



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey
Governor

Timothy Jeffries
Director

April 14, 2016

To: Community Action Network
Arizona Department of Housing

From: Lynn Larson, Assistant Director 
Division of Aging and Adult Services

Subject: Amendment to April 4, 2016 ALERT

The April 4, 2016 ALERT was amended as follows:

- The CSBG State Plan draft SFY-17-L was modified to include the attachments noted in the draft, along with a matrix that outlines changes made from the old plan to the new plan.

The revised documents have been inserted into the overall attached ALERT.

The ALERTS are subject to change as additional information is received by the DAAS pertaining to the funding sources identified. 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 regarding the attached ALERTS, please contact your assigned Contract Specialist.

cc: Lynn Larson, Tammy Frazee, George Robles, Diana Gravett, Nina Sutton, Bridget Casey, Camille Kowal, Matt LeCrone, Cynthia Jennings, Rose Larsen, Rebecca Clayton, Jason Bernbaum, Ethan Gaye, John Sours, Alyssa Tattrie, and DAAS file



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To: Community Action Network
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From:  Lynn Larson, Assistant Director
Division of Aging and Adult Services

Subject: SFY 2017 Revised Allocation, LIHEAP Income Chart, CSBG State Plan
Draft

The following ALERT is attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY-17-H1	CenturyLink Revised Allocation
ALERT SFY-17-K1	Simplified LIHEAP Income Chart - Corrected
ALERT SFY-17-L	CSBG State Plan - Draft

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Should you have any questions regarding the attached ALERTS, please contact your assigned Contract Specialist.

cc: Lynn Larson, Jane Harrison, Tammy Frazee, George Robles, Diana Gravett, Nina Sutton, Bridget Casey, Camille Kowal, Matt LeCrone, Cynthia Jennings, Rose Larsen, Rebecca Clayton, Jason Bernbaum, Ethan Gaye, John Sours, Alyssa Tattie, and DAAS file

Division of Aging and Adult Services
ALERT

SFY-17-H1

**CenturyLink
Telephone Discount Programs (TDP)
for SFY 2017**

Due to a decline in the use of landlines, fewer persons are signing up for the Telephone Discount Programs (TDP). As a result, CenturyLink has determined it is best for them to administer TDP directly.

As of April 18, 2016, persons interested in Lifeline applications should be referred to CenturyLink's Website at <http://www.centurylink.com/LifeLine> or (888) 833-9522. Department of Economic Security (DES)/ Department of Adult and Aging Services (DAAS) TDP Customer Service representatives will continue to process TDP applications through April 29, 2016. As of May 2, 2016, all callers and paperwork received at DES/DAAS will be forwarded to CenturyLink for processing.

All programs will continue as usual with CenturyLink. CenturyLink has made a filing with the Arizona Corporation Commission (ACC) to grandfather in the clients of the Telephone Assistance Program (TAP) for the Medically Needy. If the ACC approves the filing, new applications for TAP will not be accepted after April 1, 2017. CenturyLink will continue providing Medically Needy benefits indefinitely for those who are enrolled in the program prior to April 1, 2017.

CenturyLink's contract with DAAS will end June 30, 2016. Therefore, TDP funds for State Fiscal Year (SFY) 2017 will not be available.

If you have any questions, please contact your assigned Contract Specialist.

**COMMUNITY ACTION NETWORK FORMULA
INITIAL SFY 2017 ALLOCATIONS (Includes Hold Harmless >8%)**

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	CENTURYLINK	NHN	SFY 2017 ALLOCATION
ACAA	\$ -	\$ 155,000	\$ -	\$ 25,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 180,000
CAHRA	\$ 272,403	\$ -	\$ -	\$ 994,866	\$ -	\$ 205,170	\$ 16,096	\$ 5,972	\$ 2,090	\$ 1,496,597
City of Glendale	\$ 190,479	\$ -	\$ -	\$ 695,736	\$ -	\$ 150,000	\$ 77,890	\$ 4,178	\$ 1,462	\$ 1,119,745
City of Phoenix	\$ 1,286,962	\$ -	\$ -	\$ 4,704,235	\$ -	\$ 994,098	\$ 574,714	\$ 28,244	\$ 9,885	\$ 7,598,138
Coconino County	\$ 150,000	\$ -	\$ -	\$ 359,108	\$ -	\$ 150,000	\$ 18,305	\$ 2,155	\$ 756	\$ 680,324
Arizona Dept. of Housing	\$ -	\$ -	\$ -	\$ 2,936,124	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,936,124
Gila County	\$ 150,000	\$ -	\$ -	\$ 139,802	\$ -	\$ 150,000	\$ 8,048	\$ 840	\$ 295	\$ 448,985
Maricopa County	\$ 811,075	\$ -	\$ -	\$ 2,963,226	\$ -	\$ 588,117	\$ 316,323	\$ 17,792	\$ 6,227	\$ 4,702,760
MesaCAN	\$ 294,411	\$ -	\$ -	\$ 1,075,201	\$ -	\$ 222,564	\$ 116,279	\$ 6,456	\$ 2,256	\$ 1,717,167
NACOG	\$ 235,376	\$ -	\$ -	\$ 860,483	\$ -	\$ 178,054	\$ 66,581	\$ 5,166	\$ 1,809	\$ 1,347,469
Pima County	\$ 692,289	\$ -	\$ -	\$ 794,470	\$ -	\$ 528,413	\$ -	\$ 15,201	\$ 1,669	\$ 2,032,042
PPEP	\$ 97,190	\$ -	\$ -	\$ -	\$ -	\$ 74,480	\$ -	\$ -	\$ -	\$ 171,670
SEACAP	\$ 208,297	\$ -	\$ -	\$ 719,584	\$ -	\$ 157,948	\$ -	\$ 4,322	\$ 1,511	\$ 1,091,662
Tohono O'odham	\$ -	\$ -	\$ -	\$ 62,572	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 62,572
Tucson Urban League	\$ -	\$ -	\$ -	\$ 1,737,303	\$ -	\$ -	\$ -	\$ -	\$ 3,651	\$ 1,740,954
WACOG	\$ 471,007	\$ -	\$ -	\$ 1,610,905	\$ -	\$ 325,156	\$ -	\$ 9,674	\$ 3,389	\$ 2,420,131
Totals	\$ 4,859,489	\$ 155,000	\$ -	\$ 19,678,615	\$ -	\$ 3,724,000	\$ 1,194,236	\$ 100,000	\$ 35,000	\$ 29,746,339

Notes:

1. SSBG Funds are Locally Planned, only.
2. \$25,000 LIHEAP funding for ACAA is for Leveraging activities.

Bolded numbers represent changes in funding.

**COMMUNITY ACTION NETWORK FORMULA
REVISED SFY 2017 ALLOCATIONS**

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	CENTURYLINK	NHN	SFY 2016 ALLOCATION
ACAA	\$ -	\$ 155,000	\$ -	\$ 25,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 180,000
CAHRA	\$ 253,061	\$ -	\$ -	\$ 833,932	\$ -	\$ 183,081	\$ 16,096	\$ -	\$ 1,803	\$ 1,287,973
City of Glendale	\$ 179,014	\$ -	\$ -	\$ 632,382	\$ -	\$ 150,000	\$ 77,890	\$ -	\$ 1,373	\$ 1,040,659
City of Phoenix	\$ 1,303,378	\$ -	\$ -	\$ 4,592,333	\$ -	\$ 1,012,131	\$ 574,714	\$ -	\$ 9,999	\$ 7,492,555
Coconino County	\$ 150,000	\$ -	\$ -	\$ 373,760	\$ -	\$ 150,000	\$ 18,305	\$ -	\$ 762	\$ 692,827
Arizona Dept. of Housing	\$ -	\$ -	\$ -	\$ 3,016,480	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,016,480
Gila County	\$ 150,000	\$ -	\$ -	\$ 148,509	\$ -	\$ 150,000	\$ 8,048	\$ -	\$ 316	\$ 456,873
Maricopa County	\$ 783,483	\$ -	\$ -	\$ 2,714,544	\$ -	\$ 557,179	\$ 316,323	\$ -	\$ 5,897	\$ 4,377,426
MesaCAN	\$ 272,196	\$ -	\$ -	\$ 960,541	\$ -	\$ 204,778	\$ 116,279	\$ -	\$ 2,086	\$ 1,555,880
NACOG	\$ 253,027	\$ -	\$ -	\$ 898,476	\$ -	\$ 180,645	\$ 66,581	\$ -	\$ 1,830	\$ 1,400,559
Pima County	\$ 742,974	\$ -	\$ -	\$ 791,791	\$ -	\$ 557,179	\$ -	\$ -	\$ 1,703	\$ 2,093,647
PPEP	\$ 98,001	\$ -	\$ -	\$ -	\$ -	\$ 74,480	\$ -	\$ -	\$ -	\$ 172,481
SEACAP	\$ 217,846	\$ -	\$ -	\$ 771,552	\$ -	\$ 165,896	\$ -	\$ -	\$ 1,684	\$ 1,156,978
Tohono O'odham	\$ -	\$ -	\$ -	\$ 64,972	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 64,972
Tucson Urban League	\$ -	\$ -	\$ -	\$ 1,765,724	\$ -	\$ -	\$ -	\$ -	\$ 3,842	\$ 1,769,566
WACOG	\$ 497,080	\$ -	\$ -	\$ 1,709,288	\$ -	\$ 338,631	\$ -	\$ -	\$ 3,705	\$ 2,548,704
Totals	\$ 4,900,060	\$ 155,000	\$ -	\$ 19,299,284	\$ -	\$ 3,724,000	\$ 1,194,236	\$ -	\$ 35,000	\$ 29,307,580

Note:

1. SSBG Funds are Locally Planned, only.
2. \$25,000 LIHEAP funding for ACAA is for Leveraging activities.

Bolded numbers represent changes in funding.

NET INCREASES/(DECREASES)

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	CENTURYLINK	NHN	SFY 2017 ALLOCATION
ACAA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CAHRA	\$ 19,342	\$ -	\$ -	\$ 160,934	\$ -	\$ 22,089	\$ -	\$ (5,972)	\$ 287	\$ 196,680
City of Glendale	\$ 11,465	\$ -	\$ -	\$ 63,354	\$ -	\$ -	\$ -	\$ (4,178)	\$ 89	\$ 70,730
City of Phoenix	\$ (16,416)	\$ -	\$ -	\$ 111,902	\$ -	\$ (18,032)	\$ -	\$ (28,244)	\$ (114)	\$ 49,096
Coconino County	\$ -	\$ -	\$ -	\$ (14,652)	\$ -	\$ -	\$ -	\$ (2,155)	\$ (6)	\$ (16,813)
Arizona Dept. of Housing	\$ -	\$ -	\$ -	\$ (80,356)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (80,356)
Gila County	\$ -	\$ -	\$ -	\$ (8,707)	\$ -	\$ -	\$ -	\$ (840)	\$ (21)	\$ (9,568)
Maricopa County	\$ 27,592	\$ -	\$ -	\$ 248,682	\$ -	\$ 30,938	\$ -	\$ (17,792)	\$ 330	\$ 289,750
MesaCAN	\$ 22,215	\$ -	\$ -	\$ 114,660	\$ -	\$ 17,786	\$ -	\$ (6,456)	\$ 170	\$ 148,375
NACOG	\$ (17,651)	\$ -	\$ -	\$ (37,993)	\$ -	\$ (2,591)	\$ -	\$ (5,166)	\$ (21)	\$ (63,422)
Pima County	\$ (50,685)	\$ -	\$ -	\$ 2,679	\$ -	\$ (28,766)	\$ -	\$ (15,201)	\$ (34)	\$ (92,007)
PPEP	\$ (811)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (811)
SEACAP	\$ (9,549)	\$ -	\$ -	\$ (51,968)	\$ -	\$ (7,948)	\$ -	\$ (4,322)	\$ (173)	\$ (73,960)
Tohono O'odham	\$ -	\$ -	\$ -	\$ (2,400)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (2,400)
Tucson Urban League	\$ -	\$ -	\$ -	\$ (28,421)	\$ -	\$ -	\$ -	\$ -	\$ (191)	\$ (28,612)
WACOG	\$ (26,073)	\$ -	\$ -	\$ (98,383)	\$ -	\$ (13,476)	\$ -	\$ (9,674)	\$ (316)	\$ (147,922)
Totals	\$ (40,571)	\$ -	\$ -	\$ 379,331	\$ -	\$ 0	\$ -	\$ (100,000)	\$ -	\$ 238,760

Bolded numbers represent changes in funding.

% INCREASES/(DECREASES)

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	CENTURYLINK	NHN	SFY 2017 ALLOCATION
ACAA	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CAHRA	7%	0%	0%	16%	0%	11%	0%	100%	14%	14%
City of Glendale	6%	0%	0%	9%	0%	0%	0%	100%	6%	7%
City of Phoenix	-1%	0%	0%	2%	0%	-2%	0%	100%	-1%	1%
Coconino County	0%	0%	0%	-4%	0%	0%	0%	100%	-1%	-2%
Arizona Dept. of Housing	0%	0%	0%	-3%	0%	0%	0%	0%	0%	-3%
Gila County	0%	0%	0%	-6%	0%	0%	0%	100%	-7%	-2%
Maricopa County	3%	0%	0%	8%	0%	5%	0%	100%	5%	7%
MesaCAN	8%	0%	0%	11%	0%	8%	0%	100%	8%	9%
NACOG	-7%	0%	0%	-4%	0%	-1%	0%	100%	-1%	-4%
Pima County	-7%	0%	0%	0%	0%	-5%	0%	100%	-2%	-3%
PPEP	-1%	0%	0%	0%	0%	0%	0%	0%	0%	0%
SEACAP	-5%	0%	0%	-7%	0%	-5%	0%	100%	-11%	-6%
Tohono O'odham	0%	0%	0%	-4%	0%	0%	0%	0%	0%	-4%
Tucson Urban League	0%	0%	0%	-2%	0%	0%	0%	0%	-5%	-2%
WACOG	-6%	0%	0%	-6%	0%	-4%	0%	100%	-9%	-5%

Bolded numbers represent changes in funding.

Hold-harmless applies to those agencies with reductions of greater than 8%.

**COMMUNITY ACTION NETWORK FORMULA
SFY 2017 ALLOCATIONS**

	CSBG	CSBG Discretionary	CSBG Carryover	LIHEAP	LIHEAP Re-distributed	TANF	SSBG	CENTURYLINK	NHN	SFY 2017 ALLOCATION
ACAA	\$ -	\$ 155,000	\$ -	\$ 25,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 180,000
CAHRA	\$ 272,403	\$ -	\$ -	\$ 994,866	\$ -	\$ 205,170	\$ 16,096	\$ -	\$ 2,090	\$ 1,496,597
City of Glendale	\$ 190,479	\$ -	\$ -	\$ 695,736	\$ -	\$ 150,000	\$ 77,890	\$ -	\$ 1,462	\$ 1,119,745
City of Phoenix	\$ 1,286,962	\$ -	\$ -	\$ 4,704,235	\$ -	\$ 994,098	\$ 574,714	\$ -	\$ 9,885	\$ 7,598,138
Coconino County	\$ 150,000	\$ -	\$ -	\$ 359,108	\$ -	\$ 150,000	\$ 18,305	\$ -	\$ 756	\$ 680,324
Arizona Dept of Housing	\$ -	\$ -	\$ -	\$ 2,936,124	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,936,124
Gila County	\$ 150,000	\$ -	\$ -	\$ 139,802	\$ -	\$ 150,000	\$ 8,048	\$ -	\$ 295	\$ 448,985
Maricopa County	\$ 811,075	\$ -	\$ -	\$ 2,963,226	\$ -	\$ 588,117	\$ 316,323	\$ -	\$ 6,227	\$ 4,702,760
MesaCAN	\$ 294,411	\$ -	\$ -	\$ 1,075,201	\$ -	\$ 222,564	\$ 116,279	\$ -	\$ 2,256	\$ 1,717,167
NACOG	\$ 235,376	\$ -	\$ -	\$ 860,483	\$ -	\$ 178,054	\$ 66,581	\$ -	\$ 1,809	\$ 1,347,469
Pima County	\$ 692,289	\$ -	\$ -	\$ 794,470	\$ -	\$ 528,413	\$ -	\$ -	\$ 1,669	\$ 2,032,042
PPEP	\$ 97,190	\$ -	\$ -	\$ -	\$ -	\$ 74,480	\$ -	\$ -	\$ -	\$ 171,670
SEACAP	\$ 208,297	\$ -	\$ -	\$ 719,584	\$ -	\$ 157,948	\$ -	\$ -	\$ 1,511	\$ 1,091,662
Tohono O'odham	\$ -	\$ -	\$ -	\$ 62,572	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 62,572
Tucson Urban League	\$ -	\$ -	\$ -	\$ 1,737,303	\$ -	\$ -	\$ -	\$ -	\$ 3,651	\$ 1,740,954
WACOG	\$ 471,007	\$ -	\$ -	\$ 1,610,905	\$ -	\$ 325,156	\$ -	\$ -	\$ 3,389	\$ 2,420,131
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Totals	\$ 4,859,489	\$ 155,000	\$ -	\$ 19,678,615	\$ -	\$ 3,724,000	\$ 1,194,236	\$ -	\$ 35,000	\$ 29,746,339

ACAA

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ 155,000	\$ -	\$ 155,000
CSBG Carryover	\$ -	\$ -	
LIHEAP	\$ 25,000	\$ -	\$ 25,000
LIHEAP Re-distributed	\$ -	\$ -	
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
CENTURLINK	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
TOTAL	\$ 180,000	\$ -	\$ 180,000

Bolded numbers represent changes in funding.

CAHRA

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 272,403	\$ -	\$ 272,403
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 994,866	\$ -	\$ 994,866
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 205,170	\$ -	\$ 205,170
SSBG	\$ 16,096	\$ -	\$ 16,096
CENTURYLINK	\$ 5,972	\$ (5,972)	\$ -
NHN	\$ 2,090	\$ -	\$ 2,090
TOTAL	\$ 1,496,597	\$ (5,972)	\$ 1,490,625

Bolded numbers represent changes in funding.

CITY OF GLENDALE

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 190,479	\$ -	\$ 190,479
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 695,736	\$ -	\$ 695,736
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 77,890	\$ -	\$ 77,890
CENTURYLINK	\$ 4,178	\$ (4,178)	\$ -
NHN	\$ 1,462	\$ -	\$ 1,462
TOTAL	\$ 1,119,745	\$ (4,178)	\$ 1,115,567

Bolded numbers represent changes in funding.

CITY OF PHOENIX

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 1,286,962	\$ -	\$ 1,286,962
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 4,704,235	\$ -	\$ 4,704,235
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 994,098	\$ -	\$ 994,098
SSBG	\$ 574,714	\$ -	\$ 574,714
CENTURYLINK	\$ 28,244	\$ (28,244)	\$ -
NHN	\$ 9,885	\$ -	\$ 9,885
TOTAL	\$ 7,598,138	\$ (28,244)	\$ 7,569,894

Bolded numbers represent changes in funding.

COCONINO COUNTY

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 150,000	\$ -	\$ 150,000
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 359,108	\$ -	\$ 359,108
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 18,305	\$ -	\$ 18,305
CENTURYLINK	\$ 2,155	\$ (2,155)	\$ -
NHN	\$ 756	\$ -	\$ 756
TOTAL	\$ 680,324	\$ (2,155)	\$ 678,169

Bolded numbers represent changes in funding.

GILA COUNTY

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 150,000	\$ -	\$ 150,000
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 139,802	\$ -	\$ 139,802
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 150,000	\$ -	\$ 150,000
SSBG	\$ 8,048	\$ -	\$ 8,048
CENTURYLINK	\$ 840	\$ (840)	\$ -
NHN	\$ 295	\$ -	\$ 295
TOTAL	\$ 448,985	\$ (840)	\$ 448,145

Bolded numbers represent changes in funding.

ARIZONA DEPARTMENT OF HOUSING

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 2,936,124	\$ -	\$ 2,936,124
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
CENTURYLINK	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
TOTAL	\$ 2,936,124	\$ -	\$ 2,936,124

Bolded numbers represent changes in funding.

MARICOPA COUNTY

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 811,075	\$ -	\$ 811,075
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 2,963,226	\$ -	\$ 2,963,226
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 588,117	\$ -	\$ 588,117
SSBG	\$ 316,323	\$ -	\$ 316,323
CENTURLINK	\$ 17,792	\$ (17,792)	\$ -
NHN	\$ 6,227	\$ -	\$ 6,227
TOTAL	\$ 4,702,760	\$ (17,792)	\$ 4,684,968

Bolded numbers represent changes in funding.

MESA CAN

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 294,411	\$ -	\$ 294,411
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 1,075,201	\$ -	\$ 1,075,201
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 222,564	\$ -	\$ 222,564
SSBG	\$ 116,279	\$ -	\$ 116,279
CENTURYLINK	\$ 6,456	\$ (6,456)	\$ -
NHN	\$ 2,256	\$ -	\$ 2,256
TOTAL	\$ 1,717,167	\$ (6,456)	\$ 1,710,711

Bolded numbers represent changes in funding.

NACOG

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 235,376	\$ -	\$ 235,376
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 860,483	\$ -	\$ 860,483
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 178,054	\$ -	\$ 178,054
SSBG	\$ 66,581	\$ -	\$ 66,581
CENTURYLINK	\$ 5,166	\$ (5,166)	\$ -
NHN	\$ 1,809	\$ -	\$ 1,809
TOTAL	\$ 1,347,469	\$ (5,166)	\$ 1,342,303

Bolded numbers represent changes in funding.

PIMA COUNTY

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 692,289	\$ -	\$ 692,289
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 794,470	\$ -	\$ 794,470
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 528,413	\$ -	\$ 528,413
SSBG	\$ -	\$ -	\$ -
CENTURYLINK	\$ 15,201	\$ (15,201)	\$ -
NHN	\$ 1,669	\$ -	\$ 1,669
TOTAL	\$ 2,032,042	\$ (15,201)	\$ 2,016,841

Bolded numbers represent changes in funding.

PPEP

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 97,190	\$ -	\$ 97,190
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ -	\$ -	\$ -
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 74,480	\$ -	\$ 74,480
SSBG	\$ -	\$ -	\$ -
CENTURLINK	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
TOTAL	\$ 171,670	\$ -	\$ 171,670

Bolded numbers represent changes in funding.

SEACAP

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 208,297	\$ -	\$ 208,297
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 719,584	\$ -	\$ 719,584
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 157,948	\$ -	\$ 157,948
SSBG	\$ -	\$ -	\$ -
CENTURLINK	\$ 4,322	\$ (4,322)	\$ -
NHN	\$ 1,511	\$ -	\$ 1,511
TOTAL	\$ 1,091,662	\$ (4,322)	\$ 1,087,340

Bolded numbers represent changes in funding.

