Plan which includes a description of how WIOA coordination activities are conducted. Some agencies have WIOA offices on their premises, while others make referrals to the nearest WIOA office. The State CSBG Office interviews eligible entity staff during monitoring site visits regarding the details of WIOA activities.

**In addition, in SFY 2017 the State CSBG Office initiated conversations with the State WIOA Office (DES Division of Employment Rehabilitation Services) to establish a standard referral and reporting process. These efforts continued in SFY 2018 and will result in a statewide agreement to finalize activities.**

**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.**

*Note: This response will link to the corresponding CSBG assurance, item 14.6.*

The State CSBG Office's CAP contracts require CAAs to manage and deliver energy assistance programs, including emergency energy crisis services through the Low Income Home Energy Assistance Program (LIHEAP) and the State funded Short Term Crisis (TANF) programs. Eligible entities are required in their annual CAP Plans to provide a description of how they will provide these 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.**

*Note: This response will link to the corresponding assurance, item 14.9.*

The State CSBG Office's CAP contracts require eligible entities to describe in their annual CAP Plans and in their five-year RFA responses 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 CSBG annual reports. *[Click paper clip to attach file]*

**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.**

*Note: this response will link to the corresponding assurance, item 14.3c.*

The State CSBG Office's CAP contracts require eligible entities to describe in detail in their annual CAP Plans and in their five-year contract RFA responses how they will fulfill this assurance. Eligible entities report on these efforts in their CSBG annual reports.

**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.**

The State CSBG Office conducts regular monthly meetings face-to-face and/or via teleconference with the eligible entities and ACAA, the state association, and provides funding to ACAA 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**

	Topic	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	Bi-annually	Meetings/Presentation	
3	Tele-Conferences	Monthly	Meetings/Presentation	Monthly except when a Face-to-Face Meeting is scheduled.
4	Public Hearings	Annually	Meetings/Presentation	
5	Legislative Hearings	Other	Meetings/Presentation	Every 3 years

6	Workgroup Meetings	Monthly or as needed	Meetings/Presentations	Needed to address policy, State Plan and/or contract changes
7	General information regarding Community Action Programs and specific information regarding CSBG- and TANF-funded crisis services	Daily	Email/Phone Call	

**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.**

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

The State CSBG Office will provide regular communications regarding performance on State Accountability Measures to local entities and the State Community Action Association in the form of annual reports (CSBG Annual Report), Monitoring Reports of Findings, written feedback, emails/phone calls and State community engagement activities.

*If this is the first year filling out the automated State Plan, skip the following question.*

**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.**

*Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.*

In coordination with the community action network, the State CSBG Office will form a written communication plan for use in the priority tasks of implementing ROMA Next Generation and automating the CSBG Annual Report.

## Section 10: Monitoring, Corrective Action, and Fiscal Controls

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

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### SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

#### Monitoring of Eligible Entities (Section 678B(a) of the 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.**

*Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.*

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
City of Glendale Human Services Department	Full onsite	SFY 21	SFY18 to be confirmed	
City of Phoenix Human Services Department	Full onsite	SFY 21	01/25/2018	
Coconino County Community Services Department	Full onsite	SFY 20	11/16/2016	
Community Action Human Resources Agency (CAHRA)	Full onsite	SFY 20	03/22/2017	
Gila County Community Action Agency	Full onsite	SFY 21	11/30/2017	
Maricopa County Human Services Department	Full onsite	SFY 19	04/20/2016	
Mesa Community Action Network	Full onsite	SFY 20	02/23/2017	
Northern Arizona Council of Governments (NACOG)	Full onsite	SFY 19	05/26/2016	
Pima County Community Action Agency	Full onsite	SFY 21	10/06/2017	
Southeastern Arizona Community Action Program (SEACAP)	Full onsite	SFY 20	09/14/2016	
Western Arizona Council of Governments	Full onsite	SFY 20	10/20/2016	
Portable, Practical, Educational Preparation, Inc.*	Full onsite	SFY 21	08/10/2017	

**10.2. Monitoring Policies:**

**Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.**

The State CSBG Office does not have a written monitoring policy regarding programmatic elements of CSBG. The State CSBG Office follows CSBG Statute, the contractual 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?**

*Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.*

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 documenting the 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 the closure of findings.**

Currently, the State CSBG Office provides a Report of Findings (ROF) once the monitoring visit is complete. The ROF includes all of the findings and deficiencies. If a finding is noted, the CSBG State Office may implement a Quality Improvement Plan (QIP) that outlines the action needed for compliance and by when. For serious deficiencies, the State Office of Procurement may issue a demand for assurance letter to the eligible entity for findings related to conditions of the State CSBG Office contract. The State CSBG Office follows up with the agency to assure the completion of the QIP, making follow up visits if necessary and providing technical assistance.

**10.5. Quality Improvement Plans (QIPs):**

**How many eligible entities are currently on Quality Improvement Plans?**

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

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**

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

The State CSBG Office will notify the Office of Community Services of eligible entities on QIPs via email within 30 calendar days.

**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, the State CSBG Office has in place 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, the State CSBG Office 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 (RFP) is published via the State Office of Procurement website, 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 the State CSBG Office 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. The State CSBG Office 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 eligible entities.**

There is no State CSBG statute or regulation regarding the de-designation of eligible entities. The State CSBG Office 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.**

There is no State CSBG statute or regulation regarding the de-designation of eligible entities. The State CSBG Office does not have separate procedures for the de-designation of a new or an existing entity. The State CSBG Office will follow the procedure outlined in 10.8a. under Public Law 105-285, Title II Community Services Block Grant Act, Section 676A, when re-designating a new eligible entity.

**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 96.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE](#) FOR LINK TO 45 CFR 96.521**

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

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)]

**10.13. Assurance on Federal Investigations:**

**Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?**  Yes  No

*If this is the first year filling out the automated State Plan, skip the following question.*

**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 the State is not making any adjustments, provide further detail.**

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*Note: This item is associated with [State Accountability Measure 4S](#) and may pre-populate the State's annual report form.*

The State CSBG Office will revise monitoring tools as outlined in section 7.5 above. In SFY18, the State CSBG Office adopted an automated process for assessing compliance with the CSBG Organizational Standards.