TOHONO O'ODHAM

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 62,572	\$ -	\$ 62,572
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
CENTURYLINK	\$ -	\$ -	\$ -
NHN	\$ -	\$ -	\$ -
TOTAL	\$ 62,572	\$ -	\$ 62,572

Bolded numbers represent changes in funding.

TUCSON URBAN LEAGUE

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ -	\$ -	\$ -
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 1,737,303	\$ -	\$ 1,737,303
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ -	\$ -	\$ -
SSBG	\$ -	\$ -	\$ -
CENTURYLINK	\$ -	\$ -	\$ -
NHN	\$ 3,651	\$ -	\$ 3,651
TOTAL	\$ 1,740,954	\$ -	\$ 1,740,954

Bolded numbers represent changes in funding.

WACOG

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 471,007	\$ -	\$ 471,007
CSBG Discretionary	\$ -	\$ -	\$ -
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 1,610,905	\$ -	\$ 1,610,905
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 325,156	\$ -	\$ 325,156
SSBG	\$ -	\$ -	\$ -
CENTURYLINK	\$ 9,674	\$ (9,674)	\$ -
NHN	\$ 3,389	\$ -	\$ 3,389
TOTAL	\$ 2,420,131	\$ (9,674)	\$ 2,410,457

Bolded numbers represent changes in funding.

STATE TOTALS

Fund Source	ALERT	DATE ISSUED	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	ALERT SFY 17-A	3/18/2016	\$ 4,859,489	\$ -	\$ 4,859,489
CSBG Discretionary	ALERT SFY 17-A	3/18/2016	\$ 155,000	\$ -	\$ 155,000
CSBG Carryover			\$ -	\$ -	\$ -
LIHEAP	ALERT SFY 17-B	3/18/2016	\$ 19,678,615	\$ -	\$ 19,678,615
LIHEAP Re-distributed			\$ -	\$ -	\$ -
TANF	ALERT SFY 17-E	3/18/2016	\$ 3,724,000	\$ -	\$ 3,724,000
SSBG	ALERT SFY 17-G	3/18/2016	\$ 1,194,236	\$ -	\$ 1,194,236
CENTURYLINK	ALERT SFY 17-H1	4/1/2016	\$ 100,000	\$ (100,000)	\$ -
NHN	ALERT SFY 17-I	3/18/2016	\$ 35,000	\$ -	\$ 35,000
TOTAL			\$ 29,746,340	\$ (100,000)	\$ 29,646,340

Bolded numbers represent changes in funding.



Division of Aging and Adult Services
ALERT

SFY-17-K1

**Technical Assistance
for SFY 2017**

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) – SFY 2017 Simplified LIHEAP Income Chart

The income thresholds on the simplified LIHEAP-only chart (Attachment #1) has been corrected. For households with seven members, the correct income threshold is \$4,591.

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



Department of Economic Security (DES)

Division of Aging and Adult Services (DAAS) SFY 2017 Simplified LIHEAP Income Chart

Effective July 1, 2016 to June 30, 2017

60 % of State Median Income (SMI) is used for households sized 6 and under
150% of Federal Poverty Guideline (FPG) is used for households sized 7 and over

<u>Household Size</u>		<u>30 Day Gross Income Limit</u> (Dollar Amount)
1	SM 160%	\$1,749
2		2,287
3		2,825
4		3,364
5		3,902
6		4,440
7	FPG 150%	4,591
8		5,111
9		5,631
10		6,151
11		6,671
12		7,191

For each additional household member, add \$520

**Plans
for SFY 2017**

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

DRAFT CSBG State Plan for Federal Fiscal Years (FFYs) 2017-2018: The document is in a workbook format and the language was drafted per the new CSBG Model State Plan that was disseminated by OCS to States in October 2015, in accordance with IM #144. The new Plan provides narrative responses to federal assurances, updates funding allocations, public hearing dates, and communicates administrative personnel changes.

DAAS requests that the Network review the draft CSBG State Plan workbook, including attachments, and provide input in the comment boxes inserted into the draft. Attachment 4, referenced in Section 14, is open for comments. A change matrix has also been included (attachment 2) to provide a quick reference of modifications made from the old plan to the new. All other attachments are place holders or provided for information. Please respond no later than May 16, 2016. The face-to-face Network meeting on Wednesday, April 20, 2016, will also allow time for State Plan input and discussion. DAAS anticipates posting the revised draft of the CSBG State Plan for FFYs 2017-2018 on the DES Website for public inspection no later than June 3, 2016.

The LIHEAP State Plan is being reviewed at this time. There will be an opportunity for Network participation in its development as well.

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

Date/Time	Location	Topic
Phoenix TBD 9:30 am to 12:30 pm	Third Floor Meeting Room - Executive Tower, 1700 West Washington Street, Phoenix, AZ 85007	CSBG and LIHEAP State Plans
Tucson TBD 12:00 pm to 3:00 pm	Pima County Kino Veterans Center 2801 E. Ajo Way Tucson, AZ 85713	CSBG and LIHEAP State Plans
Flagstaff TBD 11:00 am to 2:00 pm	Health & Community Services Building 2625 N. King Street, 1 st Floor Ponderosa Conference Room Flagstaff, AZ 86004	CSBG and LIHEAP State Plans

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

Community Services Block Grant (CSBG) Model State Plan Federal Fiscal Years (FFYs) 2017-2018

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- [Section 4](#): CSBG Hearing Requirements
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- [Section 6](#): Organizational Standards for Eligible Entities
- [Section 7](#): State Use of Funds
- [Section 8](#): State Training and Technical Assistance
- [Section 9](#): State Linkages and Communication
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Attachments

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- [Attachment 4](#): Sections 9 and 14 Service Delivery System and Program Narratives (overflow text)
- [Attachment 5](#): Arizona Administrative Code Title 6, Chapter 13 (Regarding STCS)
- [Attachment 6](#): Request for Application (RFA) Placeholder
- [Attachment 7](#): Scope of Work (SOW)
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- [Attachment 10](#): Income Thresholds for State Fiscal Year 2017.
- [Attachment 11](#): Network and Public Comments

Community Services Block Grant (CSBG) Model State Plan Worksheet State of Arizona - CSBG State Plan FFYs 2017-2018 – What’s new

*Beginning in 2016, the development year for the FFY 2017-2018 CSBG State Plan, DAAS/CSA will no longer prepare or submit a paper State Plan document using the existing model plan to the Office of Community Services (OCS). OCS has implemented an electronic system and finalized a new Model Plan. The form below is a **representation** of data entry screens from the MSP Mandatory Grant Application SF-424, in the OLDC system. All states are required in FFY 2017 to provide responses to each element of the Model Plan, unless otherwise indicated, using the Online Data Collection system (OLDC). This workbook document will be retained to record changes and comments for future CSBG State Plans. **This worksheet is NOT submitted to OCS.** This document represents the final language of the new CSBG Model State Plan as approved by OMB in August 2015. The finished draft document will illustrate the development process of the State Plan and include comments from the Network, as well as the actual text that is entered into the OLDC system. Text format legend below:*

Font	Text Type	Format
Calibri	OCS CSBG Model Plan template text – do not change.	12 pt. black - regular or bold
Calibri	OCS instructions or comments - do not change	11pt red regular or bold
<i>Times New Roman</i>	<i>CSBG Program Staff or Administration comment – does not appear in electronic document.</i>	<i>12 pt. red italics – regular or bold</i>
Times New Roman	Network Comment boxes	12 point black – regular or bold
<i>Times New Roman</i>	<i>Current language; unchanged from the FFY 2016 State Plan amendment and/or electronic submission</i>	<i>12 pt. italics - regular</i>
<i>Times New Roman</i>	<i>New or changed text or strikeout/deleted text. Will need Network input.</i>	<i>12 pt. bold italics.</i>
Highlighted entry space or text	Needs new or revised text, review or other change; link or attachment needed	Any font or color

Below each applicable section, boxes like the ones below (next page) will appear for comments and/or questions from the Network and/or DES administration and staff.

<i>Network Comments – Section #</i>	<i>Date(s):</i>
Comment boxes will not appear in the final electronic document, but will be retained in this workbook document for historical purposes. Network will enter input here. These grey boxes do not appear in the final document.	

<i>DAAS/CSA Comments – Section #</i>	<i>Date(s):</i>
<i>Reason(s) for Change: [Indicate change reason here]</i>	
<i>DAAS/CSA will explain changes, cite references, note attachments, make recommendations, or request input here. Does NOT appear in final electronic document. This page will not appear in the DES routed document.</i>	

Actual form SF-424M (CSBG State Plan) questions and answers begin on next page

SECTION 1

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

- 1.1.** Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency [**Narrative, 2500 Characters**]

The Arizona Department of Economic Security (DES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of DES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting, and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Services Administration (CSA). DAAS/CSA contracts directly with Community Action Agencies (CAAs), one migrant organization, and the Arizona Community Action Association. Some of these agencies subcontract with other community agencies within their service delivery area. For example, in Maricopa County, there are CAAs in each of the major cities in the service.

DAAS/CSA Comments Section 1.1

Date(s): 1/4/16

Reason(s) for Change: Language modified to match new DES webpage.

Sources: Form 2015-2016 OLDC SF-424M submitted to OCS August 2015 and new text from www.des.az.gov

1.1b. Cabinet or administrative department of this lead agency [**Check One and narrative where applicable**]

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe: [**Narrative, 2500 Characters**]

1.1c. Division, bureau, or office of the CSBG authorized official [**Narrative, 2500 Characters**]

DES Division of Aging and Adult Services (DAAS), Community Services Administration (CSA)

1.1d. Authorized official of the lead agency [**Narrative, 2500 Characters**]

Timothy Jeffries, Director, DES

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

1.1e. Street address **[Narrative, 2500 Characters]**

1789 West Jefferson St.

1.1f. City **[Narrative, 2500 Characters]**

Phoenix

1.1g. State **[Dropdown]**

AZ

1.1h. Zip **[Narrative, 5 characters]**

85007

1.1i. Telephone number and extension **[Narrative, 10 – 15 characters which includes option for 5 digit extension]**

(602)542-5757

1.1j. Fax number **[Narrative, 10 characters]**

602-542-5339

1.1k. Email address **[Narrative, 2500 Characters]**

director@azdes.gov

1.1l. Lead agency website **[Narrative, 2500 Characters]**

<https://des.az.gov/>

1.2. Provide the following information in relation to the designated State CSBG point of contact.

Instructional Note: The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name **[Narrative, 2500 Characters]**

Arizona Department of Economic Security, Division of Aging and Adult Services, Community Services Administration

1.2b. Name of the point of contact **[Narrative, 2500 Characters]**

Jane Bruzzese Harrison, Arizona Department of Economic Security, Division of Aging and Adult Services

1.2c. Street address **[Narrative, 2500 Characters]**

1789 W. Jefferson St., Site Code 950A

1.2d. City **[Narrative, 2500 Characters]**

Phoenix

1.2e. State **[Dropdown]**

AZ

1.2f. Zip **[Narrative, 5 characters]**

85007

1.2g. Point of contact telephone number **[Narrative, 10 – 15 characters which includes option for entering up to 5 digit extension]**

602-542-6607

1.2h. Fax number **[Narrative, 10 characters]**

602-542-6655

1.2i. Point of contact email address **[Narrative, 2500 Characters]**

jbruzzese@azdes.gov

1.2j. Point of contact agency website **[Narrative, 2500 Characters]**

<https://des.az.gov/>

1.3. **Designation Letter:** Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[Attach a document]**

Attachment 1 – Designation of Authority

Instructional Note: The letter should be from the chief executive officer of the State and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

DAAS/CSA Comments - Section 1.2b and 1.3	Date(s): 1/4/16
Reason(s) for Change: Community Services Administrator changed. Appendices eliminated	
Will attach scanned copy of designation letter to electronic OLDC. See Attachment 1	

End of Section 1

SECTION 2

State Legislation and Regulation

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG? Yes No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG? Yes No
- 2.3.** If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Attach a document and/or provide a link]**
- 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

<i>DAAS/CSA Comments – Section 2</i>	<i>Date(s): 1/4/16</i>
<i>Reason(s) for Change: Changes in DES/DAAS Administration and CSBG State contacts</i>	
<i>Changed from: Lynn Larson, Acting Assistant Director (Ms. Larson was Acting AD when the previous State Plan was submitted), to Jane Bruzzese Harrison, Community Services Program Administrator, and updated phone numbers and email addresses. Attachment reference text tweaked as Appendices are eliminated from the new Model Plan. “Lead Agency” opening paragraph modified to match new DES website text.</i>	

End of Section 2

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. **[Narrative, 2500 Characters]**

The Arizona Department of Economic Security (DES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of DES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting, and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Services Administration.

DES came under new administration in 2015 under newly elected Governor Douglas A. Ducey, and the newly appointed Director of DES, Timothy Jeffries. The agency mission statement was revised in Federal Fiscal Year (FFY) 2015 to read as follows: “The Arizona Department of Economic Security makes Arizona stronger by helping Arizonans reach their potential through temporary assistance for those in need, and care for the vulnerable.”

DES administers the Unemployment Insurance (UI), Workforce Innovation and Opportunity (WIOA) Act programs, and the Supplemental Nutrition Assistance (SNAP) programs. The Agency also provides child support enforcement services and comprehensive programs to assist persons with developmental disabilities. The Division of Aging and Adult Services (DAAS) administers the Community Action Program, the State Adult Protective Services program, Refugee Resettlement Program, Independent Living Support Services (for seniors and persons with disabilities), State Homeless Program, Low Income Home Energy Assistance (LIHEAP) and Domestic Violence Programs.

DES Values:

- *Teamwork – We collaborate with humility, and partner with kindness*
- *Respect – We appreciate each other, and value those we serve*
- *Integrity – We never lie, cheat, steal, bully or harass – nor tolerate those who do*
- *Accountability – We commit to excellence, innovation and transparency*
- *Diversity – We respect all Arizonans, and honor those in need*

DES Vision: *Opportunity, assistance and care for Arizonans in need*

DES Goals: *Serve Arizonans with integrity, humility, and kindness*

- *Support Arizonans to reach their potential through social services that train, rehabilitate, and connect them with job creators*
- *Provide temporary assistance to Arizonans in need while they work toward greater self-sufficiency*
- *Provide children with food, health care, and parental financial support; provide services to individuals with disabilities; and protect the vulnerable by investigating allegations of abuse, neglect, and exploitation.*

DAAS/CSA Comments -Section 3.1	Date(s): 1/4/16
Reason for Change: <i>New administration and changes to mission and vision statements</i>	
<i>Text revised to reflect DES changes in mission, vision, and goals. This text is derived from the agency website. Source: https://des.az.gov/about. This text may become an attachment due to character limits in OLDC electronic data entry system. Quotation marks and references to the paper CSBG State Plan document are removed from all sections of the State Plan going forward. These references may still appear in the DAAS/CSA Comments box to aid in review of this document. Sources: Paper document: FFYs 2015-2016 CSBG State Plan Amended, Section V Section V. A.1.,(a) and 2015-2016 OLDC SF-424M</i>	

3.2. State Plan Goals: Describe the State’s CSBG-specific goals for State administration of CSBG under this State Plan. **[Narrative, 2500 Characters]**

- (a) *DAAS/CSA coordinates with the state association to provide training and technical assistance using State CSBG discretionary dollars, providing training and technical assistance to those entities in need of such assistance and such activities will not be considered administrative expenses;*
- (b) *coordinating state-operated programs and services targeted to low-income **individuals**, and families **with children**, and at the option of the State, locally operated programs, and services, targeted to low-income **individuals** and families **with children**, with services provided by eligible entities and other organizations funded under the CSBG Act, including out-posting appropriate state or local public employees into entities funded to ensure increased access to services provided by such state or local entities;*
- (c) *supporting statewide coordination and communication among eligible entities; a portion of CSBG discretionary funds will be targeted to support statewide coordination and communication among eligible entities on a yearly basis that will be accomplished through support of the Community Action Agencies and the state association;*
- (d) *analyzing the distribution of funds made available under the CSBG Act, to determine if such funds have been targeted to the areas of greatest need. The State utilizes a funding distribution formula that analyzes local rates of poverty and unemployment, accounts for rural factors and tribal populations, and makes an adjustment for a limited purpose entity that serves migrant and seasonal farmworkers. The State also uses a minimum funding variable in the distribution formula that allows entities with smaller populations to receive at least \$150,000;*
- (e) *supporting asset-building programs for low-income individuals, such as programs supporting individual development accounts; four eligible entities conduct Individual Development Account (IDA) programs;*
- (f) *supporting innovative programs and activities conducted by eligible entities or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization; and*
- (h) *supporting other activities, consistent with the purposes of the CSBG Act.*

Network Comments – Section 3.2	Date(s):

DAAS/CSA Comments - Section 3.2	Date(s): 1/4/16
Reason for Change: <i>The paper CSBG Model State Plan is no longer in use.</i>	

The above list is derived from Section V.C. (a-h, omitting item (g) that references state charity tax credits), of the FFY 2015-2016 Amended CSBG State Plan. This language is in turn derived from the CSBG Act and paraphrased slightly. Capitalization made consistent throughout list. Minor adjustments made for clarity; see bolded text.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State’s annual report form.

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 applies 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) **[Narrative, 2500 Characters]**
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities, e.g., State required reports (describe) **[Narrative, 2500 Characters]**

- 1. Poverty and rural statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated **annually** using the **2015** American Community Survey (ACS) for a five-year period **2010-2014**. These numbers are updated annually using the ACS 5-year Survey.**
- 2. Employment statistics are obtained from the most current Local Area Unemployment Survey (LAUS) for 2014.*

**U.S. Census Table S1701:*

<http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?src=CF>

Network Comments -Section 3.3

Date(s):

DAAS/CSA Comments - Section 3.3

Date(s): 1/4/16

Reason for Change: Revised data source.

Employment data source changed from the Arizona Department of Administration (ADOA), Unemployment Program Statistics Special Unemployment Report, as this report has been discontinued. Text added indicating data sources are updated annually. FFYs 2015-2016 CSBG State Plan Amended, Section V. B.

3.3b. Consultation with [Check all that applies 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) **[Narrative, 2500 Characters]**
- National organizations (describe) **[Narrative, 2500 Characters]**
- Other (describe) **[Narrative, 2500 Characters]**

In submittal year FFY 2016, DES/DAAS prepared a draft of the State Plan and met with the CAA Network to discuss the draft plan and request comments. The State prepared a matrix of proposed changes for the Network to review. DAAS/CSA utilized program narratives from CAAs from SFY 2015 to highlight regional programs. The State then met again with the CAA network to discuss comments and finalize changes. In April 2016, DAAS/CSA sent a draft of the CSBG State Plan Workbook to the CAA Network for a 30-day review and comment period. DAAS/CSA also met with the Network for further development during April. On May 6, 2016, the draft of the CSBG State Plan was posted to the DES Website for public review for another 30-day period. Following public inspection, three public hearings were conducted during the month of June, 2016: one in Flagstaff, one in Phoenix, and another in Tucson. In August of 2014, DAAS/CSA conducted a legislative hearing. DAAS/CSA will conduct its next legislative hearing in the summer of 2017.

DAAS/CSA updated and added new program narratives to describe the emphasis, activities, and outcomes of individual CAAs prior to finalizing the Plan. DAAS/CSA will post updates for the intervening year (FFY 2018) to the DES website in April/May 2017. Also in 2017, DAAS/CSA will conduct one public hearing of updates to the FFYs 2017-2018 State Plan.

3.4. Eligible Entity Involvement

- 3.4a.** Describe the specific steps the State took in developing the State Plan to involve the eligible entities. **[Narrative, 2500 Characters]**

DAAS/CSA informed the CAA Network in February 2016 about the new Model State Plan format for FFYs 2017-2018. DAAS/CSA circulated within the Community Action Network draft State Plan proposed changes in late March 2016, and requested comments in mid-April 2016. In response to the Network comments and subsequent discussion with the group, the following additional changes were made: [will insert text and reference to change matrix once network comments are incorporated into this document].

<i>Network Comments - Sections 3.3 and 3.4</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments - Sections 3.3 and 3.4</i>	<i>Date(s): 1/4/16</i>
<i>Reason for Change: Revised dates and clarity.</i>	
<i>Updates and detail regarding the two-year process. New program narratives requested for SFY 2017. These can be derived from the previous grant period or represent new and/or ongoing programs. Some text revised for clarity. This text derives from the 2016 State Plan OCS questionnaire for states with two year plans. See Attachment 2 2017 CSBG State Plan Change Matrix</i>	

DRAFT

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State’s annual report form.

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. **[Narrative, 2500 Characters]**

In SFY 2015, the development year of the FFY 2015-2016 State Plan, DAAS/CSA scheduled three public hearings, two outside of the Phoenix metropolitan area, in response to feedback from the Network, indicating a desire for broader public availability to review and provide public testimony. Also in SFY 2015, DAAS/CSA shortened its development time period to provide more time for public review of the State Plan draft document prior to public hearings. DAAS/CSA has created a scheduled process for development of the two-year Plan that includes scheduled meetings with the Network and opportunities for comment and discussion prior to posting the State Plan draft for formal public review.

Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State’s annual report form.

<i>Network Comments – Section 3.4b</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments Section 3.4b</i>	<i>Date(s):</i>
<i>Reason(s) for Change: OCS requests description of State Plan development process changes that were made due to comments from the Network or the public.</i>	
<i>Narrative response added.</i>	

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: 075.

Instructional Note: The State’s target score will indicate improvement or maintenance of the States’ Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State’s eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

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

<i>Network Comments – Section 3.5</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 3.5</i>	<i>Date(s):</i>
<i>Reason(s) for Change: No changes; new item</i>	
<i>New information requested</i>	

End of Section 3

DRAFT

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.
[Narrative, 2500 Characters]

*The FFYs 2017-2018 CSBG State Plan was made available for public inspection and comment via **publication and the public hearing process in 2016**. Paper copies of the State Plan are available upon request. The **draft State Plan was posted on the DES website in May 2016**. Oral and written testimony were solicited and accepted via the DES website and at public hearings from May [6], 2016 through June 24, 2016.*

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

*FFYs 2017-2018 - DAAS/CSA conducts multiple public hearings throughout the State in conjunction with the development of the biennial State Plan. DAAS/CSA also conducts a single public hearing in Phoenix in the intervening years, to solicit public comment regarding amendments to the current Plan. DAAS/CSA will post a public notice, via its website, of the hearing schedule at least 30 days prior to any public hearing(s). The Department conducted several public hearings in 2016 to ensure public inspection, facilitate review, and solicit comments regarding the FFY 2017-2018 CSBG State Plan, and to provide opportunities for the public in various parts of the State to offer comments without the necessity of traveling to Phoenix. The first public hearing was held in Flagstaff (northern Arizona) on **June 14, 2016**; the second in Phoenix on **June 15, 2016**; and the third in Tucson (southern Arizona) on **June 21, 2016**. In the intervening year, 2017, DAAS/CSA will conduct one public hearing in Phoenix in May or June, to ensure public inspection and review of amendments to the FFYs 2017-2018 CSBG State Plan.*

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

Legislative hearings are held once every three years in accordance with Section 676(a)(3) of the Act. The last legislative hearing was held on August 6, 2014. DAAS/CSA will hold the next legislative hearing in July or August 2017.