## Section 11: Eligible Entity Tripartite Board

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Administration for Children and Families  
Community Services Block Grant (CSBG)

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### 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
- Keep a register of Board vacancies/composition
- Other

**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

**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.

*Note: This response will link with the corresponding assurance, item 14.10.*

The State CSBG Office requires eligible entities to establish procedures under which a petition for adequate representation may be brought by any low-income individual, representative of low-income individuals, community organization, or religious organization that considers itself or low-income individuals to be inadequately represented on the board (or in the alternative participatory mechanism).

**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 State CSBG Office 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.

## Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

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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.]

150% of the HHS poverty line (fill in the threshold)

##### 12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Section 12.1a - Income eligibility statewide varies by program. 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, Chapter 13, 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. The income eligibility limit for LIHEAP energy assistance programs administered with CSBG dollars is either 60 percent of the State Median Income (adjusted for household size) or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater for a given household. For SFY 2019 in Arizona, the FPG is greater for households with seven or more members.

In SFY18, the State CSBG Office enacted a categorical determination of LIHEAP and CSBG eligibility for clients who have already been approved for assistance from the DES Division of Benefits and Medical Eligibility. This categorical determination has reduced duplication of effort and assisted with streamlining the client intake process at eligible entities.

##### 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 law to 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 products, 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. Eligible entities 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. 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 the State's utility assistance program. Eligible entities may consider income eligibility for TANF funded or LIHEAP funded programs to indicate categorical 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. The State CSBG Office documents these activities during monitoring visits and encourages eligible entities to submit program narratives annually to highlight these activities.

## Section 13: Results Oriented Management and Accountability (ROMA) System

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Administration for Children and Families  
Community Services Block Grant (CSBG)

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### 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?

*Note: This response will also link to the corresponding assurance, Item 14.12.*

- 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 the State CSBG Office contracts. The State CSBG Office 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. See Attachment 5 SOW 2016-2010.

##### 13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

##### 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?

*Note: This response will also link to the corresponding assurance, Item 14.12.*

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

N/A

##### 13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

*Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.*

The State CSBG Office 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 behalf of the eligible entities.

##### 13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

*Note: This response will also link to the corresponding assurance, Item 14.12.*

The State CSBG Office program staff interview eligible entity staff and Tripartite Board members, attend board meetings and review meeting minutes to ascertain the use of ROMA NPIs to evaluate programs by eligible entities. Agencies demonstrate the use of data through formal decisions made in Board meetings relative to data collected in the previous program year.

#### 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.

*Note: this response will link to the corresponding assurance, Item 14.11.*

Submission of a Community Action Plan by the eligible entities is required by contract annually as well as during the contract renewal period as part of the application package. The State CSBG Office is working with ACAA and the Network to implement a new CAP Plan template as part of the implementation of the State's new CSBG software that was purchased in SFY18.

##### 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.

*Note: this response will link to the corresponding assurance, Item 14.11.*

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 the State CSBG Office 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.

## Section 14: CSBG Programmatic Assurances and Information Narrative

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Administration for Children and Families  
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### 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 farm workers, 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;

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. The CAP Plan includes a description of proposed activities as they relate to the assurances set forth in 14.1a (i)-(vii), "CSBG Services". The State CSBG Office staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. The State CSBG Office requires each of the noted assurances to be addressed in the agency CAP Plan. For additional detail, see [Attachment 14.1a](#).

###### 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;

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. The CAP Plan includes a description that outlines proposed activities. The State CSBG Office staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. The State CSBG Office 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, The State CSBG Office 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 \(needs updating\)](#).

###### 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)

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. 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. The State CSBG Office includes

in its Community Action Programs and Services contracts with CAAs, the Low-Income Home Energy Assistance Program (LIHEAP), Short-Term Crisis Services (STCS/TANF), and other State and county funds. The State CSBG Office also supports the State 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.

#### 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."**

The discretionary funding priorities for SFY 19 are focused on community initiatives as addressed in item 14.1. The State CSBG Office will work with the Community Action Network to help identify priorities. The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10.

#### 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..."**

**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 State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year 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 the State CSBG Office under their Community Action Programs and Services contract to provide services through the Low Income Home Energy Assistance Program (LIHEAP). The State CSBG Office 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 CSBG Office may award CSBG discretionary funds to support enhanced service methods, innovative special projects, and partnership initiatives.

#### 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."**

*14.1Note: 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 Section 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."**

*Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).*

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year, 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."**

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. 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 the State CSBG Office, 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 the State CSBG Office to utilize CSBG discretionary funds to provide temporary shelter and/or emergency food to affected residents.

#### 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.

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.

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.

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.

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.

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 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."

Note: The State describes this assurance in the ROMA section, 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 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.

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.



By checking this box, the State CSBG authorized official is certifying the assurances set out above.



## Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No:0970-0382  
Expires:08/31/2016

### SECTION 15 Federal Certifications

#### CERTIFICATION REGARDING 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.

**The box after each certification must be checked by the State CSBG authorized official.**

#### 15.1. Lobbying

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

#### 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)

&nbsp;1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

&nbsp;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.

&nbsp;3. For grantees other than individuals, Alternate I applies.

&nbsp;4. For grantees who are individuals, Alternate II applies.

&nbsp;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.

&nbsp;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).

&nbsp;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).

&nbsp;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).

(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)

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]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -  
Primary Covered Transactions

Instructions for Certification

&nbsp;1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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

**&nbsp;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.

&nbsp;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.

&nbsp;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***

&nbsp;1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

&nbsp;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

&nbsp;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.

&nbsp;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, 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 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.