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
[Select a date]	[Narrative, Insert Address]	<ul style="list-style-type: none"> • Public • Legislative • Combined

<i>June 14 2016</i>	<i>Flagstaff, Arizona</i>	<ul style="list-style-type: none"> • <i>Public</i>
<i>June 15 2016</i>	<i>Phoenix, Arizona</i>	<ul style="list-style-type: none"> • <i>Public</i>
<i>June 21, 2016</i>	<i>Tucson, Arizona</i>	<ul style="list-style-type: none"> • <i>Public</i>
ADD a ROW function Note: rows will be able to be added for each additional hearing		

- 4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
[Attach a document or provide a hyperlink.]

Need to include links or attach notice document to public hearing announcements.
<http://www.azleg.gov/iminute/house/080614%20jt%20leg%20committee%20on%20des%20block%20grants.doc.htm> 2014 – Legislative Hearing
For Public Hearing documents, see Attachment 11, Public Hearings [to be created]

<i>Network Comments – Section 4</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 4</i>	<i>Date(s): 1/4/16</i>
<i>Reason(s) for Change: Updated for hearing dates</i>	
<i>Dates updated. Source for text: FFYs 2015-2016 Amended CSBG State Plan Section V.C.</i>	

End of Section 4

SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities: In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
[Narrative, 2500 Characters]	[Select Public or Nonprofit]	<ul style="list-style-type: none"> • Community Action Agency • Limited Purpose Agency • Local Government Agency • Migrant or Seasonal Farmworker Organization • Tribe or Tribal Organization • Other (describe 	[Narrative, 2500 Characters]	[Narrative, 2500 characters] If "Other" is selected in column 3, provide further detail here
<i>City of Glendale Community Action Program</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>City of Glendale (Maricopa County)</i>	
<i>City of Phoenix Human Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>City of Phoenix (Maricopa County)</i>	
<i>Coconino County Community Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Coconino County</i>	
<i>Community Action Human Resources Agency</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>Pinal County</i>	
<i>Gila County Community Action Agency</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Gila County</i>	
<i>Maricopa County Human Services Department</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Balance of Maricopa County</i>	
<i>Mesa Community Action Network</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>City of Mesa (Maricopa County)</i>	

<i>Northern Arizona Council of Governments</i>	<i>Public</i>	<i>Other</i>	<i>Yavapai, Navajo, and Apache Counties</i>	<i>Quasi-Governmental Agency/ Association of Governments</i>
<i>Pima County Community Action Agency</i>	<i>Public</i>	<i>Local Government Agency</i>	<i>Pima County</i>	
<i>Southeastern Arizona Community Action Program</i>	<i>Private</i>	<i>Community Action Agency</i>	<i>Greenlee, Graham, Cochise, and Santa Cruz Counties</i>	
<i>Western Arizona Council of Governments</i>	<i>Public</i>	<i>Other</i>	<i>Mohave, Yuma and La Paz Counties</i>	<i>Quasi-Governmental Agency/ Association of Governments</i>
<i>Portable, Practical, Education Preparation, Inc.</i>	<i>Private</i>	<i>Migrant or Seasonal Farmworker Organization</i>	<i>Statewide</i>	
ADD A ROW function Note: rows will be able to be added for each eligible entity funded in the State				

5.2. Total number of CSBG eligible entities: 12 **[This will automatically update based on chart in 5.1]**

5.3. **Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State’s last State Plan submission? If yes, briefly describe the changes. Yes No **[If yes is selected – Narrative, 2500 characters]**

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

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

DAAS/CSA Comments Section 5	Date(s): 1/4/16
Reason(s) for Change: No changes	

End of Section 5

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, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

- The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
- The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**

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. **[Narrative, 2500 Characters]**

N/A

6.3. How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative where applicable]**

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe: **[Narrative, 2500 Characters]**

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

- 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. **[Narrative, 2500 Characters]**

In SFY 2015, all eligible entities completed an agency self-assessment. Agencies were instructed to provide technical assistance requests related to Standards that were partially met, were not met, or if agencies were unsure of their status relative to each standard. In SFY 2016, the State is developing a technical assistance plan in coordination with the eligible entities. The state association provided technical assistance on the topic of strategic planning in SFY 2016. In CSBG State program years SFYs 2016 and 2017, DAAS/CSA will conduct an assessment of all eligible entities in conjunction with the State monitoring schedule to assess compliance with standards and develop individual technical assistance plans with each entity as needed. DAAS/CSA began agency assessments in the fall of 2015, in coordination with the State monitoring schedule. Technical assistance plans will be created for agencies who fail to meet Standards, or who are implementing Standards in FFY 2016. [#] Agencies have been assessed since October 2015 and are substantially compliant with most Standards, and are implementing remaining Standards in FFY 2016. DAAS/CSA will complete assessments in SFY 2017 and update this section in the FFY 2018 State Plan amendment.

Network Comments Section 6.1-6.4

Date(s):

DAAS/CSA Comments – Section 6.1-6.4

Date(s):

Reason(s) for Change: *New question – added text*

Narrative updated for FFY 2017. See State Plan document FFYs 2015-2016, Section V.A.B. Agencies assessed by August 1, 2016 will be included in final count. Language tweaked for clarity.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

Yes No

Standard 8.5: A non-profit eligible entity that is a smaller “agency within an agency” whose tripartite board does not have the authority to procure accounting services, and whose CSBG allocations do not exceed the minimum funding variable of \$150,000, will not be bound by the Standard requirement to have “solicited bids for its audit within the past 5 years.” See IM 138. At the discretion of the State, Standard 8.5, as written for public agencies, shall apply to such non-profit agencies. The State will require justification from agencies that take this position, and will approve such an exemption only if it is determined by the State that this activity is out of the purview of the agency Tripartite Board, and agency allocations do not exceed the funding allocation indicated above.

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. **[Narrative, 2500 characters or attach document]**

Portable Practical Education Preparation – Standard 8.5: Agency receives approximately \$100,000 in CSBG funding per SFY to support programs funded by over \$2,000,000 million in federal, local, and private funds. This agency has an annual budget of nearly \$24,000,000. The agency Tripartite Board operates under the authority of a larger governing board and only has authority over CSBG and other leveraged funds under its Community Action program. CSBG funds are not used to pay for the services

of the agency's accounting firm and the Board does not have the authority to approve the selection of an agency-wide auditor.

Network Comments – Section 6.5

Date(s):

DAAS/CSA Comments – Section 6.5

Date(s):

Reason(s) for Change: New question – added text

Narrative added

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? **[Insert a percentage]**

100%

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

Network Comments – Section 6.6

Date(s):

DAAS/CSA Comments – Section 6.6

Date(s):

Reason(s) for Change: New question for FFY 2017

End of Section 6

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. **[Check one and narrative where applicable]**

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other **[Narrative, 2500 Characters]**

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.

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Will be auto-populated from Section 5, Table 5.1, Column 1	Enter either the dollar amount or percentage for each eligible entity for the first year that this plan covers		Enter either the dollar amount or percentage for each eligible entity for the second year that this plan covers (If this is a one-year plan, these columns can be left blank)	
<i>City of Glendale Community Action Program</i>		\$ 190,479		\$ 190,479
<i>City of Phoenix Human Services Department</i>		\$ 1,286,962		\$ 1,286,962
<i>Coconino County Community Services Department</i>		\$ 150,000		\$ 150,000
<i>Community Action Human Resources Agency</i>		\$ 272,403		\$ 272,403
<i>Gila County Community Action Agency</i>		\$ 150,000		\$ 150,000
<i>Maricopa County Human Services Department</i>		\$ 811,075		\$ 811,075
<i>Mesa Community Action Network</i>		\$ 294,411		\$ 294,411

Northern Arizona Council of Governments	\$ 235,376	\$ 235,376
Pima County Community Action Agency	\$ 692,289	\$ 692,289
Southeastern Arizona Community Action Program	\$ 208,297	\$ 208,297
Western Arizona Council of Governments	\$ 471,007	\$ 471,007
Portable, Practical, Education Preparation, Inc.	\$ 97,190	\$ 97,190

Total	Totals will be auto-populated	Totals will be auto-populated
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<i>Network Comments - Section 7.2</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments - Section 7.2</i>	<i>Date(s):</i>
<i>Reason(s) for Change: Updated allocations</i>	
<i>Allocations updated using March 2016 Alert numbers. No other changes. Source: FFYs 2015-2016 CSBG State Plan Amended, FFYs 2015-2016, Section V.3.</i>	

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). **[Narrative, 2500 Characters]**

The State operates the Community Action Program on the State Fiscal Year (SFY): July 1 through June 30. The State enters into five-year budget based/cost reimbursement contracts with eligible entities. Upon notification from OCS of annual allotment, DAAS/CSA communicates estimated annual allocations to eligible entities for the upcoming SFY in February or March prior to the beginning of the upcoming SFY.

DAAS/CSA 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 the previous year’s carryover is also announced in August of the current fiscal year. If contract dollar amounts are changed, DAAS/CSA amends the contract to reflect funding changes.

<i>Network Comments – Section 7.3</i>	<i>Date:</i>

<i>DAAS/CSA Comments – Section 7.3</i>	<i>Date(s):</i>
<i>Reason(s) for Change: New question – added text</i>	
<i>Narrative updated for FFY 2017. See Attachment 3, FFY 2017 Funding Formula. Information derived from the FFY 2016 State Plan Amendment document, Section V. B. Note: The source for the unemployment factor has been changed from the Arizona Department of Administration Unemployment</i>	

Statistics Program Special Unemployment Report to the most recent annual Local Area Unemployment Survey (LAUS).

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. **[Narrative, 2500 Characters]**

Eligible entities annually submit a proposed Itemized Service Budget (ISB) document for allowable expenditures for activities included in the agency's CAP Plan. Eligible entities invoice the State on a monthly basis for these allowable expenditures under CSBG. Invoices are due on the 25th of each month. Larger public entities may be allowed to invoice semi-monthly upon DAAS/CSA approval. Invoices must include backup documentation for expenditures billed. DAAS/CSA 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.

Network Comments – Section 7.4

Date(s):

DAAS/CSA Comments – Section 7.4

Date(s): 1/4/16

Reason(s) for Change: New question – added text

New section; not in previous Plan document. This new section would have fallen under FFY 2016 State Plan Amendment document, Sections V. B. and C. The previous model plan did not request a distribution timeframe.

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

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. **[Narrative, 2500 Characters]**

The State is currently participating Government Transformation with a focus on implementing lean initiatives to dramatically shorten the time for developing Requests for Applications (RFAs). Once implemented, a shorter timeframe will benefit eligible entities by communicating contract changes sooner and reduce State administrative costs.

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

<i>Network Comments – Section 7.5</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments Section 7.5</i>	<i>Date(s): 1/4/16</i>
<i>Reason(s) for Change: New question – added text</i>	
<i>Not required in FFY 2016. Narrative response added as new question for FFY 2017 and going forward requests description of the State’s contract administration procedures.</i>	

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. **[Numeric response, specify \$ or %]**

5%

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99]**

8

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99]**

1.78

<i>Network Comments – Section 7 - General</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 7 - General</i>	<i>Date(s):</i>
<i>Reason(s) for Change: New question – added text</i>	
<i>7.6 -7.8: These numbers have been historically reported on the CSBG IS Survey and are updated annually in late March.</i>	

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.

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.

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; the responses may pre-populate the State's annual report form.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
	[Enter either a planned \$ or % for each item listed for the first year that this plan covers. If entering a percentage, the percentages must total 100%.]				
a. Training/technical assistance to eligible entities		\$ 100,000		\$ 100,000	[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. <i>Statewide coordination and communication among eligible entities</i>		\$ 55,000		\$ 55,000	[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 Characters]
e. Asset-building programs					[Narrative, 2500 Characters]
f. Innovative programs/ activities by eligible entities or other neighborhood groups		\$ 88,820		\$ 88,820	[REQUIRED Narrative, 2500 characters] Describe here or attach additional information. Special Projects - See below:
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated	

A portion of CSBG discretionary funds are made available, at the discretion of the State, to support statewide activities, or to support innovative programs or projects aimed at eliminating one or more causes of poverty and/or promoting self-sufficiency among low-income households. Funds made available under Special Projects are intended to provide support for a specified timeframe. For FFYs 2017 and 2018, requests for funds to support Special Projects will be accepted from eligible entities between March 1 and April 30 of each year and identified as a funding opportunity through a Community Action Network ALERT (notification of funding distributions and/or policy/contract modifications). Requests must provide an outline of the objectives, employment impacts, and expected outcomes; a listing of the proposed partner organizations and description of the roles those organizations will play; and particular ROMA National Performance Indicators (NPIs) where outcomes were reported.

City of Phoenix Human Service Department (COPHSD), was awarded \$49,500 in CSBG discretionary Special Projects funds in SFY 2016. COPHSD will continue to upgrade its technology at its three Family Service Centers and fifteen Senior Service Centers by purchasing and installing 60 electronic signature pads and three additional computer stations to facilitate electronic document collection and retention, and expedite client services. This project will continue to improve upon the ongoing implementation of a paperless service delivery model. This project will maintain and increase the agency's capacity to serve low-income households more efficiently and with greater flexibility. The agency estimated in SFY 2015 the system once fully operational, will save over \$30,000 per year in administrative costs incurred by creating, copying, printing and maintaining hard files.

Maricopa County Human Services Department (MCHSD), was allowed to carryover \$55,000 in CSBG discretionary Special Project Funds from SFY 2015. These funds were originally awarded in SFY 2015 for a case management research and development project, but the agency has identified a community need that takes priority over agency development at this time. Maricopa County Human Services Department has identified that the funds will be used for the assessment, service coordination, and overnight accommodations for homeless individuals at the Human Services Campus.

Homeless women and men who are unable to obtain formal shelter or housing will be engaged, assessed, assisted, receive coordinated services, and be provided safe overnight accommodations. The funds will be used towards achieving the following goals: reducing the length of stay in shelters, increasing the percentage of homeless clients assessed and placed in housing, reducing chronic homelessness, and reducing the number of homeless persons in our community. It is expected that these funds will assist approximately 400 homeless individuals per night in receiving shelter accommodations. These funds will be used in coordination with funding from other community collaborators, including Valley of the Sun United Way and the City of Phoenix, to ensure the regional success of this initiative.

Network Comments- Section 7.9	Date(s):

DAAS/CSA Comments - - Section 7.9	Date(s): 1/11/16
Reason(s) for Change: Updates	
Relevant dates updated. Maricopa County discretionary narrative will be updated to describe current use of carryover discretionary funds. Source for DAAS narrative: FFYs 2015-2016 CSBG State Plan Amended, Section V, Section V. D., FFYs, 2015-2016	

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) **[Narrative, 2500 Characters]**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 Characters]**
- None (the State will carry out activities directly)

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. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measures 3Sb, and will pre-populate the State’s annual report form.

<i>Network Comments - Section 7</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments- Section 7</i>	<i>Date(s): 1/11/16</i>
<i>Reason(s) for Change: Updates</i>	
<i>No response in FFY 2017. DAAS/CSA will work with the Community Action Network to develop a response for the FFY 2018 Amendment.</i>	

End of Section 7

SECTION 8 State Training and Technical Assistance

8.1. Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of remainder/discretionary Funds.)

Note: 8.1 is associated with State Accountability Measure 3Sc and 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”
Dropdown options: <ul style="list-style-type: none"> • FY1 – Q1 • FY1 – Q2 • FY1 – Q3 • FY1 – Q4 • FY2 – Q1 • FY2 – Q2 • FY2 – Q3 • FY2 – Q4 • Ongoing / Multiple Quarters • All quarters 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance • Both 	Dropdown Options: <ul style="list-style-type: none"> • Fiscal • Governance/Tripartite Boards • Organizational Standards – General • Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) • Correcting Significant Deficiencies Among Eligible Entities • Reporting • ROMA • Community Assessment • Strategic Planning • Monitoring • Communication • Technology • Other 	<p style="color: red; margin: 0;">[Narrative, 2500 Characters]</p> <p style="margin: 0;">If “Other” is selected in column 3, describe in this column</p>
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include T/TA

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY1 - Q4	Training	ROMA	
38T	38T	38T	

State Response Training and Technical Assistance			
FY1 - Q1	Technical Assistance	Organizational Standards - General	
FY1 - Q1	Technical Assistance	Monitoring - General	
FY1 - Q2	Technical Assistance	Monitoring - General	
FY1 - Q2	Training	ROMA	
FY1 - Q2	Technical Assistance	Monitoring	
FY1 - Q3	Training	ROMA	
FY1 - Q3	Training	Other	Program delivery
FY2 - Q4	Technical Assistance	Reporting	
FY1 - Q4	Technical Assistance	Fiscal	
FY2 - Q1	Technical Assistance	Organizational Standards - for eligible entities with unmet standards	
FY2 - Q1	Training	Monitoring	
FY2 - Q1	Training	Governance/Tripartite Boards	
FY2 - Q3	Training	ROMA	
FY1 - Q4	Training	Monitoring	
Choose an item.	Choose an item.	Choose an item.	

A portion of CSBG discretionary funds will be targeted to provide the training and technical assistance needs of eligible entities. The State will work closely with the statewide association in consultation with the Community Action Network, to develop a training and technical assistance (T/TA) strategy that will outline the various T/TA activities to be conducted including, but not limited to, the following:

- *Tripartite boards, such as new member orientation and low-income representative recruitment;*
- *ROMA training for agency staff and board members with respect to goal setting and evaluation of outcomes; and*
- *Basics of preparing the annual CSBG Information System Survey/CSBG Annual Report.*

The State will investigate options in conjunction with the Community Action Network, to develop further training and technical assistance priorities for implementation in SFY 2018. This schedule will be adjusted based on the availability of agency staff, boards and trainers. The FFY 2018 amendment will reflect any changes.

<i>Network Comments – Section 8.1</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 8.1</i>	<i>Date(s): 1/4/16</i>
<i>Reason(s) for Change: Added section</i>	
<i>Sources: CSBG State Plan Document, Section V. D., FFYs, 2015-2016, Amended for FFY 2016 and FFY 2016 form SF-424. OCS requests a description of the State’s technical assistance plan with timeframes. CSBG Administration and the State Association personnel should review and agree upon dates and subject matter for SFY 2017 and 2018. Sec. 8.1a. will prepopulate from sec. 7.9. Language tweaked for clarity.</i>	

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] **[Prepopulated with the budget allocation for years one and two under 7.9a]**

If this is the implementation year for organizational standards, skip question 8.2.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate? Yes No

Note: 8.2 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).

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.) **[Check all that applies and narrative where applicable]**

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

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. **[Narrative, 2500 Characters]**

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

<i>Network Comments – Section 8</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 8</i>	<i>Date (s): 2/8/16</i>
<i>Reason(s) for Change: New question for FFY 2017.</i>	
<i>The State will develop a response in consultation with the Community Action Network for this item for FFY 2018.</i>	

End of Section 8

DRAFT

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 from the list below and provide a Narrative, 2500 Characters]**

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

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed. **[Narrative, 2500 Characters]**

*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.*

<i>Network Comments – Sections 9.1 and 9.2</i>	<i>Date (s):</i>

<i>DAAS/CSA Comments – Sections 9.1 and 9.2</i>	<i>Date(s):</i>
<i>Reason(s) for Change: Updated text</i>	
<i>See FFYs 2015-2016 CSBG State Plan document Amended, Section V.F. b.</i>	

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

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. **[Narrative, 2500 Characters]**

Eligible entities are required by contract to establish linkages per Section 676(b)(5). Eligible entities develop linkages to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations. Some eligible entities develop linkages with local private organizations, such as financial institutions, to develop IDA programs. Others contract with local non-profit agencies to provide specific services in their communities not offered by the eligible entity, such as food banks and job training programs. Some of these relationships are informal, others are subcontracted, and still others operate under Memorandums of Understanding (MOUs).

See attached examples provided by select CAAs. See Attachment 4, Sections 9 and 14 - Service Delivery System and Program Narratives and Attachment 6, Scope of Work.

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

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. **[Narrative, 2500 Characters]**

Eligible entities are required by contract to establish linkages to fill service gaps per Section 676(b)(3)(B). See attached examples provided by select CAAs. DAAS/CSA requires eligible entities to describe in detail, in their annual/biannual CAP Plans and in their five-year contract renewal RFA responses, how they will fulfill this assurance. See Attachment 6, Scope of Work 2016-2020.

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

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

Coordination occurs through joint planning, formal and informal meetings, cooperative contracting procedures, Memorandums of Understanding, and the exchange of significant correspondence and information. The State will encourage coordination and collaborative efforts between programs at the community level. DES administers the Workforce Innovation and Opportunity Act (WIOA) program. Through the eligible entities, coordination and/or referral services are provided among private local agencies such as, United Way and other local charities.

The Community Services Administration (CSA) is further developing a coordination strategy with the DES Division of Employment and Rehabilitation Services (DERS), which administers the State WIOA office. At present, this office operates separately from the State CSBG Office. The new DES Office of Community Engagement is also encouraging communication and coordination efforts across divisions, among other State agencies and in the community at large. DAAS/CSA is participating in these activities to promote Community Action.

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. **[Narrative, 2500 Characters]**
- 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. **[Narrative, 2500 Characters]**

WIOA coordination activities are conducted at the CAA level within local communities. DAAS/CSA initiated coordination with the State WIOA office in SFY 2015. These efforts will continue in SFY 2016. Some agencies have the WIOA offices on their own premises, while others make referrals to the local WIOA office. DAAS/CSA interviews agency staff during monitoring site visits regarding the details of the eligible entity’s WIOA activities. Updates to this initiative will be included in the amended two-year Plan for FFY 2018.

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). **[Narrative, 2500 Characters]**

DES coordinates with the Low Income Home Energy Assistance Program (LIHEAP) and the Temporary Assistance to Needy Families (TANF)-funded State Short-Term Crisis Services (STCS) program via the Community Action Program Services contracts with eligible entities. CAAs utilize CSBG funds to manage and deliver energy assistance programs, including emergency energy crisis services.

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

<i>Network Comments – Section 9.3 – 9.5</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 9.3 – 9.5</i>	<i>Date(s): 1/11/16</i>
<i>Reason(s) for Change: New narrative requested by OCS.</i>	

- 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. **[Narrative, 2500 characters OR attach a document]**

This assurance is required by the DAAS/CSA Community Action Program Services contract. Eligible entities are required to describe in their CAP Plans and in their five-year RFA response how they will meet this assurance. State monitoring staff inquire at monitoring site visits regarding community coordination activities. Agencies document these efforts in annual narratives and on their annual CSBG IS reports. See Attachment 4, Sections 9 and 14 - Service Delivery System and Program Narratives

Note: this response will link to the corresponding assurance, item 14.9

- 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. **[Narrative, 2500 Characters]**

DAAS/CSA requires eligible entities to describe in detail in their annual/biannual CAP Plans and in their five-year contract RFA responses how they will fulfill this assurance. Eligible entities report on these efforts in their Annual CSBG IS Report.

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

- 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. **[Narrative, 2500 Characters]**

DAAS/CSA conducts monthly meetings via teleconference and/or face to face meetings with the eligible entities and the state association, and provides funding to the state association for coordination activities.

9.9 Communication with Eligible Entities and the State Community Action Association: In the table below, describe the State’s plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication			
Topic	Expected Frequency	Format (drop down)	Brief Description of “Other”
[Narrative, 2500 Characters] <i>Meetings, teleconferences, and technical bulletins called “Alerts” that are sent directly to eligible entities and posted on the DES website.</i>	Dropdown Options: <ul style="list-style-type: none"> • Daily • Weekly • Twice-Monthly • Monthly • Quarterly • Semi-Annually • Annually • Other 	Dropdown Options: <ul style="list-style-type: none"> • Newsletter • Mailing • Meetings/Presentation • Blog • Email • Website • Social Media • Other 	[Narrative, 2500 Characters] If “Other” is selected in columns 2 and/or 3, describe in this column
ADD a ROW function <i>Note: As many rows that are needed will be able to be added</i>			

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. **[Narrative, 2500 Characters]**

DAAS/CSA has initiated discussions with the Network in 2016 on State Accountability Measures. A more detailed narrative for this item is being developed in coordination with the Network for the FFY 2018 CSBG State Plan Amendment.

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

<i>Network Comments – Sections 9.6 – 9.10</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments– Sections 9.6 – 9.10</i>	<i>Date(s):</i>
<i>Reason(s) for Change: Existing assurance, new narrative requested in FFY 2016 –</i>	
<i>Further discussion regarding a Communications Plan will be discussed with the Community Action Network and narrative developed for FFY 2018. More detailed narrative may be included for FFY 2017 pending the outcome of discussions with the Community Action Network prior to the finalization of the Plan.</i>	

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. **[Narrative, 2500 Characters]**

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

A Communication Plan is being developed in coordination with the Network. A narrative response to this item will be provided for the FFY 2018 CSBG State Plan Amendment.

<i>Network Comments – Section 9</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 9</i>	<i>Date (s):1/4/16</i>
<i>Reason(s) for Change: New narrative required</i>	
<i>Not required in previous State Plans. New text to be added for FFY 2018.</i>	

End of Section 9

SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

10.1. Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State’s proposed monitoring schedule.

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”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	Select a date	[Narrative, 2500 Characters] If “Other” is selected in column 2, describe in this column
		<i>To be determined</i>		

Network Comments – Section 10.1	Date(s):
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DAAS/CSA Comments – Section 10.1	Date (s):1/4/16
Reason(s) for Change: New item	
<i>Schedule not required in previous State Plans. Refer to FFYs 2015-2016 CSBG State Plan document Amended, Section V. G. for previous assurances regarding monitoring of eligible entities. DAAS/CSA will respond in the dropdown boxes above with the monitoring schedule for SFY 2017 when determined. Dropdown box entries will be included in the final draft for DAAS/CSA approval.</i>	

10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link]**

See Attachment 8 Attachments\Attachment 8 subrecipient_monitoring.pdf

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? **[Insert a number from 1 – 100]**

30

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

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

10.4. Closing Findings: Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above? Yes No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. **[Narrative, 2500 Characters]**

DAAS/CSA prepares a Corrective Improvement Plan (CIP) or a Technical Assistance Plan (TAP) and tracks time-bound objectives toward the remedy of findings and deficiencies. For serious deficiencies, the State Office of Procurement may issue a demand for assurance letter to the eligible entity for findings related to fiscal and administrative terms and conditions of the DAAS/CSA contract. DAAS/CSA follows up with the agency to assure the completion of the CIP/TAP, making follow up visits if necessary and providing technical assistance.

5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans? **[Numeric, 3 digits]**

0

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

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? **[Narrative, 2500 characters]**

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

DAAS/CSA does not currently report eligible entities on QIPs to the Office of Community Services. As the CSBG Organizational Standards are still in the State approved assessment and implementation period until SFY 2018, eligible entities that do not meet all applicable Standards are placed on a TAP and assisted as needed to become compliant by SFY 2018. DAAS/CSA does not currently have any eligible entities on QIPs.

10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).” Yes No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities. **[Narrative, 2500 Characters]**

In designating a new eligible entity, the DAAS/CSA initiates a public solicitation process in coordination with the State Office of Procurement within the unserved area. A public hearing is held in the unserved area to inform the community of the proposed designation. A public Request for Proposals is published via the State procurement office’s 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 DAAS/CSA 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. See Attachment 5, RFA.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[Narrative, 2500 Characters]**

N/A

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. **[Narrative, 2500 Characters]**

*The State process for de-designation of **any** eligible entity is as follows: In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the CSBG Program, or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined under Section 678C of the Act, **and using guidance from OCS Information Memo 116 to:***

- (a) inform the eligible entity of the deficiency to be corrected;*
- (b) require the eligible entity to correct the deficiency;*
- (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;*
- (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a Quality Improvement Plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; and*
- (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the eligible entity corrects the deficiency. [‘678C(a)]*

The State CSBG Office does not have separate procedures for the de-designation of a new or an existing entity.

Network Comments – Section 10.9A

DAAS/CSA Comments – Section 10.9A

Date(s): 1/11/16

Reason(s) for Change: Narrative required

From the FFYs 2015-2016 CSBG State Plan document Section IV (B)(a)-(e). See also Attachment 7 Scope of Work 2016-2020. Bold text added for clarification.

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).

[Narrative, 2500 Characters or attach a document]

*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.*

Network Comments – Section 10.9A

DAAS/CSA Comments – Section 10.11

Date(s): 1/11/16

Reason(s) for Change: Tweaked to indicate past instead of future tense.

Text added. From the FFYs 2015-2016 CSBG State Plan document Section

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **[Narrative, 2500 Characters]**

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)]

The State further assures that a copy of such audit shall be made available to the eligible entities, State Legislature and the Secretary of the U.S. Department of Health and Human Services.

Network Comments – Section 10.11 and 10.12

Date:

DAAS/CSA Comments for 10.11 and 10.12

Date(s): 1/11/16

Reason(s) for Change: No substantive changes – 10.11 tweaked for clarity

Source: Previous Model Plan - CSBG State Plan FFYs 2015-2016 document Section V. (G)(3). See also [Attachment 8, Single Audit DES](#)

10.13. Assurance on Federal Investigations: Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? Yes No

Note: This response will link with the corresponding assurance, item 14.7

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 this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

DAAS/CSA does not have plans to revise its monitoring processes for SFY 2017. Any adjustments following internal discussion and feedback from eligible entities will be described in the amendment for FFY 2018. Current monitoring includes the following for assessing the CAAs status in implementing the CSBG Organizational Standards. Beginning in SFY 2016 and continuing in SFY

2017, the State is conducting an informal assessment of each eligible entity using the same model. The informal assessment will be conducted in conjunction with the existing monitoring schedule. The intent of this assessment is to identify training and technical assistance needs. Agencies in need of technical assistance may request State assessment and technical assistance earlier than their scheduled monitoring dates. The ADES will provide appropriate technical assistance to support eligible entities in achieving compliance with the organizational standards. The State will require full compliance with the organizational standards, as may be amended, by SFY 2018, and will monitor each eligible entity in accordance with its regular monitoring schedule.

Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the State's annual report form.

<i>Network Comments – Section 10.14</i>	<i>Date:</i>

<i>DAAS/CSA Comments for 10.11 and 10.12</i>	<i>Date(s): 1/11/16</i>
<i>Reason(s) for Change: Language carried forward from previous plan and tweaked for clarity.</i>	
<i>Source: Previous Model Plan - CSBG State Plan FFYs 2015-2016 document Section D. F., Training and Technical Assistant (T/TA) and Section G. See also Attachment 8, Single Audit DES</i>	

End of Section 10

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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
- Track Board vacancies/composition
- Other **[Narrative, 2500 Characters]**

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**

- Annually
- Semiannually
- Quarterly
- Monthly
- Other **[Narrative, 2500 Characters]**

11.3. Assurance on Eligible Entity Tripartite Board Representation: Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board. **[Narrative, 2500 Characters]**

DAAS/CSA will require that each eligible entity in the State establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization or low-income individuals to be inadequately represented on the board (or other mechanism) of the eligible entity can petition for adequate representation.

Network Comments – Section 10.11 and 10.12 ***Date:***

DAAS/CSA Comments for 10.11 and 10.12 ***Date(s): 1/11/16***

Reason(s) for Change: No substantial changes.

Source: CSBG State Plan FFYs 2015-2016 Amended document Section IV A. (6)

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

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. **[Narrative, 2500 Characters]**

Private non-profit eligible entities are required to seat a tripartite board as set forth in Section 676B(b)(1) of the Act. Public entities may follow the provision stated above from 676B(b)(2) of the CSBG Act. The DAAS/CSA 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.

<i>Network Comments – Section 11</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 11</i>	<i>Date(s): 1/11/16</i>
<i>Reason(s) for Change: New narrative requirement.</i>	
<i>Text added. See FFY 2015-2016 State Plan Amended paper document Section F (3) and (6) and Community Action Program Services Scope of Work Section 9.3.2 for reference.</i>	
<i>Attachments\Attachment 7 SOW 2016-2020.pdf</i>	

End of Section 11

SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: What is the income eligibility threshold for services in the State?
[Check one item below.]

- 125% of the HHS poverty line
- 150 % of the HHS poverty line (fill in the threshold): 150% **[insert up to a 3 digit percentage]**
- Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 2500 Characters, or attachment]**

Income eligibility statewide varies by program. DAAS/CSA follows program rules and State laws for State and federally funded programs conducted under Community Action Program Services contracts. For CSBG funded crisis services, eligible entities may set the income eligibility threshold at 150 percent of the federal poverty level for households with one or more members that are seniors aged 60 and over, or persons with disabilities. Households that do not meet this criteria are income eligible at or below 125 percent of poverty. This is in keeping with State laws regarding assistance provided under the TANF funded Short-Term Crisis Services (STCS), as set forth in Title 6, Article 8 of the Arizona Administrative Code.

This uniform eligibility threshold maintains fairness for households without children that have one or more vulnerable members, but do not qualify for crisis services under STCS/TANF. Using a uniform threshold and criteria avoids confusion, offers flexibility for case managed clients, reduces the administrative burden on CAAs and will reduce technical assistance requests to DAAS/CSA. The income eligibility limit for LIHEAP energy assistance programs administered with CSBG dollars is 60 percent of the State Median Income (SMI), adjusted for household size; or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater for a given household. For SFY 2016 in Arizona, the FPG is greater for households with seven or more members.

See Attachment 10 Income Thresholds [Attachments\Attachment 10 2017 Income Thresholds.pdf](#)

Network Comments – Section 12.1.a

DAAS/CSA Comments – Section 12.1.a

Date(s): 1/11/16

Reason(s) for Change: 150 percent of poverty threshold for households with vulnerable members for CSBG explained and justified

New text added. See FFYs 2015-2016 CSBG State Plan Amended, Section V.F. b): for reference. Link provided for Arizona Administrative Code referencing STCS.

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. **[Narrative, 2500 Characters]**

CAAs target limited intake, general and short-term community based services such as: medical copay and prescription assistance, school supply, clothing and personal care product and emergency food assistance, to existing case managed client households. CAAs also offer these services to households referred by other programs where clients have qualified for means tested benefits elsewhere, and by conducting outreach in low-income neighborhoods. In addition, agencies may deliver such programs in low-income neighborhoods through local partner service centers, shared facilities that are frequented by the target populations. CAAs coordinate extensively with local partners in delivering these community based services to the households in the greatest need. CAAs may conduct or promote periodic mass events offering the services mentioned above by inviting program participants from their own and/or partners client lists who are known to have qualified for benefits. The State CSBG Office may make CSBG discretionary funds available in the event of a neighborhood emergency or disaster when other programs have not responded to the crisis. In SFY 2015, Gila County Community Services Department received CSBG discretionary funds in a local crisis to temporarily house low-income seniors and provide congregate meals while their apartment building was renovated following a small fire that resulted in extensive fire sprinkler damage to the units. Even though the residents' units were uninhabitable, the crisis did not meet the criteria for Red Cross assistance, and the owner disavowed liability for damage caused by the actions of others. The agency partnered with the local Humane Society and other animal welfare groups to provide temporary shelter for the senior residents' pets.

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? **[Narrative, 2500 Characters]**

Some CAAs offer community targeted services within their own or partner facilities that are located in low-income neighborhoods and/or senior centers. For example, some CAAs operate food banks inside their own facilities, while others refer low-income households to partner-operated emergency food centers nearby. Others 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 existing client households and applicants. These services include financial services, community gardens, career centers, education, and income management. DAAS/CSA documents these activities during monitoring visits and encourages CAAs to submit program narratives annually to highlight these activities.

<i>Network Comments - Section 12</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 12</i>	<i>Date (s):</i>
<i>Reason(s) for Change: New narrative requirement</i>	
<i>New text added. Reference made to attached additional program narratives.</i>	

End of Section 12

SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

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. **[Attachment and Narrative, 2500 characters]**

*Participation and utilization of ROMA in program planning is required by DAAS/CSA Community Action Program Services contracts. DAAS/CSA utilizes guidance from federal partners and OCS IMs 49, and 82. See Community Action Program Services Scope of Work (SOW) sections 9.2.1 and 9.4.1
Attachment 7. [Attachments\Attachment 7 SOW 2016-2020.pdf](#)*

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? **[Check one and Narrative, 2500 characters]**

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

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

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? **[Narrative, 2500 characters or attach a document]**

Note: The activities described under item 13.3 may include activities listed in "Section 8: 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.

DAAS/CSA provides funds to the state association to provide ROMA training and offers technical assistance to individual eligible entities upon request, responding to questions and conducting research on the agency's behalf.

13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery? **[Narrative, 2500 characters or attach a document]**

DAAS/CSA program staff interview agency staff and Tripartite Board members, attend board meetings and review meeting minutes to ascertain the agency's use of ROMA NPIs to evaluate programs. Agencies demonstrate the use of data through formal decisions made in Board meetings relative to data collected in the previous program year.

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

<i>Network Comments - Section 13.1-13.4</i>	<i>Date(s):</i>

<i>DAAS/CSA Comments – Section 13.1-13.4</i>	<i>Date (s):1/4/16</i>
<i>Reason(s) for Change: New narrative requirement</i>	
<i>New text added. Assurances previously listed and signed only.</i>	

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

Submission of a Community Action Plan is required by contract at least once every two years, and during the contract renewal period, as part of the eligible entity's application package.

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

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

Submission of a Community Needs Assessment is required by contract at least once every three years. This period may be extended for eligible entities with an active assessment project under way during the year the assessment document is due. An extension may also be granted by DAAS/CSA 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.

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

<i>Network Comments - Section 13.5-13.6</i>	<i>Date(s):</i>

DAAS/CSA Comments – Section 13.5-13.6

Date (s):

Reason(s) for Change: New narrative requirement

New text added. Assurances previously listed, indicating State agreement only. See FFYs 2015-2016 CSBG State Plan Amended, Section IV. A. (13)

End of Section 13

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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 farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

[Narrative, 2500 or attach a document]

<i>See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.</i>
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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;

[Narrative, 2500 characters OR attach a document]

See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.

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)

[Narrative, 2500 characters OR attach a document]

See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.

State Use of Discretionary Funds

- 14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: remainder/discretionary,” items 7.9 and 7.10

[No response; links to 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...”

See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.

Eligible Entity Service Delivery System

14.3a. 676(b)(3)(A) Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.

[Narrative, 2500 characters OR attach a document]

Eligible Entity Linkages – Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.3b. **[No response; links to 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. **[No response; links to 9.7]**

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

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).

[Narrative, 2500 characters OR attach a document]

See Attachment 4, Sections 9 and 14 Delivery System and Program Narratives.

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.”

[Narrative, 2500 characters OR attach a document]

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.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13. **[No response; links to 10.13]**

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7. **[No response; links to 10.7]**

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6. **[No response; links to 9.6]**

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3. **[No response; links to item 11.3]**

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

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State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide “information describing how the State will carry out the assurances described in this section.”

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

[No response for this item]

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

End of Section 14

SECTION 15 Federal Certifications

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

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title

31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

15.2 Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies. (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 Characters]**

N/A

Check if there are workplaces on file that are not identified

here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the

conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant. [55 FR 21690, 21702, May 25, 1990]

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

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters -

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9,

subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared

ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

15.4 Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

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

End of Document

ATTACHMENT 1

PLACEHOLDER FOR Delegation of Authority Letter

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Paper Document and cover page and Table of Contents	Form SF-424M – CSB Model Plan Template form OMB 0970-0382	Arizona cover page eliminated and is replaced by form SF-424M, Mandatory Grant Application . The Table of contents exists now in the OMB form No: 0970-0382, Model State Plan Template. This form is not submitted to OCS, but was created for states to use as a tool in the development of the CSBG State Plan. The DES responses are now entered in the On-Line Data Collection (OLDC) System, like the LIHEAP State Plan.		
Section I. Federal Fiscal Year	Form SF-424M and Section 1	Eliminated. Corresponds to form SF-424M and Section 1. Federal fiscal years are populated automatically in the OLDC system.		
Arizona Counties	None	Map eliminated.		
Section II. Letter of Transmittal	Section 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter	Eliminated. Contact information: this resides in Section 1 of the OLDC State Plan form.		
Section III. Executive Summary	None	Eliminated. Details from this section reside in the body of the Plan as described below.		
Section III. A.	Section 2 - State Legislation and Regulation	State legislation: this resides in Section 2. State Legislation and Regulation		

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Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Section III. B. Governor's Delegation	Section 1 - CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter	Governor's delegation letter is uploaded electronically as an attachment to the OLDC form in Section 1. CSBG Lead Agency, Authorized Official, CSBG Point of Contact, and CSBG "Official State Designation Letter"		
Section III. C. State Application and Plan, (1) Public Hearings, (2) Legislative Hearings and (3) Public Inspection	Section 4 - CSBG Hearing Requirements	See Sections 4.1 – 4.3. Hearing dates updated, and next legislative hearing forecast.		
Section IV. Statement of Federal and CSBG Assurances	Sections 7, 9 and 14 - CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)	Section IV. Federal Assurances, a summary of assurances, is eliminated in OLDC. References to corresponding assurances in this summary are detailed below in the body of the Plan. Some assurances require narrative responses, and others are represented by checkboxes. In the previous Model Plan, Section V. is the beginning of the actual body of the Plan.		
Section V. CSBG State Plan	Body of Plan	Breakdown of changes from the previous CSBG Model State Plan follows below:		
Section V. A. 1. (a) Mission and Responsibilities of the State Office	Section 3 - State Plan Development and Statewide Goals	Item 3.1 – Narrative text derived in part from existing language from the previous Plan, Section V. A. 1. paragraph (a); and also from language paraphrased from the DES webpage . Also under this section: 3.2, State Plan Goals,		

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Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
		with language derived from the previous Plan Section V. C. Item 3.3a through 3.5 are new, and will likely be discussed at length with the Network. Revisions expected for the SFY 2018 amendment.		
Section V. 2. - Eligible Entities	Section 5 – CSBG Eligible Entities	Item 5.1, the list of eligible entities is contained in a table, populated automatically once entered into the OLDC system. This table also contains columns to describe the type of agency (public/private), and a description of the agency geographic service area. "Type of Agency" is a detail that is new to the new Model Plan.		
Section V., A. 3. Distribution and Allocation of Funds for SFY 2016, and B. Distribution Formula	Section 7 - State Use of Funds	Item 7.1 indicates the funding formula type by a multiple choice checkbox. The current funding formula description is included in a separate document, Attachment #3A , Funding Formula, drawn from the previous Plan and data source updates, DES has previously provided OCS with this information in the CSBG IS Report. Item 7.2 indicates planned allocations to eligible entities for FFYs 2017 and 2018. Attachment #3 is a copy of the CSBG March Alert indicating DES communication of planned allocations for SFY 2017 to the Community Action Network. The totals auto populate. Items 7.3 and 7.4 describe the distribution process and timeframe. This is new text, not included in		

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Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
		previous plans. Item 7.5 asks the State to describe any improvements It made to the grant and/or contract administration process from previous State Plans that were the result of feedback from the Community Action Network (CAN), OCS, etc. DES gives a brief description of the Government Transformation and lean initiative project underway. Going forward, this item will prompt DES to obtain feedback from the above mentioned sources and determine if performance management adjustments are necessary.		
Section V., C. Description of Distribution and Use of Restricted Funds, Items a. – h. (omitting g.) 675C(a)(1)	Section 3 - State Plan Development and Statewide Goals and Section 7 State Use of Funds	Item 3.2 outlines State goals (derived from statute) and allowable use of funds. Section V., C, Items a.-h., omitting g., as it refers to Charity Tax Credits, which do not apply to CSBG. Section 7, State Use of Funds, further describes uses of restricted and discretionary funds.		
Section V., A-E. Distribution and Allocation of Funds (DES Remarks)	Section 7 – State Use of Funds	Some items described below for Section 7 do not have corresponding language in the old Model Plan. Items related to allocations and uses of funds are not in the same order as in the previous Model Plans. Attachment #3 indicates communication to the Network (March 2016 Alert) of planned allocations for SFY 2017. Attachment # 3A describes the CSBG funding formula and Administrative Budget. The new Model Plan does not request		

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Crosswalk		Plan Modification – Detail and Remarks	CAP Network’s Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
		this information. DES will continue to provide this information as the Community Action Network has requested it in the past.		
Section V., A. (3) Distribution and Allocation of Funds and C., Description of Distribution and Use of Restricted Funds	Section 7 – State Use of Funds.	Items 7.1-7.2: Funding formula See Attachments #3 and #A, and updated allocations chart. Cross reference: See also Section 3 for items (a) thru (h).		
Section V., B. Distribution and Allocation of Funds – Distribution Formula	Section 7 – State Use of Funds	Items 7.3 - 7.4 – Distribution processes and timeframe. See new narrative text added. Item 7.5: “Performance management adjustment:” asks DES to describe any changes/improvements made to “grant and/or contract administration procedures” from previous Plans. New narrative added. No corresponding item in previous Model Plans.		
Section V., D State Plan – Distribution and Allocation of Funds –. Description of Distribution and Use of Discretionary Funds	Section 7 – State Use of Funds and Section 8 State Training and Technical Assistance	See Items 7.9 and 7.10. Discretionary award amounts updated in table provided by OCS. Narrative consists of a description of awards given in the past year. Item 7.11 checkboxes to indicate the type of organizations receiving discretionary funds. The 7.11 information is usually reported on the annual CSBG IS Report. CSBG Program recommends adding verbiage indicating the plan for unspent discretionary funds. Section Item 8.1. Training and Technical Assistance (T/TA), derived from		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network’s Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
		previous (FFY 2016 Amendment) Plan, Section, D. Section 8 (T/TA) is referred to here as DES uses discretionary funds to provide training and technical assistance.		
Section V., E. Distribution and Allocation of Funds Description of Use of Administrative Funds 675(b)(2)	Section 7 – State Use of Funds	See Items 7.6 - 7.8 requesting descriptions of the State use of Administrative Funds. Staff positions funded by and FTEs updated. This information is provided annually in the CSBG IS Report. In items 7.7 and 7.8. No corresponding text in previous Plans. Items 7.1. Funding Formula and 7.3. Distribution Process, were not included in previous Plans. Changes affecting FFY 2018 will be updated in the intervening year amendment.		
Section V., F. (1). Program Overview a)– State Service Delivery System – 676(b)(2)(A) See also, Section IV., Statement of Federal and CSBG Assurances - Programmatic Assurances	Sections 9 State Linkages and Communication and 14 CSBG Programmatic Assurances and Information Narrative	Section IV. Statement of Federal and CSBG Assurances, was eliminated and incorporated into Section 14 of the New Model Plan. See Attachment #4, Section 14 Narrative Responses - State Linkages and Communications. Item 9.3 contains a cross reference to the program narratives from Section 14, as examples of linkages provided by eligible entities are described there.		
Section V., F. (1). Program Overview b) Linkages	Sections 9 State Linkages and Communication and 14 CSBG Programmatic	Information regarding linkages resides in Section 9. See Item 9.2. Language from this section is retained verbatim except for the addition of the words “food and nutrition”. Item 9.3: Language is also derived from V., F. (1), b).		