**15.3. Debarment**

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

**CERTIFICATION REGARDING 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.

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

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

**Public reporting burden for this collection of information is estimated to average 10 hours 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.**

	A	B	C	D
1	<b>Plan Section</b>	<b>FFY 2019 New Language; Comments Italicized in Red</b>	<b>CAP Network's Historical Comments and FFY 2019 Remarks</b>	<b>ADES Response / Changes and Tracking of Workgroup Discussion</b>
2	<b>General Changes</b>			
3		<i>Updated State contact to Edward Chien.</i>	no comments	
4		<i>Replaced "DAAS/CAPS" with "State CSBG Office" throughout the State Plan</i>	no comments	
5		<i>Replaced references to "annual/biennial CAP plans" with "annual CAP plans" throughout the State Plan</i>	no comments	
6	<b>Section 2: State Legislation and Regulation</b>			
7		<i>No changes.</i>		
8	<b>Section 3: State Plan Development and Statewide Goals</b>			
9	<b>Section 3.2: State Plan Goals</b>	<p>The State CSBG Office will work with the Network to implement the following goals to administer the FY2019 State Plan:</p> <ul style="list-style-type: none"> <li>• Identify family self-sufficiency as the statewide common priority.</li> <li>• Increase workforce development opportunities for CSBG participants by partnering with DES Division of Employment and Rehabilitation Services (DERS) to provide a one stop approach to workforce development services.</li> <li>• Incorporate video conferencing with CAAs.</li> </ul> <p>Additionally, with the assistance of the Arizona Community Action Association (ACAA), the State CSBG Office's goal is to coordinate and provide training/technical assistance related to the following activities:</p> <ul style="list-style-type: none"> <li>• ROMA NG Key Concepts – for board and staff</li> <li>• Organizational Standards for boards</li> <li>• Strategic planning</li> <li>• Community-level Initiatives, Module 3 reporting</li> <li>• New CAP Plan requirements and coordination with ROMA NG, including Targeting (coordinate with linkages projects)</li> <li>• Development of basic training for staff (possibly for board members)</li> </ul>	<b>Instead of "basic training ..." use: Development of program related training on Community Action and CSBG.</b>	Amended as suggested
10	<b>Section 3.4a: Eligible Entity Involvement</b>	<p>The State CSBG Office worked with the Community Action Agencies (CAAs) and ACAA to create workgroups for the sole purpose of reviewing and discussing the CSBG State Plan. The workgroups provided an opportunity for the CAAs to have input and feedback on the information noted in the State Plan. There was a total of three workgroups held to gather input from the CAAs. Two of the workgroups were facilitated by the State CSBG Office and the main goal was to gather information and feedback on the drafted language, as well as gather ideas to assist with drafting the State Plan. The final workgroup was facilitated by ACAA and was used to gather the CAAs comments on the final language included in the state plan.</p>	no comments	



	A	B	C	D
11	<b>Section 3.4b: Adjustments relative to last cycle</b>	The State CSBG Office began discussions with the network in December 2017 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 the Eligible Entity Overall Satisfaction score.	no comments	
12	<b>Section 3.5: Eligible Entity Overall Satisfaction</b>	The State CSBG Office's overall satisfaction goal of 78% would represent a 5 point gain from its most recent score of 73%. Per OCS Information Memorandum #150, "[f]or ACSI scores in the 70s, a 2-3 point gain is reasonable"; the State's goal is thus relatively ambitious.	<b>Why did the State choose a 5% increase?</b>	Pursuant to Network comment and guidance from OCS, the State has revised its overall satisfaction goal to 76% and amended this section's language accordingly.
13	<b>Section 4: CSBG Hearing Requirements</b>			
14	<b>Section 4.1: Public Inspection</b>	The FFY 2019 CSBG State Plan draft was made available for public inspection and comment via publication and the public hearing process in 2018. Paper copies of the State Plan were available upon request. The draft State Plan was posted on the DES website in May 2018. Oral and written testimony was solicited and accepted via the DES website and at public hearings from June 15 through July 15, 2018 <i>(to be confirmed)</i> .	<b>Suggest to list specific dates.</b>	Once dates are scheduled, they will be specified in the document.
15	<b>Section 4.2: Public Notice/Hearing</b>	The State CSBG Office conducted multiple public hearings throughout the State in conjunction with this year's development cycle for this year's State Plan. Hearings are advertised per State Public Information Office guidelines on the agency web page. Eligible entities and ACAA also advertise the public hearings in the local offices and/or publications and websites. The State CSBG Office suggests further discussion regarding additional means to advertise public hearings in relevant areas as part of the ongoing communications plan development. In response to the Network comment regarding better advertising for public hearings, the State CSBG Office now advertises the CSBG public hearings via social media in addition to the DES webpage.	<b>Use past tense consistently when final.</b>	Amended as follows: "...Hearings were advertised on the agency web page per State Public Information Office guidelines and also on social media per Network suggestion. Eligible entities and ACAA also advertised the public hearings in the local offices and/or publications and websites."
16	<b>Section 4.3: Public and Legislative Hearings</b>	<i>TBD. State Capitol, 1700 W. Washington Street, Phoenix, AZ 85007. Legislative</i>		
17	<b>Section 4.4: Documentation of hearings</b>	Click on the hyper link to view the State of Arizona 2017 Joint Legislative Committee Hearing on DES Block Grants that was held on September 19, 2017. For the FY 2019 plan, three public hearings were conducted, and testimony received was considered and incorporated into the State Plan, if appropriate.	<b>Why is there a link to 2017, and will documentation on the 2018 hearings be posted? If yes, is there a link?</b>	As opposed to public hearings, legislative hearings are only conducted once every three years. Thus, the legislative hearing from 2017 is still the relevant citation.
18	<b>Section 5: CSBG Eligible Entities</b>			
19		<i>No changes.</i>		
20	<b>Section 6: Organizational Standards for Eligible Entities</b>			