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Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
	Assurances and Information Narrative	See Item 9.4. New narrative added describing Workforce Innovation and Opportunity Act (WIOA) activities.		
Section V., F. (1). Program Overview c) Coordination with Other Public and Private Resources	Sections 9 - State Linkages and Communication, and 14 - CSBG Programmatic Assurances and Information Narrative	See item 9.1. Other programs coordinated at the State level described in the previous Plan under Section F. Item (1) c) are indicated by checkboxes. Narrative describing State linkages is derived from the previous plan, Section V., F. (1) b). See Attachment 14, for examples of coordination efforts by eligible entities (program narratives).		
Section V., F. (2). Community Needs Assessments	Section 13 - Results Oriented Management and Accountability (ROMA) System	Items 13.1 and 13.2 not in previous Model Plan. Checkboxes. Item 13.1a. describes how State ensures the use of ROMA. See items 13.5 and 13.6. New text added.		
Section V., F. (3). Tripartite Boards and G. (6) Adequate Representation	Section 11 - Eligible Entity Tripartite Board	Information in this section is taken from two different places in the previous Plan. See Items 11.1 – 11.3. Items 11.1 and 11.2 are assurances indicated by checkboxes, and Item 11.3 narrative text is derived from the previous Plan, Section V., G. (6) Adequate Representation.		
Section V., F. (4). Charity Tax Program	None	This item is not requested as a separate line item or question in the new Model Plan. It is mentioned in Section 3, State Plan Development and Statewide Goals, under Item 3.2, as an omission, as Charity Tax Credits do not apply to CSBG.		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Section V., F. (5) Programmatic Assurances (a) Assurance 676(b)(1)	Section 14	See Section 14.1, Attachment 4 , Section 14 Narrative Responses - State Linkages and Communication.		
Section V., F. (5) Programmatic Assurances (b) Program Activities	Section 14 -	See Section 14.1, Attachment 4, "Section 14 Narrative Responses - State Linkages and Communication		
Section V., F. (5) (c) Eligibility Criteria – State Median Income and Federal Poverty Guidelines – Income Thresholds.	Section 12 - Individual and Community Income Eligibility Requirements	The chart under item (c) in the previous Plan is eliminated. In lieu of this chart, the Income Thresholds Chart will be attached to the Plan in OLDC. Poverty thresholds and income eligibility are covered in Section 12. New language added to explain income threshold for CSBG aligning with other programs. CSBG income threshold for CSBG funded/supported services is confirmed at 125 percent of the Federal Poverty Guideline (FPG) or 150 percent of FPG for households with one or more seniors (60 or over), or persons with disabilities. This is to align with STCS thresholds and the maximum income level for LIHEAP. States may raise the maximum poverty threshold for CSBG funded/supported services from 125 percent of FPG with description and justification included in the State Plan. Justification narrative is added. See Section 12.2 for new narrative regarding income eligibility for general and short-term		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network’s Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
		services. This section covers community based and emergency/disaster services where individual income verification is not possible or practical.00Despite the OCS words ‘short term’ this section does not refer to the State’s STCS program.		
Section V., F. (5) (d) Coordination with Other Programs	Section 14 CSBG Programmatic Assurances and Information Narrative and Section 3 State Plan Development and Statewide Goals	See Section 3, Item 3.1 and Item 14.1c.00See Attachment 4, Section 14 Narrative Responses - State Linkages and Communication. New and updated text in response to Model Plan questions regarding State goals and narratives describing program activities.		
Section V., G. Fiscal Controls and Monitoring - (1) Monitoring of Eligible Entities 678C(9)(4)(A)	Section 10 - Monitoring, Corrective Action, and Fiscal Controls	See Item 10.1 is a chart that will contain the SFY 2017-2018 monitoring schedule. Items 10.2 – 10.6 cover monitoring policies. A copy of the State policies regarding subrecipient monitoring will be submitted as Attachment #9 .Subrecipient Monitoring Policy.		
Section V., G. Fiscal Controls and Monitoring (2) Corrective Action, Termination and Reduction of Funding 678C	Section 10 - Monitoring, Corrective Action, and Fiscal Controls	10.7 – 10.10 covers State legislation, designation and de-designation (IM 116 material). [Fiscal Controls”] Item 10.11. The narrative from the State plan Section V., G (2) Fiscal Controls is used verbatim except the words “will establish” are changed to “has established” and the words “as may be necessary” are changed to “shall be sufficient”.		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Section V., G. Fiscal Controls and Monitoring - (3) Cost and Accounting Standards 678D(a)(1) and 678D(a)(2)	Section 10 Monitoring, Corrective Action, and Fiscal Controls	Item 10.12 describes "Fiscal Controls and Audits and Cooperation Assurance." Text from the previous Plan document is retained.		
Section V., G. Fiscal Controls and Monitoring - (4) Investigative Cooperation 676(b)(7)	Section 10 Monitoring, Corrective Action, and Fiscal Controls	Item 10.13: Assurance on Federal Investigations – This is a checkbox assurance marked "yes".		
Section V., G. Fiscal Controls and Monitoring - (5) Coordination 676(b)(9)	Section 9 State Linkages and Communication	Corresponds with item 9.6 -9.8. New text added.		
Section V., G Fiscal Controls and Monitoring - (6) Adequate Representation 676(b)(10)	Section 11 Eligible Entity Tripartite Board	Corresponds with Item 11.3 Text from previous Plan document retained.		
Section V., H. Accountability and Reporting Requirements 676(b)(12)	Section 10 Monitoring, Corrective Action, and Fiscal Controls	References to monitoring are covered in Section 10." DES will include the State monitoring policies and the DAAS monitoring schedule for CAAs. Narrative text added to describe program specific monitoring procedures.		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Section V., H. Accountability and Reporting Requirements 676(b)(12)	Section 13 - Results Oriented Management and Accountability (ROMA) System	Items 13.1-13.4 contain checkbox responses and		
Appendix A Delegation of Authority	Section 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter	Eliminated. See Item 1.3 Designation Letter – Attachment 1.		
Appendix B Certification Regarding Lobbying	Section 15 Federal Certifications	Eliminated. See Item 15.1 - Checkbox		
Appendix C. Certification Regarding Debarment, Suspension and Other Matters	Section 15 Federal Certifications	Eliminated. See Item 15.1 - Checkbox		
Appendix D. Certification Regarding Drug-Free Workplace Requirements	Section 15 Federal Certifications	Eliminated. See Item 15.1 - Checkbox		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			
Appendix E. Certification Regarding Environmental Tobacco Smoke	Section 15 Federal Certifications	Eliminated. See Item 15.1 - Checkbox		
Appendix F. Phoenix Public Hearing Documents	Section 4 Hearing Requirements	See Item 4.1 and 4.2 Public Inspection. Language from previous Plan used. Dates updated. Hearing notice information and comments will be attached as Attachment 11.		
Appendix G. Flagstaff Public Hearing Documents	Section 4 Hearing Requirements	See Item 4.1 and 4.2 Public Inspection. Language from previous Plan used. Dates updated. Hearing notice information and comments will be attached as Attachment 11		
Appendix H. Tucson Public Hearing Documents	Section 4 Hearing Requirements	See Item 4.1 and 4.2 Public Inspection. Language from previous Plan used. Dates updated. Hearing notice information and comments will be attached as Attachment 11		
Appendix I Legislative Hearing Agenda	Section 4 Hearing Requirements	See item 4.3. Language from previous Plan used and language added indicating forecast for next legislative hearing.		
Appendix J Proposed Tempe Designation	None	Eliminated. This document was relevant for SFY 2015 only, as it described a public hearing that occurred in 2014.		

Attachment 2 - CSBG FFY 2017 – 2018 State Plan Change Matrix -DRAFT

Crosswalk		Plan Modification – Detail and Remarks	CAP Network's Comment	DES Response/Changes
Old Model Plan Section	Corresponding Section New Model Plan			

**Community Services Block Grant (CSBG)
for SFY 2017**

The Division of Aging and Adult Services (DAAS) is allocating \$5,133,309 CSBG funding for State Fiscal Year (SFY) 2017. The SFY allocations are based on the projected balance remaining from the current federal grant [Federal Fiscal Year (FFY) 2016] and half of an estimated amount of the next federal grant (FFY 2017). The Community Action Programs and Services Funding Formula uses the current American Community Survey (ACS) for a five-year period (2010-2014) as its data source for the poverty and rural factors. The unemployment factor data source is the 2014 Local Area Unemployment Statistics (LAUS).

Funding distribution changes resulting from fluctuations in the statewide unemployment data resulted in two agencies receiving substantial reductions. To reduce the impact on these agencies, DES is applying a funding formula change in SFY 2017. Agencies receiving eight percent or more in funding reductions will be held harmless at 50 percent of their reduction in SFY 2017 and will assume the remaining 50 percent of their funding reduction in SFY 2018. Per agreement reached with the Network in February 2016, the hold harmless portions of these reductions are being absorbed by the remaining agencies in SFY 2017. Agencies being held harmless are identified with an asterisk (*) in the table below.

The following CSBG funds are allocated to designated Community Action Agencies:

Agency	Allocation
City of Glendale Community Action Program	\$ 190,479
City of Phoenix Human Services Department	\$ 1,286,962
Coconino County Community Services Department	\$ 150,000
Community Action Human Resources Agency	\$ 272,403
Gila County Division of Health and Community Services	\$ 150,000
Maricopa County Human Services Department	\$ 811,075
Mesa Community Action Network	\$ 294,411
Northern Arizona Council of Governments	\$ 235,376
Pima County Community Action Agency	\$ 692,289
Southeastern Arizona Community Action Program*	\$ 208,297
Western Arizona Council of Governments*	\$ 471,007
Subtotal	\$ 4,762,299
Portable Practical Educational Preparation, Inc.	\$ 97,190
Total	\$ 4,859,489

The CSBG Statute requires that 90 percent of the block grant funds to the states be passed through to local Community Action Agencies. A maximum of five percent of the funds can be used by states for administering the block grant. The balance of the funds, or up to ten percent, may be spent by the state at their discretion for special initiatives that accomplish the statutory purposes of the CSBG. ADES will direct five percent of CSBG block grant funds for discretionary purposes on a yearly basis.

**Community Services Block Grant (CSBG)
for SFY 2017**

The CSBG discretionary funds allocated for SFY 2017 are \$273,820. CSBG discretionary funds are used for the following priorities:

- 1) **Statewide Coordination and Communication Among Eligible Entities:** A portion of CSBG Discretionary Funds will be targeted to support statewide coordination and communication among eligible entities on a yearly basis that will be accomplished through support of the CAA state association. Available funding in this priority area for SFY 2017 is \$55,000.
- 2) **Emergencies:** A portion of CSBG Discretionary Funds will be set aside and made available to eligible entities serving a local area of the state experiencing an emergency that will cause a significant increase in demand for services or jeopardize the health and safety of low-income households or communities. The emergency situation must have been precipitated by unusual events that affected a community or neighborhood. Added to the definition is the determination of a Human Service Emergency made by the Department of Economic Security. Upon determination of a Human Service Emergency, households affected may be assisted with costs to temporarily shelter or house individuals in hotels, apartments or other living situations, i.e., placing people in settings to preserve health and safety and to move them away from the crisis situation. Examples include, but are not limited to: a natural or man-made disaster (such as a forest fire or flood) which necessitates immediate response; a mine strike which will impact a community; the closure of a housing complex by the Arizona Department of Public Safety or the Arizona Department of Health, rendering many low-income households homeless in one community; or any other unusual event which causes a significant increase in service demands or jeopardizes the health and safety of low-income households, a neighborhood, or a community, and which requires immediate response by a local eligible entity. Available funding in this priority area for SFY 2017 is \$30,000.
- 3) **Special Projects:** A portion of CSBG Discretionary Funds will be made available, at the discretion of the State, to support statewide activities or to support innovative programs or projects aimed at eliminating one or more causes of poverty and/or promoting self-sufficiency among low-income households. Funds available under special projects are intended to provide support for a specified time frame. Available funding in this priority area for SFY 2017 is \$88,820.
- 4) **Training and Technical Assistance:** A portion of the Community Services Block Grant (CSBG) Discretionary Funds is targeted to support the statewide Training and Technical Assistance (T/TA) needs of eligible entities. The DAAS continues to work with the Arizona Community Action Association (ACAA), and in consultation with the Community Action Network, to implement T/TA activities for SFY 2017. An allocation of \$100,000 in CSBG Discretionary Funds is being made to ACAA to provide all of the following activities:
 - Conduct in-person board member training, to include basic duties and responsibilities of members, as well as Results Oriented Management and Accountability (ROMA);
 - Conduct Organizational Leadership Training;

**Community Services Block Grant (CSBG)
for SFY 2017**

- In consultation with DES and the Network on identified focus areas, provide educational workshops, teleconferences, webcasts, and facilitate CAPLAW training opportunities (it is anticipated that most of these trainings will be focused on the organizational standards); and
- Conduct a network-wide training needs assessment in April 2017 and work with DES and the Community Action Network to develop a training agenda for SFY 2017.

The following CSBG discretionary funds are awarded for SFY 2017:

Agency	Priority Area	Allocation
Arizona Community Action Association	Statewide Coordination and Communication Among Eligible Entities	\$ 55,000
Arizona Community Action Association	Training and Technical Assistance	\$ 100,000
	Total	\$ 155,000

Discretionary funds must be fully expended by June 30, 2017.

Process to Apply for CSBG Discretionary Funds for Emergency Assistance or Special Projects

Organizations eligible to receive CSBG Discretionary Funds include eligible entities providing services in Arizona, the statewide association of Community Action programs, and other organizations with the primary purpose of ending poverty in Arizona.

Requests for funds to support **Emergency Assistance** may be submitted anytime during the contract term. Funds to support Emergency Assistance must have the primary goal to restore or maintain self-sufficiency and shall not be used to provide direct cash assistance to disaster victims. **Emergency Assistance funds must be expended within 30 days of award.**

Requests for funds to support **Special Projects** for SFY 2017 will be accepted no later than May 13, 2016.

Awards for CSBG Discretionary Funds will be announced in a future CAN ALERT.

Requests must be submitted in writing on agency letterhead to:

Lynn Larson, Assistant Director
Arizona Department of Economic Security
Division of Aging and Adult Services
1789 West Jefferson, Site Code 950A
Phoenix, AZ 85007

**Community Services Block Grant (CSBG)
for SFY 2017**

- A. Each request should contain a description of the emergency or special project including:
- A clear and specific description of the needs that are to be addressed and how the funds will assist the agency to meet those needs;
 - An outline of the objectives and expected outcomes (include employment impacts, if applicable);
 - A listing of the organizations who are a part of the approach with whom you plan to work and the roles the organizations will play;
 - Explain how other funding sources were considered first and why they were not available or were inadequate (**applies to emergency projects only**);
 - A description of how the agency will ensure the continuance of the project, if applicable (**applies to special projects only**);
 - Identify the Results Oriented Management and Accountability (ROMA) goal(s) that will be tracked; and
 - The amount requested and itemized budget.
- B. Funds are awarded based upon the following criteria:
- Demonstration of emergency (**applies to emergency projects only**);
 - Thoroughness of the request (must address all items in A);
 - Linkages and collaborations;
 - Consideration of existing resources (including carryover), as well as other resources and funding available to meet the need; and
 - Past performance of the agency (may include consideration of capacity, spending history, past monitoring, etc.).
- C. Reporting for Emergency Assistance or Special Projects:
- A brief narrative description of activities and expenditures, accompanied by outcomes, to be included with the annual ROMA Report.
 - Agencies will use the ROMA National Performance Indicators (NPIs) set forth in each agency's request/proposal. The CSBG Special Project quarterly ROMA reports are to be submitted as separate documents from the quarterly ROMA reports.

Unless otherwise specified, funds must be expended no later than June 30, 2017.

If you have any questions or require additional information, please contact your assigned Contract Specialist. If you have any questions or require additional information specific to the discretionary funding opportunities, please contact Diana Gravett, Community Services Program Specialist, at dgravett@azdes.gov or (602) 542-6594.



Attachment 3A

Section 7

CSBG State Plan FFYs 2017-2018 – Funding Formula -

Distribution Formula

The distribution of CSBG funds to eligible entities is based upon the following formula factors:

Poverty Factor	Unemployment Factor	Rural Factor	Tribal Adjustment	Migrant/ Seasonal Farmworker Adjustment	Minimum Funding Variable
85%	10%	5%	Yes	2%	\$150,000

- Poverty

Eighty-five percent of funds are distributed according to the number of persons at or below 125 percent of poverty in a given geographic area. Tribal households residing on reservations receiving direct CSBG funds are not included. Poverty statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for 2015 a five-year period (2010-2014).

- Unemployment

Ten percent of funds are distributed based upon the unemployment rates in each designated geographic service area. The source for the unemployment factor is the most recent annual Local Area Unemployment Survey (LAUS). Unemployment statistics are updated on a yearly basis.

- Rural

Five percent of funds are distributed only to rural counties based upon a determination of special needs such as disproportionately high unemployment, logistical challenges such as availability of transportation, distances to and from remote areas and disproportionate cost and availability of energy and other essential services. Rural statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for a five-year period (2010-2014).

- Tribal Adjustment

In 1982, American Indian Tribes within the State were given the opportunity to apply for funding directly from the Department of Health and Human Services. The tribes receive approximately

15 to 20 percent of the State's gross allocation. American Indian populations residing on reservations receiving separate CSBG allocations are excluded from the funding formula.

- **Migrant and Seasonal Farmworker Adjustment**

Two percent of funds allocated to eligible entities is reserved for a designated limited purpose entity serving migrant or seasonal farmworkers and their families statewide.

- **Minimum Funding Variable - \$150,000**

All eligible entities are guaranteed a minimum allocation of \$150,000 depending upon availability of funds.

Agencies will receive a proportional share of any increase or decrease to the State's appropriation.

- **Administrative Budget**

The State will not expend more than the greater of \$55,000 or five percent of its allotment under Section 674 of the Act for administrative expenses, including monitoring activities. Arizona will not use CSBG funds for Charity Tax Credit Programs. The State maintains accounting procedures established to assure that the administrative cost limitation is not exceeded. Regular meetings will be held to discuss the level of expenditures. The State's Office of Accounting will prepare monthly reports. In the event that the State does not use the entire five percent of the total reserved for the ADES administrative expenses, the remainder may also be used to fund discretionary activities.

The State's projected administrative budget is as follows:

Administrative Budget – SFY 2017

TBD

Personnel

Employee Related Expenses

Professional & Outside

Travel In-State

Non-Capital Equipment

Other Operating

Indirect

TOTAL



Attachment 4

CSBG State Plan FFYs 2017-2018

Section 14 Narrative Responses - State Linkages and Communication

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 –

- (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);
Increased benefit levels may be offered for applicants reporting income from employment when applying for utility assistance. CSBG supported programs may provide for work related expenses such as necessary licensing fees, uniforms or transportation assistance.
- (ii) to secure and retain meaningful employment;
Eligible entities provide employment supports and coordinate with WIOA programs. Some entities operate employment assistance in their own facilities.
- (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;
Eligible entities coordinate with local education institutions and allow savings from Individual Development Accounts (IDA) to be utilized for post-secondary education. Eligible entities also coordinate with local partners to provide GED preparation and after school programs. Some entities coordinate with or operate Head Start programs and in-house secondary education programs.
- (iv) to make better use of available income;
Eligible entities may offer Individual Development Accounts, IDAs, financial literacy programs and Volunteer Income Tax Assistance (VITA). Some agencies offer financial literacy courses in-house.

- (v) to obtain and maintain adequate housing and a suitable living environment;
CSBG supported eviction prevention programs help persons in crisis maintain or establish housing and utility services through eviction prevention programs and utility assistance and discount programs. Some eligible entities also deliver the LIHEAP weatherization program. State funded programs provide support to eligible entities that provide funding for utility deposits and equipment repairs.
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
CAAs are eligible to apply to DAAS/CSA for CSBG discretionary funds for emergency and disaster assistance to assist households in emergent crisis involving sudden loss of use of their housing due to natural or manmade disasters or unforeseen incidents. DAAS/CSA also provides Temporary Assistance to Needy Families (TANF) funding to eligible entities via the State legislated Short-Term Crisis Services (STCS) program for families in crisis to provide assistance for rent, mortgage, utilities or emergency employment supports.
- (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;

See extended response to 14.1b (B) (ii) below

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;

In ongoing efforts to avoid duplication of services, Arizona's Community Action Program does not directly operate or support after school child care programs, as these are available elsewhere in the communities served. Eligible entities support these programs through coordination with community partners, federally funded programs and referrals to local programs.