	A	B	C	D
21	<b>Section 6.4a: Describe the assessment process (of eligible entities against org standards)</b>	Eligible entities will be assessed for compliance at least annually via a desk review by the new automated process. Overall status will also be reviewed with each eligible entity at the triennial onsite monitoring. The State CSBG Office transitioned to an automated solution in FFY18, which assists the eligible entities with their compliance and the State CSBG Office's review. The policy was updated by a third party consultant in SFY2017 and solidified. <i>Policy to be attached</i>	<b>Please clarify "at least annually"; is it once a year? Policy Comments: 2017/18 deadlines are confusing; is there a way to make this clearer? -- Also please clarify if this is a permanent policy or will this change next year. The Network would like a sample compliance plan and link to Scope of Work. -- On Section FY18 B.2.i. - does 9/30/18 mean that all CAAS must be compliant with all org standards by that date?</b>	--It is at least once a year, more as appropriate. --Summary of deadlines has been added. --While the policy may be revised as appropriate, this issuance is intended to remain in force indefinitely. --There is currently no required template for compliance plans. Such plans were previously known as "Technical Assistance Plans," with the new term "compliance plan" being introduced to reflect that receipt of technical assistance is not always a component of the plan. --The Scope of Work has been included as Exhibit C. --The goal is to achieve full compliance with all org standards by 9/30/18. While the State recognizes that full compliance may not be within immediate grasp of all CAAs, the expectation is that CAAs strive for the 9/30/18 target to the extent feasible.
22	<b>Section 6.5a: Exemptions from meeting org standards</b>	Western Arizona Council of Governments (WACOG) is considered a public entity. In coordination with WACOG, the State CSBG Office agreed to review standards 8.11 and 8.12 to assist with their private entity requirements. The State CSBG Office will not be requiring Portable Practical Education Preparation to comply with the organizational standards since they are a limited purpose entity.		
23	<b>Section 6.6: Performance Target (% of CAAs meeting all org standards)</b>	<i>Increased target from 50% to 75%</i>	no comments	
24	<b>Section 7: State Use of Funds</b>			
25	<b>Section 7.3: Distribution process</b>	<i>Removed language regarding the SFY 2017 funding formula amendments</i>	no comments	
26	<b>Section 7.4a: Describe State procedures to ensure funds are made available without interruption</b>	<i>Minor wording changes only</i>	no comments	
27	<b>Section 7.5: Performance management adjustment</b>	For SFY 2019 monitoring, the State CSBG Office will utilize updated monitoring and risk assessment tools focused on enhanced fiscal and program reviews. These tools were updated in SFY18 to strengthen the State's fiscal and programmatic oversight to ensure grant funds are managed and used according to the Act, as well as provide an opportunity for the eligible entities to have a better understanding of expectations and ample time to prepare. The risk assessment tools were enhanced to allow the State CSBG Office and the eligible entities the ability to identify additional training and technical assistance that may be needed.	no comments	
28	<b>Section 7.7: Number of partially CSBG-funded State staff</b>	<i>8.2 changed to 6</i>	no comments	
29	<b>Section 7.8: Number of CSBG-funded State FTEs</b>	<i>2 changed to 2.94</i>	no comments	
30	<b>Section 7.9: Use of discretionary funds</b>	<i>No changes</i>	no comments	
31	<b>Section 7.10: Number of CSBG eligible entities participating</b>	<i>Changed from 3 to 12</i>	no comments	

	A	B	C	D
32	<b>Section 7.11: Adjustments relative to last cycle</b>	The discretionary funding priorities for SFY 19 are focused on community initiatives. The State CSBG Office will work with the Community Action Network to help identify priorities. The unused discretionary funds, specific to items F and H, will be redistributed based upon the funding formula.	<b>In the phrase "help identity priorities" - typo: identify</b>	Acknowledged and corrected.
33	<b>Section 8: State Training and Technical Assistance</b>			
34	<b>Section 8.1: TTA plan</b>	<p><i>(Table will be updated with Jutta's plan)</i> The State CSBG Office contracts with ACAA to conduct a needs assessment for and subsequently provide training and technical assistance to the CAAs. Survey results were addressed with CAA Executive Directors, who identified four high-priority issues to focus on:</p> <ul style="list-style-type: none"> <li>• ROMA Next Generation – concepts (for Staff and/or Board Members)</li> <li>• Organizational standards for Board Members</li> <li>• Annual Report Module 3: community level initiatives</li> <li>• Strategic planning and CAP planning</li> </ul> <p>In addition to the survey, the State CSBG Office, along with ACAA, have monthly conference calls with the CAAs to discuss updates and issues including training and technical assistance. Additionally, the State CSBG Office uses monitoring and site visits to identify additional training and technical assistance needs.</p>	<b>What does FY1 mean? (is it FY 19, i.e. the first plan year)? Remove in 12 "possibly" and use the same language as in 3.2: Development of program related training on Community Action and CSBG.</b>	<p>--Yes, FY1 is FY19.</p> <p>--Language amended to "Basic CSBG Training" per ACAA's statement of the topic</p> <p>--Small updates made to table based on most recent communication with ACAA.</p>
35	<b>Section 8.1a: TTA budget</b>	<i>No change</i>		
36	<b>Section 8.2: Does the State have TAPs for entities with unmet org standards?</b>	Training and Technical Assistance will be tracked using the CSBG Organizational Standards software and the existing Report of Findings.	no comments	
37	<b>Section 8.4: Adjustments relative to last cycle</b>	The State CSBG Office worked in coordination with ACAA on training and technical assistance needs. For FFY19, ACAA conducted a survey to compile the needs and requests of eligible entities, including both their boards and staff. The survey resulted in the training and technical assistance plan that is outlined above. This plan also includes training and technical assistance needs identified by the State CSBG Office during onsite monitoring and policy clarification requests.	no comments	
38	<b>Section 9: State Linkages and Communication</b>			
39	<b>Section 9.2: Linkages at local level</b>	<i>(Preexisting language regarding conversations with WIOA)</i> ...These conversations have resulted in work to develop a statewide referral and reporting process to be used by the Network, along with a strengthened partnership that allows for better collaboration.	no comments	
40	<b>Section 9.3a: State assurance of eligible entity linkages and coordination</b>	<i>(Preexisting language)</i> ...In SFY18, the State CSBG Office contracted with ACAA to provide stronger support in this area. The contracted work included conducting a survey of the eligible entities to help identify priority linkages at a Statewide level. From the survey results, ACAA created a linkages plan which is now in process of implementation.	no comments	

	A	B	C	D
41	<b>Section 9.3b: State assurance of eligible entity linkages to fill service gaps</b>	<i>(Preexisting language)</i> ... In addition, work is being completed by ACAA under State contract to provide a statewide process for linkages, as described in 9.3a.	no comments	
42	<b>Section 9.4b: Coordination with WIOA system</b>	<i>(Preexisting language)</i> ...In addition, in SFY 2017 the State CSBG Office initiated conversations with the State WIOA office to establish a standard referral and reporting process. These efforts continued in SFY 2018 and will result in a statewide agreement to finalize activities.	Please clarify what the State WIOA Office is; is it DES-DERS?	Yes; this clarification has been added parenthetically.
43	<b>Section 9.5: Emergency energy crisis intervention</b>	<i>Minor wording changes only</i>	<b>Note: 9.6/9.7 reference to IS report --&gt; change to AR?</b>	Changed to "CSBG annual reports"
44	<b>Section 9.9: Communication with eligible entities and state association</b>	<i>Quarterly alerts, biannual face-to-face meetings, monthly teleconferences, annual public hearings, triennial legislative hearings, monthly/ad hoc workgroup meetings, daily ad hoc</i>	no comments	
45	<b>Section 9.10: State feedback to eligible entities and state association</b>	The State CSBG Office will provide regular communications regarding performance on State Accountability Measures to local entities and the State Community Action Association in the form of annual reports (CSBG Annual Report), Monitoring Reports of Findings, written feedback, emails/phone calls and State community engagement activities.	no comments	
46	<b>Section 9.11: Adjustments relative to last cycle</b>	In coordination with the community action network, the State CSBG Office will form a written communication plan <b>for use in the priority tasks of implementing ROMA Next Generation and automating the CSBG Annual Report.</b>	no comments	
47	<b>Section 10: Monitoring, Corrective Action, and Fiscal Controls</b>			
48	<b>Section 10.1: Schedule</b>	<i>Updated to reflect targets of three years since the last full onsite review.</i>	no comments	
49	<b>Section 10.4: Are procedures for addressing findings included in the attached State monitoring protocols?</b>	<i>Changed "Yes" to "No"</i>	no comments	
50	<b>Section 10.4a: If no, describe State procedures</b>	<i>Currently, the State CSBG Office provides a Report of Findings (ROF) once the monitoring visit is complete. The ROF includes all of the findings and deficiencies. If a finding is noted, the CSBG State Office may implement a Corrective Improvement Plan (CIP) that outlines the action needed for compliance and by when. For serious deficiencies, the State Office of Procurement may issue a demand for assurance letter to the eligible entity for findings related to conditions of the State CSBG Office contract. The State CSBG Office follows up with the agency to assure the completion of the CIP, making follow up visits if necessary and providing technical assistance.</i>	no comments	"Corrective Improvement Plan" changed to "Quality Improvement Plan" to conform with 10.6
51	<b>Section 10.6: Process for reporting Quality Improvement Plans to OCS</b>	The State CSBG Office will notify the Office of Community Services of eligible entities on Corrective Improvement Plans (i.e. QIPs) via email within 30 calendar days.	<b>Can you change QIP to CIP to avoid confusion, or clarify that AZ CIPs are the QIPs. -- Note: In 10.8 - clarify which is correct: yes or no.</b>	CIP has been changed to QIP, the term used by OCS. The erroneous selection of both "Yes" and "No" in 10.8 has been corrected.
52	<b>Section 10.14: Adjustments relative to previous cycle</b>	The State CSBG Office will revise monitoring tools as outlined in section 7.5 above. In SFY18, the State CSBG Office adopted an automated process for assessing compliance with the CSBG Organizational Standards.	no comments	
53	<b>Section 11: Eligible Entity Tripartite Board</b>			

	A	B	C	D
54	Section 11.3: Assurance of tripartite board representation	<i>Minor wording changes only</i>	no comments	
55	<b>Section 12: Individual and Community Income Eligibility Requirements</b>			
56	Section 12.1a: State policy for income eligibility	<i>(Preexisting language)</i> ...In SFY18, the State CSBG Office implemented categorical eligibility for LIHEAP services. This eligibility applies to CSBG recipients, also, and assisted with streamlining the intake process.	Remove "also"	The section has been reworded for greater clarity: "In SFY18, the State CSBG Office enacted a categorical determination of LIHEAP and CSBG eligibility for clients who have already been approved for assistance from the DES Division of Benefits and Medical Eligibility. This categorical determination has reduced duplication of effort and assisted with streamlining the client intake process at eligible entities."
57	<b>Section 13: Results-Oriented Management and Accountability (ROMA) System</b>			
58	Section 13.5: Securing Community Action Plans from agencies	<i>(Preexisting language)</i> ...The State CSBG Office is working with ACAA and the Network to implement a new CAP Plan template as part of the roll-out of the State's new CSBG software that was purchased in SFY18.	Change "roll-out" to implementation	Amended as suggested
59	<b>Section 14: CSBG Programmatic Assurances and Information Narrative</b>			
60	Section 14.1a: Describe how funds will be used for CSBG	<i>No change to language. Input from Network needed to update attachment.</i>	Specify attachment 14.1a and include attachment.	Acknowledged and attached; unchanged from previous State Plan submission.
61	Section 14.1b: Describe how funds will be used for youth	<i>No change to language. Input from Network needed to update attachment.</i>	Please include attachment.	Acknowledged and attached; generally the same as previous State Plan submission but with some updates.
62	Section 14.1c: Describe how funds will be used for coordination	<i>No changes.</i>		
63	Section 14.2: Describe how discretionary funds will be used	The discretionary funding priorities for SFY 19 are focused on community initiatives as addressed in item 14.1. The State CSBG Office will work with the Community Action Network to help identify priorities. The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10.	Change identity to identify (same as earlier).	Corrected



**DETAILED MODEL PLAN (LIHEAP)**

Program Name: Low Income Home Energy Assistance

Attachment # L.B

Grantee Name: ARIZONA

Report Name: DETAILED MODEL PLAN (LIHEAP)

Report Period: 10/01/2017 to 09/30/2018

Report Status: Saved -- Validated

Report Sections>

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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

<b>* 1.a. Type of Submission:</b> <input checked="" type="radio"/> Plan	<b>* 1.b. Frequency:</b> <input checked="" type="radio"/> Annual	<b>* 1.c. Consolidated Application/Plan/Funding Request?</b> Explanation:  <b>2. Date Received:</b> <b>3. Applicant Identifier:</b> <b>4a. Federal Entity Identifier:</b> <b>4b. Federal Award Identifier:</b>	<b>* 1.d. Version:</b> <input type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update <hr/> <b>State Use Only:</b>  <b>5. Date Received by State:</b>  <b>6. State Application Identifier:</b>
--	---	--	---