Example 1 Provided by a CAA:

City of Glendale Community Action Program: "The Glendale CAP works with and is a strong advocate of the Glendale Community Center, which is located in the "Heart of Glendale" neighborhood and is currently, being operated by non-profit partners who coordinate, manage and deliver the programs run out of the same City of Glendale owned facility that houses the CAP office. CAP staff has established and maintains open communication with the center and its staff, who provide services to both low-income youth and adults living nearby. A CAP priority is to refer Glendale families to the Center for the wide variety of services they provide including the Y.W.C.A. Food & Nutrition program, GED classes, homework club, and recreational activities, many of which are specifically designed to deter criminal activities among youth. An operating goal of the Community Center is to reciprocate and to refer their families to the Glendale CAP for accessing family assistance services; thus increasing collaborative approaches to meeting family needs. In addition, to helping youth and to prevent or reduce youth crime, CAP staff refers clients and youth to the Boys and Girls Club, Y.W.C.A, Glendale Elementary School District afterschool programs, Head-Start, Glendale Recreation Afterschool Programs (GRASP), Glendale Community Center, Rose Lane & O'Neil Community Centers and the Velma Teague Library which is located in the center of the low-income neighborhoods of Glendale." Apart from the coordination and partnership efforts of the Network, after school programs are conducted by the Arizona Department of Education Health which utilizes federal funding under the Community Learning Center Grant (CCLC) to support after-school programs for at risk children.

Example source: City of Glendale Community Action Program, CAP Plan for SFY 2016.

Example 2 Provided by CAA:

The Portable Practical Education Preparation (PPEP) YouthBuild Program is a GED Preparation and Construction program with AmeriCorps opportunities along with Community Service and Leadership Development. This program is for at risk youth ages 16 – 24 and currently do not have their High School Diploma or GED. The PPEP YouthBuild is the only agency in the Tucson Metro area that helps youth with the Construction Training, GED preparation for youth. PPEP's program offers the youth a stipend to help subsidize their income while they finish the program. PPEP

also has a YouthBuild program in rural Yuma County.

MPG automotive was the partner for the On the Job Training. MPG trained the youth in the automotive industry, they paid the youth and PPEP CSBG reimbursed 50% of the wages. At the end of the On the Job Training, the youth was hired on full time as a Mechanics Helper making \$10.00 per hour, well above minimum wage.

Over the past year, there have been 42 youth enrolled in both programs, out of that 45, 38 have graduated from the program. 15 of the graduated youth have earned their GED's, and 22 have earned a Segal Education Award from AmeriCorps worth a value of \$1,515 that can be used towards their post-secondary education.

PPEP has used the CSBG dollars, not only to help with rent and utilities when the youth are in need, but has used the funds to pay for On the Job Trainings so the youth could obtain employment.

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 coordinates a variety of programs using State and federal resources such as Supplemental Nutrition Assistance Program (SNAP), Workforce Innovation and Opportunity Act (WIOA), Temporary Assistance for Needy Families (TANF), Medicaid, Department of Housing and Urban Development (HUD), Department of Labor (DOL), Low-Income Home Energy Assistance Program (LIHEAP), Neighbors Helping Neighbors (State) and other federal, state and county programs. Current DES Outreach efforts are working to coordinate the various State service departments with Community Action Agencies.

DES also supports the State Association, Arizona Community Action Association (ACAA) in its efforts to coordinate with the Community Action Network as a whole to develop and maintain relationships with other State and local agencies, federal programs and information and referral systems.

Unless exempt, program participants receiving direct services from DES are required to participate in the State Jobs Program in order to continue receiving cash benefits. The Jobs Program provides employment services for Cash Assistance and Two-Parent Employment Program (TPEP) members and others to help them avoid dependence on public assistance.

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. 676(b)(3) “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

- 14.3a. 676(b)(3)(A) Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

The State’s 12 eligible entities provide services to low-income individuals and families in diverse geographic areas and communities. Agencies provide an array of comprehensive services including case management, client advocacy, household budgeting assistance, tax preparation and emergency assistance including eviction prevention, transportation assistance, such as gasoline, bus passes and emergency vehicle repair, and utility assistance services.

Eleven eligible entities in Arizona offer services through the Low Income Home Energy Assistance Program (LIHEAP) and seven eligible entities offer the Weatherization Assistance Program (WAP).

All eligible entities coordinate CSBG funding with Temporary Assistance for Needy Families (TANF) funds to provide a State mandated emergency assistance program. Arizona’s eligible entities also provide high impact services such as vocational training and Individual Development Account (IDA) programs with leveraged funding from local private charities.

Additional high impact services include intensive case management, counseling and programs that encourage better use of available income, loan modification programs to prevent foreclosure and sponsoring events and forums to encourage engagement of the low-income community.

In addition to providing direct services, Arizona’s eligible entities work in partnership with both public and private organizations throughout their communities to address the issues of poverty in their local areas.

The Community Action Network in Arizona has been able to maximize CSBG funds to attract additional resources from federal, state, local, and private organizations. During the State fiscal year 2015, eligible entities leveraged CSBG funds to attract outside resources at a ratio of approximately [24 to 1]. This return on investment illustrates the efficient manner in which the Community Action Network in Arizona uses CSBG to form partnerships with other organizations in assisting low-income households’ progress toward self-sufficiency and addressing the causes of poverty.

The State established this ratio using a federally prescribed formula that takes the SFY 2015 CSBG IS Report Section F. 15: "Other Resources Administered and Generated by the CSBG Network" total of \$[126,815,650], plus the value of volunteer hours and dividing by the SFY 2014 CSBG Network Distribution and Allocation of

Funds Total of [\$6,020,271] for the 12 eligible entities.

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

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 following example furnished by an eligible entity, illustrates how this assurance is addressed by members of the Network - City of Glendale Community Action Program: Outcome indicators that measure success are the number of families assisted with existing staff/volunteers and agency collaboration group. Many families are assisted throughout the fiscal year & during special events such the Annual Agency Health Fair and holiday events. Every year CAP tries to assist more residents despite less program funding. (See below outcomes on number of assisted families for emergency services). During SFY 2015, 935 Families were assisted with the enrollment of emergency food, monthly food plus and government commodity programs. 404 Families were assisted during the holiday family events which directly impacted food needs as well as other household needs: dental supplies, children's backpacks filled with school supplies, books, holiday bears, and grocery food cards.”

Additional Eligible Entity Narratives

Additional program narratives from Community Action Agencies not included as examples in this and other sections of the Model State Plan are included below. DES may add additional or updated narratives in the FFY 2018 amendment.

Pima County Community Services Partner: CSBG Interfaith Community Services (ICS)

Pima County Community Action Agency offers competitive bids to qualified non-profit organizations to carry out Community Action programs supported by CSBG funds. Generally, 10 to 13 Community Action contracts are awarded throughout the agency service area each year. These organizations leverage community resources with local partnerships to make the most of their CSBG funding. The following narrative describes one of those programs carried out by a faith-based community partner.

Interfaith Community Services (ICS) - *Even in this time of economic downturn, the agency is financially stable. ICS has made a number of reductions in the budget without affecting services to date. The Board of Directors and volunteer Finance Committee of experienced financial*

professionals carefully watch cash flow and funding. ICS has had the ability to raise and leverage private dollars effectively. The umbrella of services allows the case managers to refer a client for other services at the time of their initial interview, increasing the chance of success for the client's goal of self-sufficiency. More than 600 dedicated volunteers represent a major resource to all the ICS programs and keep operating costs low.

The majority of ICS clients need financial assistance largely due to unemployment/underemployment or health issues. ICS works to help eliminate barriers to sustainable employment. ICS also assist clients with applying for medical coverage and find solutions to obtain medication assistance with our health advocacy program. To respond to the increased numbers of unemployed individuals and families facing financial challenges, ICS launched partnerships with Pima County One Stop, Wells Fargo Foundation, United Way, and Arizona Youth Partnership (AZYPA) to provide ONESTOP employment assistance. The agency helps participants complete public assistance applications, prepare free federal and state tax returns, and helps clients learn how to create savings and better manage their finances. In addition, AZYP provided family relationship workshops which helped with family communication and parenting skills.

The CSBG funds are used to provide assistance to eliminate barriers to employment, assisting with emergency needs while seeking employment, and providing medication coverage until a long-term solution could be found.

The outcome indicator used during the case management of the client was the Self-Sufficiency Matrix developed by the Arizona Community Action Network. During the follow-up interview and after one month from the initial case management interview, another assessment was made using the matrix. ICS assisted 118 clients with CSBG funding in FY 2013. While many were still seeking employment, approximately 60 percent showed forward movement on the matrix.

In SFY 2014, Interfaith Community Services partnered with Arizona Youth Partnership to assist clients with tools for sustainability. ICS's financial assistance program provided funding for emergency needs and barriers to obtaining employment. A portion of these funds came from the CSBG grant. ICS's Job Resource Center provided services in the areas of resume writing, job search, career planning and financial literacy.

CSBG provided funding for job related barriers (gas vouchers, monthly bus passes, AZ I.D.'s, car repairs, clothing requirements, tools, required classes, etc.). Forty clients received CSBG emergency rental assistance. Meanwhile, Arizona Youth Partnership's Strengthening Families Programs concentrated on family relationships, parenting skills, improving youth social and life skills, and couple communication skills. Twelve families completed the Strengthening Families Program. This collaboration considered all aspects of each families' needs to reach stability and sustain them beyond basic assistance.

[Include 2015 update for this program if available]

Western Arizona Council of Governments (WACOG)

WACOG has been dedicated to the health and well-being of the communities and families served since 1971. WACOG Community Services covers a three county service area that consists of La Paz, Mohave, and Yuma counties. WACOG provides a comprehensive array of services to help

people achieve their highest level of self-sufficiency. Services and programs reach a diverse population of residents from preschool children participating in Head Start programs to older adults attending senior center activities. The Community Action Program (CAP) was established to mobilize resources to help families move toward self-sufficiency and out of poverty.

WACOG programs provide a comprehensive “safety net” of services to the community, working to prevent homelessness, maintaining independent living and providing the foundation for the development of self-sufficient, healthy, caring and productive children and families. The organization's services extend a helping hand to residents in times of crisis or need.

A Hand Up – WACOG’s housing counseling program was initiated in 2010. This program has steadily increased capacity and scope by assisting homeowners in maintaining their primary asset, providing income management education and coordinating with emergency service case management systems, instituting Workforce Development and Weatherization programs to target and bundle services for low income homeowners with priority for elderly clients and families with children and those seeking employment, training and education.

For SFY 2014, the *A Hand Up* program provided 36 Financial Education Workshops, six “Pre-Purchase Counseling” workshops assisting 148 households with Foreclosure Prevention Counseling. The VISTA initiative by end of year three is expected to build the capacity of WACOG and Western Arizona Community Alliance to mobilize and coordinate service through our service integration work with Workforce Investment and extend this integration to other community non-profit services providers.

In April 2014, WACOG partnered with Western Arizona Community Alliance and implemented Volunteers in Service to America (VISTA) Pathways out of Poverty Initiative. The VISTA Pathways Out of Poverty grant initiative is a three year program which builds upon WACOG's program capacities to deliver high impact solutions in an integrated and holistic fashion. Homeowners are, in addition to receiving emergency assistance, referred to the Housing Counseling and Weatherization programs for income management, housing counseling, education, and linked to other resources which support a long-term plan for self-sufficiency. All intakes are triaged for homeownership then referred to Housing Counselors for education and counseling assistance as well as Weatherization.

WACOG is one of three Community Action Agencies in the State to become a HUD certified Housing Counseling Agency. The expertise and training of staff as Housing Counselors provide opportunity to build upon internal capacities and integrate/coordinate with case managers to bundle services and provide a more holistic service to the clients who come through the doors. The AmeriCorps VISTA grant provides an opportunity to innovate and try new approaches without sacrificing the financial capital since it provides the human capital through a stipend paid by this federal source. Community Partners include Churches and Senior Centers who assist clients in accessing utility assistance. For the VISTA project, Yuma Private Industry Council is a full partner in service integration with Workforce project and provides staff, facilities and materials as needed.

CSBG funds are used to support the staff delivering the service, supplies and materials needed by WACOG and partners, to operate the programs.

WACOG's Weatherization and Major Home Rehabilitation Program targets vulnerable populations including seniors. The Program provides long-term improvements to living conditions, allowing the retention of an asset and provides added income, which, for low-income seniors, often means deciding between utilities and medication. Local vendors and home supply companies provide materials and supplies while general and specialty contractors provide for the installation of energy efficient measures. Local Workforce Investment programs provide candidates for job training beside the WACOG experienced Weatherization staff. In SFY 2013, 150 homes whose occupants included at least one senior were weatherized or rehabilitated. CSBG funding covers staff activities in the delivery of services in the Weatherization and Major Home Rehabilitation Program. CSBG provides, in part, the administrative and operational capacity to deliver these services.

[Include 2015 update if available]

DRAFT

TITLE 6. ECONOMIC SECURITY**CHAPTER 13. DEPARTMENT OF ECONOMIC SECURITY
STATE ASSISTANCE PROGRAMS**

(Authority: A.R.S. § 41-1954 et seq.)

*Editor's Note: The Office of the Secretary of State publishes all Code Chapters on white paper (Supp. 03-3).**Editor's Note: Article headings and Sections of this Chapter were amended, renumbered, repealed, and adopted under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on these rules. Because these rules are exempt from the regular rulemaking process, the Chapter is printed on blue paper.***ARTICLE 1. TUBERCULOSIS CONTROL PROGRAM***Article 1, consisting of R6-13-102 through R6-13-161, made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).*

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ary 13, 1996 (Supp. 96-1).

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- R6-13-301. Expired
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ARTICLE 4. RESERVED

ARTICLE 5. RESERVED

ARTICLE 6. REPEALED

Article 6, consisting of Sections R6-13-601 through R6-13-604, repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

Article 6, consisting of Sections R6-13-601 through R6-13-604, recodified from A.A.C. R6-3-601 through R6-3-604 effective February 13, 1996 (Supp. 96-1).

Section

- R6-13-601. Repealed
- R6-13-602. Repealed
- R6-13-603. Repealed
- R6-13-604. Repealed

ARTICLE 7. REPEALED

Article 7, consisting of Section R6-13-701, repealed by exempt rulemaking at 9 A.A.R. 3966, effective October 20, 2003 (Supp. 03-3).

Article 7, consisting of Section R6-3-701, recodified from A.A.C. R6-3-701 effective February 13, 1996 (Supp. 96-1).

Section

- R6-13-701. Repealed

ARTICLE 8. SHORT-TERM CRISIS SERVICES

Article 8, consisting of Sections R6-13-801 through R6-13-809, amended, repealed, or renumbered under an exemption from the provisions of A.R.S. Title 41, Chapter 6, effective August 4, 1997 (Supp. 97-3).

Article 8, consisting of Sections R6-13-801 through R6-13-809, recodified from A.A.C. R6-13-801 through R6-3-809 effective February 13, 1996 (Supp. 96-1).

Section

- R6-13-801. Definitions
- R6-13-802. Application Procedures

- R6-13-803. General Eligibility Requirements
- R6-13-804. Financial Eligibility Requirements; Countable Income
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- R6-13-806. Types of Assistance; Duration
- R6-13-807. Payments
- R6-13-808. Notification
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ARTICLE 9. REPEALED

Article 9, consisting of Sections R6-13-902 through R6-13-911, R6-13-913 through R6-13-917, and R6-13-919 through R6-13-922, repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

Article 9, consisting of Sections R6-13-901 through R6-13-622, recodified from A.A.C. R6-3-901 through R6-3-922 effective February 13, 1996 (Supp. 96-1).

Section

- R6-13-901. Expired
- R6-13-902. Repealed
- R6-13-903. Repealed
- R6-13-904. Repealed
- R6-13-905. Repealed
- R6-13-906. Repealed
- R6-13-907. Repealed
- R6-13-908. Repealed
- R6-13-909. Repealed
- R6-13-910. Repealed
- R6-13-911. Repealed
- R6-13-912. Expired
- R6-13-913. Repealed
- R6-13-914. Repealed
- R6-13-915. Repealed
- R6-13-916. Repealed
- R6-13-917. Repealed
- R6-13-918. Expired
- R6-13-919. Repealed
- R6-13-920. Repealed
- R6-13-921. Repealed
- R6-13-922. Repealed

ARTICLE 10. RESERVED

ARTICLE 11. RESERVED

ARTICLE 12. OTHER PROCEDURES AND SERVICES

Article 12, consisting of Sections R6-13-1201 through R6-13-1204 and R6-13-1206 through R6-13-1213, recodified from A.A.C. R6-3-1201 through R6-3-1204 and R6-3-1206 through R6-3-1213 effective February 13, 1996 (Supp. 96-1).

Section

- R6-13-1201. Confidentiality
- R6-13-1202. Transfer of Cases Between Cost Centers
- R6-13-1203. State Warrants
- R6-13-1204. Guardianship
- R6-13-1205. Reserved
- R6-13-1206. Overpayments
- R6-13-1207. Special Investigations Unit
- R6-13-1208. Complaints, Hearings, and Appeals
- R6-13-1209. Quality Control
- R6-13-1210. Interagency Inquiry
- R6-13-1211. Quality Assurance
- R6-13-1212. Assistance to Individuals on Conditional Discharge from the Arizona State Hospital
- R6-13-1213. Expired

ARTICLE 1. TUBERCULOSIS CONTROL PROGRAM**R6-13-101. Reserved****R6-13-102. Definitions**

The following definitions apply to this Chapter:

1. “Administration” means the Family Assistance Administration of the Department.
2. “Adverse action” means that the Department has:
 - a. Denied an application for assistance,
 - b. Failed to take action to approve or deny an application within 30 days of the application file date,
 - c. Terminated or reduced assistance,
 - d. Determined that it overpaid a Tuberculosis Control (TC) payment recipient, or
 - e. Denied a request for a waiver of an overpayment.
3. “Applicant” means a person who has directly or through a representative filed an application for TC payments with the Department.
4. “Assistance unit” means a group of persons whose needs, income, resources, and other circumstances the Department considers as a whole for the purpose of determining eligibility and benefit amount for Tuberculosis Control payments.
5. “CA” or “Cash Assistance” means temporary assistance for needy families paid to a recipient for the purpose of meeting basic living expenses under A.R.S. § 46-291 et seq.
6. “Collateral verification” means the use of an agency, organization, or qualified individual who has knowledge of the requested eligibility information, and who the Department may use as a collateral contact when requested to do so or when documented verification is not available to the applicant.
7. “Countable income” means income from every source minus income excluded under R6-13-118.
8. “Department” means the Arizona Department of Economic Security.
9. “FAA” or “Family Assistance Administration” means the administration within the Department’s Division of Benefits and Medical Eligibility responsible for providing financial and nutrition assistance to eligible persons and determining eligibility for medical assistance.
10. “FAA Manual” means the policies and procedures used to determine an assistance unit’s eligibility for TC payments.
11. “Homestead property” has the same meaning as A.R.S. § 46-101(14).
12. “In-kind income” means the value of goods or services received for work in lieu of the receipt of wages.
13. “Legal claim for support or care” means that the recipient has a duty under the law to look after or provide financially for the person with the legal claim for support or care.
14. “Lump-sum payment” means a single payment, such as retroactive monthly Social Security or other benefits, nonrecurring pay adjustments or bonuses, inheritances, lottery winnings, or personal injury and workers’ compensation awards.
15. “Notice of adverse action” means a written notice sent to a recipient when the Department takes adverse action under R6-13-141.
16. “Office of Appeals” means the Department’s independent, quasi-judicial, administrative hearing body that includes hearing officers appointed under A.R.S. § 41-1992(A).
17. “Recipient” means a person who receives TC payments.
18. “Resources” means the assistance unit’s real and personal property and liquid assets.
19. “TC” means Tuberculosis Control, a program administered by the Department that provides monetary assistance to an assistance unit that includes an adult who is certified by the state Tuberculosis Control Officer to have active tuberculosis or suspected tuberculosis, and that satisfies the eligibility requirements in this Article.
20. “Vendor payment” means a payment from a person or organization that is not a member of an assistance unit to a third party to cover an assistance unit’s expenses.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-103. Individuals Who May Qualify for Assistance

- A.** The following persons are eligible for TC payments only if they meet all financial and nonfinancial eligibility requirements:
1. An adult who is certified by the state Tuberculosis Control Officer to have active tuberculosis or suspected tuberculosis,
 2. Any person residing with the adult who has a legal claim for support or care from the adult, including:
 - a. The adult’s spouse; and
 - b. A minor child. Also, a child age 18 if attending a secondary school or a high school equivalency program;
 - c. A mentally or physically disabled child more than age 18; and
 - d. A child who is temporarily absent from the home because the child is attending school, as long as the child returns home at least once a year.
- B.** A person may receive TC payments only if the individual is not eligible to receive Cash Assistance under A.R.S. Title 46, Chapter 2, Article 5.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-104. Applicant Responsibilities at Initial Application

- A.** A person shall apply for TC payments by submitting an identifiable Department-approved application to an FAA office in person, by mail, fax, or electronic transmittal.
- B.** An identifiable application means an application that contains:
1. The legible name and address of the applicant; and
 2. The signature of the applicant, the applicant’s representative, or if the applicant is incompetent or incapacitated, someone legally authorized to act on behalf of the applicant.
- C.** The application filing date is the date an FAA office receives an identifiable application. If the applicant is eligible, the Department shall pay TC payments calculated from this date.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-105. Department Responsibilities at Initial Application

- A.** Upon receipt of an identifiable application, the Department shall:
1. Date stamp the application with the application filing date, and
 2. Schedule an initial eligibility interview with the applicant at:

- a. A location that ensures a reasonable amount of privacy, or
 - b. A homebound applicant's residence, or
3. Schedule a telephone initial eligibility interview.
- B.** The Department shall assist the applicant in completing the application if necessary. A completed application shall contain:
1. The names of all persons living in the applicant's dwelling and their relationship to the applicant,
 2. A request to receive TC payments, and
 3. All financial and nonfinancial eligibility information requested on the application form.

Historical Note

New Section made by final rulemaking at 18 A.A.R.
1175, effective June 30, 2012 (Supp. 12-2).

R6-13-106. Applicant Responsibilities at the Initial Interview

- A.** The applicant shall attend the interview. A person of the applicant's choosing may also attend and participate in the interview with the applicant.
- B.** Missed appointments.
1. If the applicant misses a scheduled appointment for an interview, the applicant shall:
 - a. Request to reschedule the interview no later than close of business on the day of the missed appointment, and
 - b. Attend the second scheduled appointment.
 2. If the applicant fails to comply with the requirements in subsection (B)(1)(a) or (b) without good cause, the Department shall deny the application, and the applicant shall reapply in order to receive TC payments. Good cause for failure to comply with the requirements in subsection (B)(1)(a) or (b) is any unanticipated occurrence that, in the discretion of the Department, made it impossible or unreasonable for the applicant to attend the interview or contact the local office.
- C.** An applicant for assistance shall:
1. Give the Department complete and truthful information;
 2. Inform the Department of all changes in income, assets, or other circumstances affecting eligibility that occur after the date of application for TC payments;
 3. Comply with Electronic Benefit Transfer (EBT) requirements; and
 4. Comply with any other procedural requirements contained in this Chapter or in state or federal law.
- D.** An applicant shall provide required verification of financial and nonfinancial eligibility information or request assistance from the Department in obtaining the information.
1. An applicant shall provide the Department with all requested verification of financial and nonfinancial eligibility factors, or request the Department's assistance in obtaining the requested verification, within 10 calendar days from the date of a written request for such information.
 2. An applicant shall provide the Department with verification of financial and nonfinancial eligibility factors by submitting to the Department:
 - a. Documents originating from an agency, organization, or individual qualified to have knowledge of the provided information; or
 - b. When documents required in subsection (D)(2)(a) are not available to the applicant, the name, telephone number, and address of an agency, organization, or individual qualified to have knowledge of

- the requested eligibility information that the Department may use as a collateral contact; or
- c. When the items in subsections (D)(2)(a) and (b) are not available, a signed written statement from the applicant that describes facts specific to an eligibility factor. The Department shall not accept an applicant's signed written statement as acceptable verification of identity, relationship of household members, or expenses.