#### 7. APPLICANT INFORMATION

<b>* a. Legal Name:</b>			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b>		<b>* c. Organizational DUNS:</b> 136730434	
<b>* d. Address:</b>			
<b>* Street 1:</b>	1789 WEST JEFFERSON 3RD FLOOR NW	<b>Street 2:</b>	P.O. BOX 6123
<b>* City:</b>	PHOENIX	<b>County:</b>	
<b>* State:</b>	AZ	<b>Province:</b>	
<b>* Country:</b>		<b>* Zip / Postal Code:</b>	85007 -
<b>e. Organizational Unit:</b>			
<b>Department Name:</b>		<b>Division Name:</b>	

#### f. Name and contact information of person to be contacted on matters involving this application:

<b>Prefix:</b>	<b>* First Name:</b> Shelley	<b>Middle Name:</b> L	<b>* Last Name:</b> Morgan
<b>Suffix:</b>	<b>Title:</b> LIHEAP Program Manager	<b>Organizational Affiliation:</b> Arizona Department Of Economic Security, Department of Aging and Adult Services	
<b>* Telephone Number:</b> (602) 542-6620	<b>Fax Number:</b>	<b>* Email:</b> <a href="mailto:smorgan@azdes.gov">smorgan@azdes.gov</a>	

#### \* 8a. TYPE OF APPLICANT:

<b>b. Additional Description:</b>
-----------------------------------

#### \* 9. Name of Federal Agency:

	<b>Catalog of Federal Domestic Assistance Number:</b>	<b>CFDA Title:</b>
<b>10. CFDA Numbers and Titles</b>	93568	Low-Income Home Energy Assistance

#### 11. Descriptive Title of Applicant's Project

#### 12. Areas Affected by Funding:

#### 13. CONGRESSIONAL DISTRICTS OF:

<b>* a. Applicant</b>	<b>b. Program/Project:</b>
-----------------------	----------------------------

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> 10/01/2018	<b>b. End Date:</b> 09/30/2019	<b>* a. Federal (\$):</b> \$0	<b>b. Match (\$):</b> \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
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.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
<input type="radio"/> YES <input checked="" type="radio"/> NO			
<b>Explanation:</b>			
<b>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)</b> <b>**I Agree <input type="checkbox"/></b>			
** 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>	
<b>Attach supporting documents as specified in agency instructions.</b>			

## 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	10/01/2018	09/30/2019
<input checked="" type="checkbox"/>	Cooling assistance	10/01/2018	09/30/2019
<input checked="" type="checkbox"/>	Crisis assistance	10/01/2018	09/30/2019
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2018	09/30/2019

**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 2018.

- 1) HEATING (November 1-March 31) and COOLING (April 1-October 21) for counties: Coconino, Yavapai, Navajo, Apache, Greenlee, Graham, Cochise, and Santa Cruz.
- 2) HEATING (December 1-March 31) and COOLING (April 1-November 30) for counties: Mojave, 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	15.80%
Cooling assistance	34.20%
Crisis assistance	5.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	10.00%
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%
Used to develop special project for IT development and enhancement	3.00%
<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 checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	
SSI	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	
SNAP	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input 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	
	<b>Program Name</b>	<b>Heating</b>	<b>Cooling</b>	<b>Crisis</b>	<b>Weatherization</b>
Other(Specify) 1		<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

**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?**

The state ensures there is no difference between categorical eligibility for TANF recipients and other low-income populations who do not receive public benefits through income-based eligibility.

**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"/>	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.		



<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 over \$50 are counted. Earned income of a child under the age of 18 is counted if the child is 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  
Expiration Date: 06/30/2017

### 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 households 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 use a pre-register/pre-enrollment 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 households 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**

Dwelling type

Energy burden (% of income spent on home energy)

Energy need

Other - Describe:

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)

**2.6 Describe estimated benefit levels for FY 2019:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$800
------------------------	------	------------------------	-------

**2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits?**  Yes  No

**If yes, describe.**

Service providers offer blankets, wood, wood pellets, and bottled propane 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 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 households 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 use a pre-register/pre-enrollment 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**

<input type="checkbox"/> 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)

**3.6 Describe estimated benefit levels for FY 2019:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$800
------------------------	------	------------------------	-------

**3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?**  Yes  No

**If yes, describe.**  
 Service providers may 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  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### 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 exists when a household faces an energy burden which depletes or threatens to deplete financial resources, or which poses a potential health and/or safety threat to the well-being of the household.

- A client is considered to be in crisis when the household has received a shutoff or eviction notice and/or is pending loss of energy. Eligible LIHEAP crisis applicants must be provided some type of assistance within 48 hours, as funding is (resources are) available.

##### 4.3 What constitutes a life-threatening crisis?

When an eligible LIHEAP crisis client meets LIHEAP criteria and the household is considered to be in a life-threatening emergency per, but not limited to, the following criteria:

- The client can establish through medical documentation that, in the opinion of a licensed medical physician, termination of power, or exposure to heat or cold would be especially dangerous to the health of a client or a permanent resident residing on the client's premises.
- Life supporting equipment used in the home that is dependent on utility service for operation of such apparatus.

##### 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?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> 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

**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

**Do you have additional / differing eligibility policies for:**

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

**Explanations of policies for each "yes" checked above:**

---

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.

Determination of Benefits

**4.8 How do you handle crisis situations?**

<input checked="" type="checkbox"/>	<b>Separate component</b>
<input type="checkbox"/>	<b>Fast Track</b>
<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.

**4.9 If you have a separate component, how do you determine crisis assistance benefits?**

<input type="checkbox"/>	<b>Amount to resolve the crisis.</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> Amount to resolve the crisis, up to a maximum of \$500.

Crisis Requirements, 2604(c)

**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?**

Yes  No **Explain.**

**4.11 Do you provide individuals who are physically disabled the means to:**

**Submit applications for crisis benefits without leaving their homes?**  
 Yes  No **If No, explain.**

**Travel to the sites at which applications for crisis assistance are accepted?**  
 Yes  No **If No, explain.**

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?