Historical Note

New Section made by final rulemaking at 18 A.A.R.
1175, effective June 30, 2012 (Supp. 12-2).

R6-13-107. Agency Responsibilities at the Initial Interview

- A.** During the initial interview, a Department representative shall:
1. Discuss how the applicant and the other assistance unit members previously met their needs and why they now need financial assistance;
 2. Provide the applicant with written information explaining:
 - a. The terms, conditions, and obligations of the TC program;
 - b. Any additional required verification information that the Department requires the applicant to provide in order to conclude the eligibility evaluation;
 - c. The Department's practice of exchanging eligibility and income information through the State Verification and Exchange System (SVES);
 - d. The coverage and scope of the TC program;
 - e. Related services that may be available to the applicant;
 - f. The applicant's rights, including the right to appeal adverse action;
 - g. The requirement to report all changes, as specified in R6-13-138, within 10 calendar days from the date the change becomes known; and
 - h. Other benefits for which any person in the assistance unit is potentially eligible and the requirement that any person in the assistance unit apply for and, if eligible, accept those other benefits;
 3. Inform the applicant that the Department shall assist the applicant in obtaining required verification at the request of the applicant, when the verification provided by the applicant is insufficient to complete an eligibility determination, or when the required verification is difficult or impossible for the applicant to obtain;
 4. Review the penalties for perjury and fraud, as printed on the application;
 5. Review any verification information provided with the application or at the initial interview;
 6. Review all ongoing reporting requirements and the potential consequences for failure to make timely reports, including overpayment liability; and
 7. Offer an applicant who is a United States citizen the opportunity to register to vote and provide the applicant with a voter registration form if requested.
- B.** The Department shall obtain independent verification or corroboration of information provided by the applicant when required by law, or when necessary to determine eligibility or benefit level.
- C.** The Department may verify or corroborate information by any reasonable means, including:
1. Contacting third parties, such as employers;
 2. Asking the applicant to provide documented verification, such as billing statements or pay stubs;

3. Asking the applicant to provide a signed written statement that describes facts specific to an eligibility factor when documented or collateral verification is not available;
4. Conducting a computer data match through SVES; and
5. Referring a case to the Department's Office of Special Investigations (OSI) for investigation when:
 - a. The Department has a valid reason to suspect that an act has been committed for the purpose of deception, misrepresentation, or concealment of information relevant to a determination of eligibility or the amount of a benefit payment; or
 - b. The Department has a valid reason to suspect the commission of theft or fraud related to TC eligibility or payments, or any conduct listed in A.R.S. § 46-215.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-108. Processing the Initial Application

- A. The Department shall complete the eligibility determination and benefit level computation within 30 calendar days of the initial application filing date, unless:
 1. The applicant withdraws the application. An applicant may withdraw an application at any time before the Department completes an eligibility determination by requesting the withdrawal from the Department either verbally or in writing.
 - a. If an applicant verbally requests to withdraw an application, the Department shall:
 - i. Document the names of individuals and the types of benefits or services from which the applicant wishes to withdraw, and
 - ii. Deny the application and notify the applicant.
 - b. A withdrawal is effective as of the date of initial application.
 - c. When an applicant withdraws an application, an applicant may file a new application to request TC payments.
 2. The applicant dies. If an applicant dies while the application is pending, the Department shall deny the application.
 3. The Department is aware of a delay in receiving verification of a required eligibility factor. In this case, the Department shall assist the applicant in obtaining the required verification, even if the delay extends beyond 30 days.
- B. The Department shall deny an application and send the applicant a written notice of denial that shall include an explanation of appeal rights when the applicant fails to:
 1. Complete the application under R6-13-105(B);
 2. Complete an eligibility interview under R6-13-106;
 3. Cooperate with all required Department procedures without good cause; however, the Department shall not deny the application for this reason unless the Department has advised the applicant of these procedural requirements in writing;
 4. Meet all of the mandatory financial and nonfinancial eligibility criteria used to establish eligibility for the TC program; or
 5. Meet the verification requirements in R6-13-106(D).

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-109. Case Record

- A. The case record shall contain all data collected or used by the Department in evaluating and determining eligibility and benefit amount.
- B. The Department shall maintain a case record for every TC applicant or recipient. The case record shall include all documents maintained or stored in any format.
- C. Except as otherwise provided in subsections (D) and (E), the Department shall retain the case record for a period of three years after the last date the Department denied TC assistance to an applicant or terminated TC assistance to a recipient.
- D. The Department shall retain a case record that contains an unpaid overpayment until:
 1. The overpayment is paid back in full, or
 2. The Department no longer requires the assistance unit to repay the overpayment.
- E. The Department shall retain a case record that includes a disqualification imposed under A.R.S. § 13-3418, an Intentional Program Violation (IPV), or any other disqualification or sanction that prohibits the receipt of assistance.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-110. Confidentiality

The Department shall maintain the confidentiality of a TC applicant's or recipient's records and limit the release of safeguarded information to the Department of Health Services and as prescribed under 6 A.A.C. 12, Article 1 and 9 A.A.C. 6, Article 1.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-111. Manuals

The Department shall make the FAA Manual, as defined in R6-13-102, available to the public on the Department's web site, and each FAA office shall make the FAA Manual accessible for public inspection during regular business hours.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-112. Nonfinancial Eligibility Determination

- A. Age. An applicant for TC payments shall be at least 18 years of age.
- B. Identity. An applicant for TC payments shall provide the Department with verification that reasonably establishes the applicant's identity.
 1. Verification that reasonably establishes identity includes:
 - a. A driver license or state-issued identification card that contains a photo of the applicant;
 - b. Documents such as the applicant's birth certificate, school identification card, citizenship and immigration documents, identification card from health benefits or other social service programs, wage stubs, work identification card, voter registration card, or other similar documents; or
 - c. Collateral verification, as defined at R6-13-102, from an individual who shall not benefit from the applicant's receipt of TC payments.
 2. An applicant's written statement is not sufficient verification of identity.
- C. Tuberculosis Certification. An applicant must be certified by the state Tuberculosis Control Officer to have active or suspected tuberculosis.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-113. Resource Limitations

- A.** An applicant is not eligible for TC payments if the applicant has resources in excess of the following, after applying the exclusions in subsection (B):
1. \$1000 for an assistance unit consisting of only the applicant.
 2. \$1400 for an assistance unit consisting of the applicant and the applicant's spouse.
- B.** The Department shall exclude the equity value of the resources listed below:
1. The homestead property of the assistance unit, as defined in R6-13-102, not to exceed a current equity of \$50,000;
 2. Household furnishings that the assistance unit members use in their residence and personal effects essential for day-to-day living;
 3. The current equity value up to \$1500 of one vehicle in the assistance unit. When two or more vehicles are owned, the Department shall apply the exclusion to the vehicle with the highest equity value. Jointly owned vehicles with ownership records containing the word "or" between the owners' names are available in full to each owner unless it can be proven by the assistance unit member that the vehicle is not available to him or her or not in the assistance unit member's possession. When more than one owner is a member of an assistance unit, the equity value of the resource is counted only once;
 4. Funds established in connection with settling liability claims concerning Agent Orange death or disability; and
 5. Any other resource specifically excluded by law.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-114. Resource Verification

The Department shall verify all resources.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-115. Availability and Ownership of Resources

- A.** The Department shall consider a resource as countable to the assistance unit only when the resource is legally and physically available or in the possession of the assistance unit member.
- B.** The Department shall consider the availability of property to the assistance unit based on the type of ownership.
1. The sole and separate property of one spouse is available to the other spouse only when the spouse/owner makes the property available. A resource shall be considered sole and separate property only when obtained in one of the following ways:
 - a. Before the present marriage, or
 - b. At any time by gift or inheritance.
 2. Jointly owned resources with ownership records containing the words "and" or "and/or" between the owners' names are deemed available when all owners can be located and consent to disposal of the resource, except that such consent is not required when all owners are members of the assistance unit.
- C.** The Department considers the following resources unavailable to the assistance unit:

1. Any resource owned solely by a spouse who is receiving Supplemental Security Income (SSI) paid by Title XVI of the Social Security Act.
2. Resources disputed in divorce proceedings or in probate matters.
3. Real property situated on a Native American reservation.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-116. Nonrecurring Lump-sum Payments

- A.** The Department shall count nonrecurring lump-sum payments, as defined in R6-13-102, as a resource in the month received.
- B.** The Department shall count any part of a lump-sum payment that recurs in future months as income in the month received.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-117. Treatment of Income; Overview

- A.** "Income" shall include the following when actually received by the assistance unit:
1. Gross earned wages from public or private employment before any deductions;
 2. In-kind income, as defined in R6-13-102;
 3. For self-employed persons, the sum of gross business receipts minus business expenses;
 4. Unearned monetary gains such as benefits or assistance grants, minus any deductions to repay prior overpayments or attorney fees; and
 5. A prorated share of any Cash Assistance program benefit received by the applicant's spouse.
- B.** In determining eligibility, the Department shall consider all gross income available to the assistance unit, except those types of income excluded under R6-13-118.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-118. Income Exclusions

The Department shall not count the types of income in this Section when determining the income available to an assistance unit.

1. One-half of the countable income of the applicant's spouse;
2. One-half of the prorated share of any Cash Assistance program benefit received by the applicant's spouse;
3. Loans;
4. Educational grants or scholarships;
5. Income tax refunds;
6. The value of Nutrition Assistance (NA) program benefits and benefits from the Special Supplemental Food Program for Women, Infants, and Children (WIC);
7. Energy assistance payments or allowances provided under any federal, state, or local law, including Negative Rent Utility Payments issued by the Department of Housing and Urban Development for the purpose of energy assistance;
8. Vendor payments, as defined in R6-13-102;
9. Vocational rehabilitation program payments made as reimbursements for training-related expenses, subsistence and maintenance allowances, and incentive payments that are not intended as wages;
10. Agent Orange payments;
11. Burial benefits that are dispersed solely for burial expenses;

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12. Reimbursements for work-related expenses that do not exceed the actual expense amount;
13. Insurance payments issued to repay a specific bill, debt, or estimate that cannot be used to meet basic daily needs such as housing, food, or other personal expenses;
14. Attorney fees that are included in the gross payment of industrial compensation paid under the workers' compensation law or in legal settlements;
15. In-kind income, as defined in R6-13-102;
16. Earned income received from employment through the Workforce Investment Act (WIA), including earnings received from on-the-job-training; and
17. Any other income specifically excluded by applicable state or federal law.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-119. Determining Income Eligibility and a Cash Benefit Amount for an Assistance Unit

- A. To determine the countable monthly income of an assistance unit, the Department shall:
 1. Calculate a countable monthly gross income amount using the methods listed in R6-13-120, and
 2. Calculate a countable monthly net income by subtracting the applicable earned income deduction in R6-13-123 from the countable monthly gross income.
- B. The Department shall determine the cash benefit amount by subtracting the countable monthly net income from the TC Payment Standard for the number of eligible TC recipients in the assistance unit as prescribed in R6-13-124.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-120. Determining Monthly Gross Income

- A. The Department shall calculate an assistance unit's countable monthly gross income by converting countable income received other than monthly into a monthly amount using the methods in R6-13-121.
- B. The Department shall include in its calculation all gross income from every source available to the assistance unit as provided in R6-13-117, unless specifically excluded in R6-13-118 or by federal or state law.
- C. The Department shall include in its calculation income that the assistance unit has received and reasonably expects to receive in a benefit month and that is based on the Department's reasonable expectation and knowledge of the assistance unit's current, past, and anticipated future circumstances.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-121. Methods to Determine Monthly Income

- A. The Department shall convert income received in a regular amount on an ongoing basis into a monthly amount as follows:
 1. Multiply weekly amounts by 4.3,
 2. Multiply biweekly amounts by 2.15,
 3. Multiply semimonthly amounts by 2,
 4. Divide quarterly amounts by 3,
 5. Divide semiannual amounts by 6, and
 6. Divide annual amounts by 12.
- B. Averaging income.
 1. The Department shall average income for an assistance unit that receives income:
 - a. Irregularly; or

- b. Regularly, but from sources or in amounts that vary.
2. When using this method, the Department shall add together income from a representative number of weeks or months and then divide the resulting sum by the same number of weeks or months.

C. Prorating income.

1. Except as provided in subsection (C)(2), the Department shall prorate income when an assistance unit receives income from a fixed-term employment contract in the following manner:
 - a. Income is prorated over the number of months the contract is intended to cover, unless the contract specifies piecemeal or hourly income.
 - b. Applicable earned income disregards apply as if the assistance unit received the prorated amounts in each month of the contract.
2. The Department shall count income in the month received using the income conversion methods in subsections (A) and (B) when the contract specifies that the assistance unit will receive income on a piecemeal or an hourly basis.

D. Actual income. The Department shall use the actual income of an assistance unit that:

1. Receives or reasonably expects to receive less than a full month's income from a new source,
2. Receives or reasonably expects to receive less than a full month's income from a terminated source of income, or
3. Is paid daily.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-122. Income Verification

The Department shall verify all income as provided in R6-13-107 before determining eligibility and benefit amount.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-123. Earned Income Deduction

For the purpose of determining the countable monthly net income in R6-13-119(A)(2) and for use in the TC Payment Standard Test as provided in R6-13-124, the Department shall deduct a \$24 work expense deduction from the countable monthly earned income of each employed person in the assistance unit.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-124. Determining Income Eligibility and Cash Benefit Amount

- A. To determine income eligibility for a TC cash benefit, the Department shall:
 1. Establish whether to use an A-1 Standard or an A-2 Standard shelter cost factor to complete the financial determination.
 - a. The Department shall use the A-1 Standard when:
 - i. The assistance unit pays, or has an obligation to pay, all or part of the shelter costs for the place in which assistance unit members reside. Shelter costs include rent, mortgage, and property taxes;
 - ii. The assistance unit members reside in subsidized public housing; or
 - iii. A member of the assistance unit works in exchange for rent.

- b. The Department shall use the A-2 Standard:
 - i. For all circumstances not covered under subsection (A)(1)(a), or
 - ii. When an organization or a person who is not a member of the assistance unit pays shelter costs for three consecutive months or longer.
- 2. Conduct a TC Payment Standard Test.
 - a. Using the size of the assistance unit and the applicable A-1 or A-2 Standard, the Department shall compare the countable monthly net income to the applicable maximum TC cash benefit amount shown on the TC Payment Standard chart in subsection (A)(3).
 - b. If the countable monthly net income is at least one dollar less than the TC maximum cash benefit amount, the household is eligible for TC benefits. If the countable monthly net income is equal to or greater than the TC maximum cash benefit amount, the assistance unit is ineligible for TC benefits.
- 3. The TC Payment Standard Chart.

Number of Individuals	Maximum Monthly TC Cash Benefit For A-1 Standard (Based on 0 Countable Income)	Maximum Monthly TC Cash Benefit For A-2 Standard (Based on 0 Countable Income)
1	\$173	\$108
2	\$233	\$145
3	\$293	\$183
4	\$353	\$220
5	\$412	\$258
6	\$472	\$295
Each additional	\$60	\$38

- B. To determine the amount of the cash benefit payment:
 - 1. The Department shall deduct the countable monthly net income from the maximum cash benefit amount, as shown in the chart in subsection (A)(3), and round the difference down to the next whole dollar. The Department shall pay that amount to the assistance unit.
 - 2. The Department shall prorate the initial month's benefits by the number of days remaining in the month from the application filing date.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-125. Benefit Payments

- A. The Department shall pay benefits to an assistance unit for each month in which the Department determines it to be eligible.
- B. The Department shall make benefits available no later than the 30th day following the date of application for the initial month, and on the first day of each month for which the assistance unit is eligible thereafter.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-126. Payment Method

The Department shall provide benefit payments by making direct deposits into:

- 1. An Electronic Benefit Transfer (EBT) account established for the assistance unit by the Department, or

- 2. A financial institution account established by the recipient.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-127. EBT Card Issuance

- A. The Department shall authorize access to an EBT account to:
 - 1. The recipient; or
 - 2. An EBT Alternate Card Holder, as provided in R6-13-128.
- B. The Department shall:
 - 1. Provide the recipient with a brochure that explains EBT usage,
 - 2. Inform the recipient that the EBT card will be issued to the recipient by mail,
 - 3. Provide the recipient with the EBT provider's Customer Service Hotline telephone number in order for the recipient to obtain a Personal Identification Number (PIN) and to report EBT account problems, and
 - 4. Inform the recipient about the availability of TC Direct Deposit into an open banking account and the process for establishing Direct Deposit.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-128. EBT Alternate Card Holder

A recipient may designate up to two EBT Alternate Card Holders who shall have full access to the TC benefit available in the EBT account. The EBT Alternate Card Holder shall:

- 1. Receive his or her own EBT card by mail, and
- 2. Contact the EBT provider's Customer Service Hotline telephone number in order to obtain a Personal Identification Number (PIN).

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-129. Change in Arizona Residency

When an assistance unit moves to another state, it is entitled to any benefits remaining in its EBT account. The assistance unit may obtain benefits by accessing the account with the EBT card before leaving Arizona or at an Automated Teller Machine (ATM) displaying the QUEST symbol in the assistance unit's new state of residence.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-130. Replacing Lost, Stolen, or Damaged Cards

The assistance unit shall report a lost, stolen, or damaged EBT account access card as soon as possible, either by telephone to the EBT 24-hour Customer Service Hotline or to the Department during normal business hours.

- 1. Any funds removed from an EBT account prior to the assistance unit's reporting the card as lost or stolen will not be replaced.
- 2. When the client reports a lost, stolen, or damaged EBT account access card by telephone to the EBT 24-hour Customer Service Department, the EBT 24-hour Customer Service Department shall deactivate the EBT account access card and shall issue a new card by mail.
- 3. The Department shall issue a replacement card when the recipient reports having not received a new EBT account access card by mail by the close of business on the fourth

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workday following the date the recipient requested a replacement card from the EBT 24-hour Customer Service Department.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-131. Inactive Accounts; Unused Benefits

The assistance unit shall retain the right to access the EBT account for one year from the original date of benefit availability, regardless of the status of the TC case.

1. If the assistance unit does not access an EBT account for 60 days, the Department shall notify the assistance unit in writing. The notice shall state that immediate access to the EBT account will terminate in 30 days unless the assistance unit contacts the Department or accesses the EBT account.
2. The assistance unit shall lose immediate access to any benefits in an EBT account that has been inactive for 90 days. To regain access to these benefits, the assistance unit shall contact the Department and request that it reinstate the assistance unit to the EBT account.
3. If the assistance unit has not accessed benefit payments in an EBT account for 365 days after the original date of availability, the Department shall recoup the benefits, and the assistance unit shall lose all rights to regain those benefits.
4. Upon the death of a TC payment recipient, the Department shall recoup from the EBT account any TC payments paid to the recipient after the month of the recipient's death.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-132. Supplemental Payments

- A. The Department shall correct underpayments of TC assistance by issuing the assistance unit a supplemental payment regardless of whether the underpaid individual is eligible on the date the supplemental payment is issued.
- B. The Department shall not count such supplemental payments as a resource or as income.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-133. Overpayments: Date of Discovery; Collection

An overpayment exists when an assistance unit receives a TC payment that exceeds the amount the assistance unit was eligible to receive.

1. The Department shall pursue collection of all overpayments under A.R.S. § 46-213.
2. The Department shall send the recipient a notice of overpayment within 90 days of the date of discovery. The date of discovery is the date the FAA has all of the information necessary to accurately calculate a potential overpayment and writes an overpayment report to the Department's Office of Accounts Receivable and Collections (OARC).
3. If the FAA suspects that fraudulent activity caused the overpayment, the FAA shall refer the potential overpayment to the Department's Office of Special Investigations (OSI) for further investigation and potential prosecution. The overpayment report may be delayed pending the outcome of the OSI investigation.

4. The Department's failure to comply with the time-frame in subsection (2) shall not affect the validity or collection of the overpayment.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-134. Methods of Collection and Recoupment

A. When an overpaid assistance unit is currently receiving benefits, the Department shall seek recovery using one or more of the following repayment methods:

1. Offset against any amounts underpaid to the assistance unit and due in the current month;
2. Cash payments;
3. Reduction in current benefits in an amount not to exceed 10% of the assistance unit's monthly payment, unless the assistance unit desires a larger reduction; or
4. A combination of the above methods.

B. If the assistance unit is not receiving benefits, the Department shall pursue recovery by appropriate action under state law.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-135. Overpayment Calculation Date

When determining an overpayment amount, an assistance unit's overpayment period begins in one of the following:

1. The benefit month for which an initial TC payment is issued, when the assistance unit was ineligible for the amount of assistance paid; or
2. The first day of the second month following the month in which a change that caused the overpayment of the TC payment occurred.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-136. Completion of Treatment

When the Department of Health Services notifies the FAA that an individual receiving TC payments has completed treatment for active or suspected tuberculosis, that individual is no longer eligible for TC payments.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-137. Eligibility Review

A. The Department shall complete a review of all eligibility factors for each assistance unit at least once every six months. The first eligibility review shall begin in the fifth month following the first month of TC eligibility.

B. The Department shall mail, or otherwise transmit as provided by law, the recipient a notice 30 days prior to the Department's review date advising the recipient of the need for a review. The recipient shall file an application and complete a review interview by the date specified on the notice.

C. The Department shall schedule and conduct a review interview in the same manner as an initial interview, described in R6-13-106.