**Benefit Levels, 2605(c)(1)(B)**

**4.12 Indicate the maximum benefit for each type of crisis assistance offered.**

Winter Crisis	\$0.00 maximum benefit
Summer Crisis	\$0.00 maximum benefit
Year-round Crisis	\$500.00 maximum benefit

**4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?**

Yes  No **If yes, Describe**

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) and 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 determination date when the local weather forecast, as predicted by 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 moratorium fluctuates based on weather conditions. The criteria for moratoriums are extreme cold temperatures or excessive heat warnings issued but 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  
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### 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	All Household Sizes	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

**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 Ration (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 Ration (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	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input type="radio"/> Yes <input checked="" type="radio"/> No

**5.8 Do you give priority in eligibility to:**

Elderly?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> 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? \$10,000 (rolling)

**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)

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 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

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 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.).



Joint application for multiple programs



Intake referrals to/from other programs



One - stop intake centers



Other - Describe:

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 Executive Director administers the Community Services, Social Services, and 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

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 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?**

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
<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?

[Redacted]

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 2018, there are 11 LIHEAP Providers, which consist of 11 Community Action Agencies, which are 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? 11

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 checked="" 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

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

#### 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

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 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

**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

**Monitoring through central database**

**Desk reviews**

**Client File Testing / Sampling**

**Other program review mechanisms are in place. Describe:**

**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 the 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 of findings with key personnel and provide the opportunity for clarification, and will provide written results of the monitoring within 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's 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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**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
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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:

**11.2 What changes did you make to your LIHEAP plan as a result of this participation?**

Stakeholder comments were incorporated into this draft, including revising the document verification sections to more closely align with Service Providers' processes.

**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. Phoenix— State Capitol in the Grand Canyon room	1. June 19, 2018 - 10:30am to 12:00pm	Public Hearings to be held: 1:Phoenix, Arizona 2. Southern AZ 3. Northern AZ
2. Tucson – TBD	2. TBD	
3. Flagstaff – Coconino City Community Services Dept.	3. 7/11/18 – 11:30am to 1:00pm	

**11.4. How many parties commented on your plan at the hearing(s)?** 0

**11.5 Summarize the comments you received at the hearing(s).**  
 TBD

**11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?**

TBD

**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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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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.**

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 1: An opportunity to file a request for 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 3 working days, provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within 10 working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within 10 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 10 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 30 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 10 working days of receiving the Arizona Department of Economic Security Assistant Director's decision letter, request, in writing, a fair hearing from the Department of Economic Security. The Department will be responsible for conducting the hearing and providing a decision within 60 days of the request, in accordance with Arizona Administrative Code R6-5-2404.

Step Four: In the event the applicant/recipient wishes to appeal the decision of the Department of Economic Security, the applicant/recipient may, within 10 working days of receiving the Department of Economic Security's 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 the 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 10 working days, provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within 10 working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within 30 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 10 working days to 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 10 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 30 working days of receiving the request, in writing, request a fair hearing from the Department of Economic Security. The Department will be responsible for conducting the hearing and providing a decision within 60 days of the request, in accordance with Arizona Administrative Code R6-5-2404.

Step Four: In the event the applicant/recipient wishes to appeal the decision of the Department of Economic Security, the applicant/recipient may, within 10 working days of receiving the Department of Economic Security's 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.

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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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**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 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### 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 ensure that Service Providers abide by 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 impact data on Assurance 16 activities for FFY 2018; however, we are currently working on redesigning the program with impact measures in mind, which will be included in future reports.

**13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.**

FFY 2018 data is not finalized; however, the data is forthcoming in the Performance Data Form. No direct monetary benefits have been issued to households using Assurance 16 funds during FFY 2018.

**13.5 How many households applied for these services? Applicants do not apply for these services. Clients are offered the education during their intake appointment.**

**13.6 How many households received these services? 5559**

**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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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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 Community Action Association (CAA) Â Utility Repair, Replace and Deposit Program (URRD)	URRD funds are used by community action agencies in coordination with LIHEAP for deposits, and repairs, or replacements of energy related appliances and systems.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(E).
2	Arizona Community Action Association (CAA) Â Home Energy Assistance Fund	This resource provides energy assistance to eligible low income households statewide.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A)
3	Arizona Public Service (APS)	Provides a discount to households based on electricity usage for each month.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(D).
4	APS/Community Action Partnership	APS provides funding for materials, supplies and repairs to low income homeowners for weatherization. Funds are also used to provide utility assistance payments for gas and electric to LIHEAP eligible households.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
5	City of Phoenix Water Fund (Project Assist)	The Project Assist dollars are used in conjunction with LIHEAP funds to assist low income families in addressing their utility and water needs.	N/A
6	City of Scottsdale Utility Assistance Program	Funds are used to provide emergency utility assistance to low income families.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
7	City of Tucson Â Low Income Assistance Program	Funds are used to provide a discount to low income households with water bills.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A)
8	Coconino County General Funds (Not State General Funds)	Funds are used to provide low income Coconino County residents with financial assistance with utility bills in conjunction with LIHEAP.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A, C and E).
9	Donations to Agency	The resource provides funds to the Community Action Human Resources Agency (CAHRA),	N/A

		LIHEAP provider, for utility assistance to low income households.	
10	Neighbors Helping Neighbors	Funds for Home Energy Assistance available statewide. Funds are received through a voluntary State Tax check off.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(E).
11	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
12	Salt River Project (SRP) Bill Assistance Program	This resource provides funds to meet the energy affordability needs of low income clients.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
13	SRP - Economy Price Plan	Provides a discount to households based on monthly electricity usage. The LIHEAP Grantee and Arizona Community Action Association met with SRP to discuss the expansion of the utility discount program to all low income households rather than only seniors. All low income households at 150 percent of poverty may apply for the discount. A LIHEAP eligibility criterion was incorporated with this resource.	N/A

**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

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### 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**



**Other - Describe:**

**Policies communicated through vendor agreements**

**Policies are outlined in a vendor manual**

**Other - Describe:**

Vendors are provided with current LIHEAP Policy Manuals. Questions and concerns are communicated verbally and via email.

**15.2 Does your training program address fraud reporting and prevention?**

Yes

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

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### 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) uses a proprietary system-in-house to complete the LIHEAP Performance Measures Data Collection goals. The State of Arizona implemented the new reporting system in SFY18 and reported FFY17 data in March 2018. The State of Arizona will utilize the same proprietary for FFY18 and report on 1/31/19

**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

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### 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 is 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, 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 WorkNumber)
- 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**

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.BrBbr.**
- 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)

\* Address Line 1

Address Line 2

Address Line 3

\* City

\* State

\* Zip Code

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.

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## 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

- **Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.**
- **Benefit matrix for benefits up to 640 dollars, applicable**
- **Benefit matrix for benefits up to 800 dollars, if applicable**
- **Attachment detailing weatherization protocols including but not limited to a rolling average of 10, 000 dollars per household unit.**
- **This category is reserved for LIHEAP purposes. The funds will be set aside for organizational capacity building.**
- **Minutes, notes, or transcripts of public hearing(s).**



STATE OF ARIZONA  
OFFICE OF THE GOVERNOR

DOUGLAS A. Ducey  
GOVERNOR

EXECUTIVE OFFICE

August 17, 2015

Ms. Jeannie Chaffin  
Director, U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services, Division of Energy Assistance  
Aerospace Building, 5<sup>th</sup> Floor West  
370 L'Enfant Promenade, S.W.  
Washington, DC 20447

Dear Ms. Chaffin,

I, Governor Douglas A. Ducey, delegate my authority to the Department of Economic Security Director to certify to the 16 assurances outlined in the Low Income Home Energy Assistance Act of 1981, as amended, and otherwise perform all necessary functions to properly administer the Low Income Home Energy Assistance Program and the Community Service Block Grant Program. The Director's address and telephone number are:

Director  
Arizona Department of Economic Security  
P.O. Box 6123  
Site Code 010A  
Telephone: (602) 542-5757

If you have any questions, please the Office of the Assistant Director, Division of Aging and Adult Services, at (602) 542-4446.

A handwritten signature in black ink that reads "Douglas A. Ducey".

Douglas A. Ducey Governor  
State of Arizona



## **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.

ADOH may now use a 10,000 dollar rolling average for LIHEAP designated weatherization funds per household unit.

# Arizona Cool/Heating Component Benefit Matrix 2019

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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. This matrix is used for special assistance to vulnerable populations or varying program design to accommodate the unique needs of these LIHEAP recipients special consideration can be made for certain populations regarding recertification programs such as seniors.

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 points

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
3 - 6	\$ 161- \$320
7 - 11	\$ 321 - \$480
12 - 14	\$ 481- \$640
15 and up	\$ 641 - \$800 maximum

# Arizona Cool/Heating Component Benefit Matrix 2019

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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.

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<u>Percent of Poverty</u>	<u>Points Applied</u>
0% - 25%	5 points
26% - 50%	4 points
51% - 50%	3 points
76% - 100%	2 points

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

## LIHEAP FFY 2018 State Plan Draft Matrix - Attachment L.B.1

A draft of the FFY 2018 State Plan is included for review.

Section	Plan Modifications	CAP Network's Comment	DES Response/Changes
Section 1: Program Components	Sec. 1.4 - Added categorical eligibility in TANF and SSI Sec. 1.6 Explained income based eligibility in to ensure categorically eligibility for TANF and SSI does not disadvantage populations who are not receiving benefits, per OCS request.	TANF Heating is marked both yes and no  1.6. Do we need to explain how this is done?	Change made  Change made to better explain eligibility fairness to both TANF and general public.
Section 4 - CRISIS ASSISTANCE	Sec 4.2 and 4.3 - Changed crisis definition to new crisis definition is manual pending approval Nov 15, 2017.  Sec 4.3 – changed customer to client to be consistent.	What does "some type of assistance" mean? (for crisis and for life-threatening crisis)	The wording "some type of assistance" means any assistance provided <u>to</u> a client from a referral to <u>another community partner or the receipt of a LIHEAP benefit.</u> <u>This was discussed and -as</u> approved by the Network in the Workgroup discussion for the new crisis definition.
Section 5: Weatherization Assistance	Sec. 5.10 - 10,000 rolling average for weatherization	"Rolling average" language is not in state plan. Does it need to be?	The rolling average cannot be imputed in to the OCS form. However, an attachment explaining the change will be included in the State Plan.

## LIHEAP FFY 2018 State Plan Draft Matrix

Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6	Sec. 8.6 - Number of Community Action Agencies changed from 12 to11.	No comments	
Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)	Sec 11.3-6 - To be updated once Public Hearings are determined and held.	No comments	
Section 12 - Fair Hearings,2605(b)(13) - Assurance 13	Sec 12.4-6 - Changed to reflect 30 day turnaround for explanations or rejections for CAA and DES regarding fair hearing.	No comments	
Section 16 - Performance Goals and Measures, 2605(b)	Sec. 16.1 Revised to reflect new in-house process in place for performance measures.	Need more information, e.g. timeframes.	Sec.16 revised to reflect timeline for reporting Performance Measures.

## LIHEAP FFY 2018 State Plan Draft Matrix

<p>Section 17: Program Integrity</p>	<p>Sec.17.9 added direct funds to client when vendor returns unused LHEAP funds to them,</p>	<p><b>What does the change in 17.9 refer to? We could not identify relevant language in 17.9.</b></p> <p><b>Is "17.8 Direct payment to households" the item in question? (instead of 17.9)</b></p> <p><b>Clarify the item "Procedures are in place to require prompt refunds from utilities in cases of account closure. " Does this pertain to the change referenced?"</b></p>	<p>No change was recorded. The reference is related to 17.8 not 17.9.</p>
<p>Attachment</p>	<p>LIHEAP worksheets IT Development Project Definition of 10,000 rolling deadline</p>	<p><b>Do we need to include the additional worksheets for heating and cooling that reflect the \$800 benefit?</b></p> <p><b>Can heating and cooling be combined on one worksheet? If not, please clarify why they are separate.</b></p>	<p>Yes, approved matrixes will be added to the state plan that will be posted to the website for review.</p>