D. The Department shall verify the assistance unit's resources and income and any eligibility factors that have changed or are subject to change. The Department shall also verify with the state Tuberculosis Control Officer that the individual continues to have active or suspected tuberculosis and that the individual continues to receive treatment for that condition. The

Department may verify other factors if current verification is not in the case file.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-138. Requirement to Report Changes

- A.** The assistance unit shall report, verbally or in writing, all changes that have the potential to affect eligibility or the benefit amount within 10 days from the date the change becomes known. This includes changes to any of the following:
1. Residential address;
 2. Shelter expenses to establish the applicable A-1 or A-2 shelter cost factor used to complete the financial eligibility determination, described in R6-13-124;
 3. Sources and amounts of income, financial assistance, or any other assistance that provides help to the assistance unit members in meeting their needs;
 4. Disability and employability status of the TC payment recipient;
 5. Approval or denial of federal disability benefits by the Social Security Administration;
 6. Individuals residing in the home; and
 7. Types, sources, and amounts of resources.
- B.** The assistance unit shall provide any verification of changes requested in writing by the Department on or before the verification due date specified on the Department's request for verification, using the verification methods prescribed in R6-13-106.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-139. Agency Responsibilities for Processing Changes

- A.** The Department shall redetermine eligibility for TC benefits and, if applicable, recalculate a TC benefit amount when the assistance unit reports a change directly to the Department, when someone acting on behalf of the assistance unit reports a change, or if an automated system report reveals a change.
- B.** When a change results in either a decrease in the cash benefit or renders the assistance unit ineligible for TC payments, the Department shall effect the change within 10 days from the date the change was reported, when possible, using one of the following methods:
1. Reduce the benefit or terminate eligibility for the first possible month allowing time for notice of adverse action requirements prescribed in R6-13-141, without further verification, if there is sufficient and reliable information to effect the change; or
 2. Attempt to obtain verification by the 10th day from the date the change was reported when there is not sufficient information to effect the change without additional verification. The Department shall:
 - a. Send the assistance unit a written request for verification with a due date that is the 10th day from the date the verification is requested; and
 - b. Contact third parties to obtain the needed verification, when possible.
- C.** If the assistance unit fails to provide the requested verification by the due date and does not request assistance from the Department to obtain the verification, the Department shall terminate TC payments for the first possible month, allowing time for notice of adverse action requirements prescribed in R6-13-141.
- D.** When a reported change results in an increase in the cash benefit, the Department shall effect the increase only after the

change has been verified. The Department shall send the assistance unit a written request for verification with a due date that is 10 days from the date the Department mails the written request, or otherwise transmits the written request as provided by law.

1. When the assistance unit provides the requested verification on or before the due date, the Department shall increase the cash benefit for the first monthly payment issued after the date the change is reported.
2. When the assistance unit provides the requested verification after the due date, the Department shall increase the cash benefit for the first monthly payment issued after the date the verification is received.
3. When the assistance unit does not provide the requested verification, the Department shall not increase the cash benefit but shall continue issuing the current cash benefit amount.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-140. Reinstatement of Terminated Benefits

- A.** The Department shall reinstate terminated benefit payments within 10 calendar days when:
1. The Department terminated benefit payments in error,
 2. The Department receives a court order or administrative hearing decision mandating reinstatement, or
 3. The recipient timely files a request for fair hearing and requests continued benefits as provided in R6-13-146.
- B.** When a six-month review under R6-13-137 was not completed due to the termination of benefits, the Department shall conduct the review at the earliest opportunity following reinstatement.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-141. Notice of Adverse Action

- A.** A notice of adverse action shall contain:
1. The adverse action taken,
 2. The reason for the adverse action,
 3. The effective date of the adverse action,
 4. The name and telephone number of the Administration office to contact for additional information,
 5. The telephone number for free legal assistance, and
 6. The recipient's appeal rights.
- B.** Timely Notice of Adverse Action.
1. When the Department intends to reduce or terminate benefits, the Department shall provide the assistance unit with a timely notice of adverse action under this subsection, unless the reduction or termination is for one of the reasons in subsection (C).
 2. The Department shall mail the notice of adverse action by first-class mail, postage prepaid, or otherwise transmit the notice as provided by law, to the last known residential address for the assistance unit or other designated address for the assistance unit so that the Department can reasonably expect the assistance unit to receive the notice at least 10 days prior to the first day of the month in which the reduction or termination of benefits shall occur.
- C.** The Department may dispense with timely notice, but shall mail, first-class, postage prepaid, or otherwise transmit as provided by law, the notice of adverse action to the last known residential address for the assistance unit or other designated address for the assistance unit, so that the Department can reasonably expect the assistance unit to receive the notice no later

than the first day of the month in which the reduction or termination of benefits shall occur, when:

1. A recipient makes a written or verbal request for termination,
2. A recipient is ineligible because of admission to a facility where the recipient's needs are being met. This includes:
 - a. Incarceration,
 - b. Long-term hospitalization when the recipient is not expected to return to the home, and
 - c. Institutionalization in a skilled nursing care or intermediate care facility,
3. The recipient's address is unknown,
4. The Department has verified that another state has accepted the recipient for assistance, or
5. An administrative tribunal or court of law has found that the recipient committed an Intentional Program Violation (IPV).

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-142. Entitlement to a Hearing; Appealable Action

- A. An applicant or recipient who appeals an adverse action is entitled to request an administrative hearing to challenge the action as provided in this Article.
- B. An adverse action resulting from a uniform change in federal or state law is not appealable unless the Department misapplies the law to the person seeking the hearing.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-143. Computation of Time

- A. In computing any time period:
 1. "Day" means a calendar day;
 2. "Workday" means Monday through Friday, excluding Arizona state holidays;
 3. The Department does not count the date of the act, event, notice, or default from which a designated time period begins to run as part of the time period; and
 4. The Department counts the last day of the designated time period unless it is a Saturday, Sunday, or Arizona state holiday.
- B. The Department deems a document that the Department mailed as given to the addressee on the date mailed, or otherwise transmitted as provided by law, to the addressee's last known address. The Department presumes that the mailing date is the date shown on the document unless the facts show otherwise.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-144. Request for Hearing: Form; Time Limits; Presumptions

- A. A person who wishes to appeal an adverse action shall make a verbal or written request for a hearing to the FAA within 30 days of the date on the notice or letter advising the person of the adverse action. The FAA shall provide a form for this purpose and, upon request, shall help an appellant complete the form. If the person makes a verbal request for hearing, the FAA shall reduce the appeal and the stated reasons for the appeal to writing, record the date of the verbal request, and forward the request to the Office of Appeals.
- B. An appellant shall include the following information in the request for hearing:

1. Name, address, and telephone number of the individual subject to the adverse action;
 2. A description of the adverse action that is the subject of the appeal;
 3. The date of the notice of adverse action; and
 4. A statement explaining why the adverse action is unauthorized, unlawful, or an abuse of discretion.
- C. The Department shall process an appeal even if the request does not include all the information listed in subsection (B), as long as the request contains sufficient information for the Department to determine the identity of the appellant.
 - D. The Department deems a request for hearing filed on:
 1. The mailing date as shown by the postmark if the appellant sent the request by first-class mail, postage prepaid, through the United States Postal Service to the Department; or
 2. The date the Department actually receives the request, if not mailed as provided in subsection (D)(1).
 - E. A document is timely filed if the sender of the document can demonstrate that any delay in submission was due to any of the following reasons:
 1. Department error or misinformation,
 2. Delay or other action by the United States Postal Service, or
 3. Delay due to the appellant's changing mailing addresses at a time when the appellant had no duty to notify the Department of the change.
 - F. When the Office of Appeals receives a request for a hearing that the appellant did not timely file, the Office of Appeals shall schedule a hearing to determine whether the delay in submission is excusable, as provided in subsection (E).
 - G. An appellant whose appeal the Office of Appeals denies as untimely is entitled to petition for review of this issue as provided in R6-13-158.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-145. Family Assistance Administration: Transmittal of Appeal

- A. The FAA shall notify the Office of Appeals of a request for hearing within two workdays of receipt of the request.
- B. No less than 10 workdays before the scheduled hearing date, unless otherwise ordered, the FAA shall send the Office of Appeals and the appellant a prehearing summary. The prehearing summary shall include, at a minimum:
 1. The appellant's name,
 2. The appellant's Social Security number,
 3. The local office that issued the adverse action under appeal,
 4. A brief summary of the facts leading to the adverse action, and
 5. The legal or Administration policy basis for the adverse action.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-146. Stay of Adverse Action Pending Appeal

- A. The Department shall stay the implementation of the adverse action until the hearing officer renders a decision on the appeal, if the appellant makes a request to stay the adverse action within 10 days from the date the Department mails the notice of adverse action, or otherwise transmits the notice as provided by law, except in the following circumstances:

1. The appellant expressly waives the delay of adverse action,
 2. The adverse action is a result of a uniform change in federal or state law,
 3. The appellant is requesting continued benefits when the time period for which the Department has approved benefits has expired,
 4. The Department has denied the appellant's initial or renewal application,
 5. The appeal challenges an action that is not appealable according to R6-13-142(B),
 6. The appellant withdraws the request for hearing, or
 7. The appellant fails to appear for the hearing without good cause.
- B.** The Department shall extend the 10-day time period in subsection (A) if the appellant establishes good cause. Good cause includes any unanticipated occurrence that, in the discretion of the Department, made it impossible or unreasonable for the appellant to make the request as specified in subsection (A).

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-147. Hearings: Location; Notice; Time

- A.** The Office of Appeals shall schedule the hearing. The Office of Appeals may schedule a telephonic hearing or permit a witness, upon request, to appear telephonically.
- B.** Unless the parties stipulate to another hearing date, the Office of Appeals shall schedule the hearing no earlier than 20 days from the date the Department receives the appellant's request for hearing.
- C.** The Office of Appeals shall mail, or otherwise transmit as provided by law, a notice of hearing to all interested parties at least 20 days before the scheduled hearing date.
- D.** The notice of hearing shall be in writing and shall include the following information:
1. The date, time, and place of the hearing;
 2. The name of the hearing officer;
 3. A general statement of the issues involved in the case;
 4. A statement listing the parties' rights as specified in R6-13-152; and
 5. A general statement of the hearing procedures.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-148. Postponing the Hearing

- A.** A party may ask for postponement of a hearing by calling or writing the Office of Appeals and providing good cause as to why the Office of Appeals should postpone the hearing. Good cause exists if circumstances beyond the party's reasonable control make it unduly difficult or burdensome for the party or the party's counsel to attend the hearing on the scheduled date.
- B.** Except in emergency circumstances, the appellant shall ensure that the Office of Appeals receives the request for postponement at least five workdays before the scheduled hearing date. The Office of Appeals is entitled to deny an untimely request. Emergency circumstances mean circumstances:
1. Beyond the reasonable control of the party,
 2. That did not arise until after the five-day period, and
 3. That the party could not reasonably anticipate.
- C.** When the Office of Appeals reschedules a hearing under this Section, the Office of Appeals shall mail, or otherwise transmit as provided by law, the notice of rescheduled hearing at least 11 days prior to the date of the rescheduled hearing.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-149. Hearing Officer: Duties and Qualifications

- A.** An impartial hearing officer in the Office of Appeals shall conduct all hearings.
- B.** The hearing officer shall:
1. Administer oaths and affirmations;
 2. Regulate and conduct hearings in an orderly and dignified manner that avoids unnecessary repetition and affords due process to all participants;
 3. Ensure consideration of all relevant issues;
 4. Exclude evidence that is not competent, relevant, or material, or that is unduly repetitious from the record;
 5. Request, receive, and incorporate relevant evidence into the record;
 6. Subpoena witnesses or documents needed for the hearing upon compliance with the requirements of R6-13-151;
 7. Open, conduct, and close the hearing;
 8. Rule on the admissibility of evidence offered at the hearing;
 9. Direct the order of proof at the hearing;
 10. Upon the request of a party, or on the hearing officer's own motion, and for good cause shown, take action the hearing officer deems necessary for the proper disposition of an appeal, including the following:
 - a. Disqualify himself or herself from the case,
 - b. Continue the hearing to a future date or time,
 - c. Reopen the hearing to take additional evidence prior to the entry of a final decision,
 - d. Deny or dismiss an appeal or request for hearing in accordance with the provisions of this Article,
 - e. Exclude nonparty witnesses from the hearing room; and
 11. Issue a written decision resolving the appeal.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-150. Change of Hearing Officer; Challenges for Cause

- A.** A party may request a change of hearing officer as prescribed in A.R.S. § 41-1992(B) by filing an affidavit that shall include:
1. The case name and number,
 2. The hearing officer assigned to the case, and
 3. The name and signature of the party requesting the change.
- B.** The party requesting the change shall file the affidavit with the Office of Appeals and send a copy to all other parties at least five days before the scheduled hearing date.
- C.** A party shall request only one change of hearing officer unless that party is challenging a hearing officer for cause under subsection (E).
- D.** A party may not request a change of hearing officer once the hearing officer has heard and decided a substantive motion except as provided in subsection (E).
- E.** At any time before a hearing officer renders a decision, a party may challenge a hearing officer on the grounds that the hearing officer is not impartial or disinterested in the case.
- F.** A party who brings a challenge for cause shall file an affidavit as provided in subsection (A) and send a copy of the affidavit to all other parties. The affidavit shall explain the reason why the assigned hearing officer is not impartial or disinterested.
- G.** The hearing officer being challenged for cause may hear and decide the challenge unless:

1. A party specifically requests that another hearing officer make the determination, or
 2. The assigned hearing officer disqualifies himself or herself from the decision.
- H.** The Office of Appeals shall transfer the case to another hearing officer when:
1. A party requests a change as provided in subsections (A) through (D); or
 2. The hearing officer is removed for cause, as provided in subsections (E) through (G).
- I.** The Office of Appeals shall send the parties written notice of the new hearing officer assignment.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-151. Subpoenas

- A.** A party who wishes to have a witness testify at a hearing or to offer a particular document or item in evidence shall first attempt to obtain the witness or evidence by voluntary means. Department documents are available to the appellant as prescribed in R6-13-152(2).
- B.** If the party cannot procure the voluntary attendance of the witness or production of the evidence, the party may ask the hearing officer assigned to the case to issue a subpoena for a witness, document, or other physical evidence or to otherwise obtain the requested evidence.
- C.** The party seeking the subpoena shall send the hearing officer a written request for a subpoena. The request shall include:
1. The case name and number;
 2. The name of the party requesting the subpoena;
 3. The name and address of any person to be subpoenaed, with a description of the subject matter of the witness's anticipated testimony;
 4. A description of any documents or physical evidence the appellant desires the hearing officer to subpoena, including the title, appearance, and location of the item if the appellant knows its location, and the name and address of the person in possession of the item;
 5. A statement about the expected substance of the testimony or other evidence as well as the relevance and importance of the requested testimony or other evidence; and
 6. A description of the party's efforts to obtain the witness or evidence by voluntary means.
- D.** A party who wants a subpoena shall ask for the subpoena at least five days before the scheduled hearing date.
- E.** The hearing officer shall deny the request if the witness's testimony or the physical evidence is not relevant to an issue in the case or is duplicative.
- F.** The Office of Appeals shall prepare all subpoenas and serve them by mail, except that the Office of Appeals may serve subpoenas to state employees who are appearing in the course of their jobs, by regular mail, hand-delivered mail, electronic mail, or interoffice mail.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-152. Parties' Rights

The claimant and the Department have the following rights:

1. The right to request a postponement of the hearing as provided in R6-13-148;
2. The right to copy before or during the hearing any documents in the Department's file on the appellant and documents the Department might use at the hearing, except

documents shielded by the attorney-client or work-product privilege or as otherwise protected by federal or state confidentiality laws;

3. The right to request a change of hearing officer as provided in A.R.S. § 41-1992(B) and R6-13-150;
4. The right to request subpoenas for witnesses and evidence as provided in R6-13-151;
5. The right to present the case in person or through an authorized representative, subject to any limitations on the unauthorized practice of law in the Rules of the Supreme Court of Arizona, Rule 31;
6. The right to present evidence and to cross-examine witnesses; and
7. The right to further appeal, as provided in R6-13-158 and R6-13-160 if dissatisfied with a decision reached by the Office of Appeals.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-153. Withdrawal of an Appeal

- A.** An appellant may withdraw an appeal at any time prior to the time the hearing officer renders a decision.
1. An appellant may withdraw an appeal verbally, either in person or by telephone. The Department may record the audio of the withdrawal.
 2. An appellant may withdraw an appeal by signing a written statement expressing the intent to withdraw. The Department shall make a withdrawal form available for this purpose.
- B.** The Office of Appeals shall dismiss the appeal upon receipt of a withdrawal request signed by the appellant or the appellant's representative, or upon receipt of a statement of withdrawal made on the record when the hearing officer has accepted the withdrawal.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-154. Failure to Appear; Default; Reopening

- A.** If an appellant fails to appear at the scheduled hearing, the hearing officer shall:
1. Enter a default and issue a decision dismissing the appeal, except as provided in subsection (B);
 2. Rule summarily on the available record; or
 3. Adjourn the hearing to a later date and time.
- B.** The hearing officer shall not enter a default if the appellant notifies the Office of Appeals before the scheduled time of hearing that the appellant cannot attend the hearing because of good cause and still desires a hearing or wishes to have the matter considered on the available record.
- C.** A party who did not appear at a scheduled hearing date may file, no more than 10 days after a dismissal date, a request to reopen the proceedings. The request shall be in writing and shall demonstrate good cause for the party's failure to appear.
- D.** The hearing officer shall set the matter for a hearing to determine whether the appellant had good cause for failing to appear.
- E.** If the hearing officer finds that the party had good cause for failure to appear, the hearing officer shall reopen the proceedings and schedule a new hearing with notice to all interested parties as prescribed in R6-13-147.
- F.** Good cause, for the purpose of reopening a hearing, is established if the failure to appear at the hearing and the failure to timely notify the hearing officer were beyond the reasonable control of the nonappearing party. Good cause also exists

when the nonappearing party demonstrates excusable neglect for both the failure to appear and the failure to timely notify the hearing officer. “Excusable neglect” has the meaning applied to “excusable neglect” as that term is used in Arizona Rules of Civil Procedure, Rule 60(c).

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-155. Hearing Proceedings

- A. The hearing is a de novo proceeding. The Department has the initial burden of going forward with evidence to support the adverse action being appealed.
- B. To prevail, the appellant shall prove, by a preponderance of the evidence, that the Department’s action was unauthorized, unlawful, or an abuse of discretion.
- C. The Arizona Rules of Evidence do not apply at the hearing. The hearing officer may admit and give probative effect to evidence as prescribed in A.R.S. § 23-674(D).
- D. The Office of Appeals shall record all hearings. The Office of Appeals need not transcribe the proceedings unless a transcription is required for further administrative or judicial proceedings.
- E. The Office of Appeals charges a fee of 15¢ per page for providing a transcript. A party may obtain a waiver of the fee by submitting an affidavit stating that the party cannot afford to pay for the transcript.
- F. A party may, at his or her own expense, arrange to have a court reporter present to transcribe the hearing, provided that such transcription does not delay or interfere with the hearing. The Office of Appeal’s recording of the hearing shall constitute the official record of the hearing.
- G. The hearing officer shall call the hearing to order and dispose of any prehearing motions or issues.
- H. With the consent of the hearing officer, the parties may stipulate to factual findings or legal conclusions.
- I. Upon request and with the consent of the hearing officer, a party may make opening and closing statements. The hearing officer shall consider any statements as argument and not evidence.
- J. A party may testify, present evidence, and cross-examine adverse witnesses. The hearing officer may also take witness testimony or admit documentary or physical evidence on his or her own motion.
- K. The hearing officer shall keep a complete record of all proceedings in connection with an appeal.
- L. The hearing officer may require the parties to submit memoranda on issues in the case if the hearing officer finds that the memoranda would assist the hearing officer in deciding the case. The hearing officer shall establish a briefing schedule for any required memoranda.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-156. Hearing Decision

- A. No later than 60 days after the date the appellant files a request for hearing with the Department, the hearing officer shall render a decision based solely on the evidence and testimony produced at the hearing and the applicable law. The 60-day time limit is extended for any delay necessary to accommodate hearing continuances or extensions, or postponements requested by a party.
- B. The hearing decision shall include:
 1. Findings of fact concerning the issue on appeal,

2. Citations to the law and authority applicable to the issue on appeal,
 3. A statement of the conclusions derived from the controlling facts and law and the reasons for the conclusions,
 4. The name of the hearing officer,
 5. The date of the decision, and
 6. A statement of further appeal rights and the time period for exercising those rights.
- C. The Office of Appeals shall mail, or otherwise transmit as provided by law, a copy of the decision to each party’s representative or to the party if the party is unrepresented.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-157. Effect of the Decision

- A. If the hearing officer affirms the adverse action against the appellant, the adverse action is effective as of the date of the initial determination of adverse action by the Department. The adverse action remains effective until the appellant appeals and obtains a higher administrative or judicial decision reversing or vacating the hearing officer’s decision.
- B. If the hearing officer vacates, sets aside, or reverses the Administration’s decision to take adverse action, the Administration shall not take the action or shall reverse any adverse action taken unless and until the Appeals Board, under A.R.S. § 23-672, or Arizona Court of Appeals issues a decision affirming the adverse action.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-158. Further Administrative Appeal

- A. A party can appeal an adverse decision issued by a hearing officer to the Department’s Appeals Board as prescribed in A.R.S. § 41-1992(C) and (D) by filing a written petition for review with the Office of Appeals within 15 days of the mailing date, or the transmittal date when transmitted in a manner other than by mail, as provided by law, of the hearing officer’s decision.
- B. The petition for review shall:
 1. Be in writing,
 2. Describe why the party disagrees with the hearing officer’s decision, and
 3. Be signed and dated by the party or the party’s representative.
- C. The party petitioning for review shall mail a copy of the petition to all other parties.
- D. The Appeals Board is not obligated to have the proceedings of the hearing transcribed.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-159. Appeals Board

- A. The Appeals Board shall conduct proceedings in accordance with A.R.S. §§ 41-1992(D) and 23-672.
- B. Following notice to the parties, the Appeals Board may receive additional evidence or hold a hearing if the Appeals Board finds that additional information will help in deciding the appeal. The Appeals Board may also remand the case to the Office of Appeals for rehearing, specifying the nature of the additional evidence required or any further issues for consideration.

- C. The Appeals Board shall decide the appeal based solely on the record of proceedings before the hearing officer and any further evidence or testimony presented to the Appeals Board.
- D. The Appeals Board shall issue and mail, or otherwise transmit as provided by law, to all parties a final written decision affirming, reversing, setting aside, or modifying the hearing officer's decision. The decision of the Appeals Board shall specify the parties' rights to further review and the time for filing a request for review.
4. Concurrent assistance. An individual may apply for assistance from any available program but may not be an active recipient of assistance on more than one financial assistance program. However, a client may receive assistance concurrently on both the Tuberculosis Control (TC) and Aid to Families With Dependent Children (AFDC) programs.
5. Adding a person to an active AFDC case. A client who desires another person to be added to the person's active AFDC case must submit a written request. The effective date of the request is the date it is received in the local office.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-160. Judicial Review

Any party adversely affected by an Appeals Board decision may seek judicial review as prescribed in A.R.S. § 41-1993.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-161. Availability of TC Payments

The availability of TC payments is subject to budgetary restrictions.

Historical Note

New Section made by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

ARTICLE 2. APPLICATION AND CONTINUED ELIGIBILITY

R6-13-201. Application

A person requests assistance or service by submission of a signed written application, verified by the applicant's oath upon forms prescribed by the Department of Economic Security.

1. Unrestricted opportunity to apply. Any person who desires assistance shall be given unrestricted opportunity to apply and a courteous interview.
2. Maintenance of personal dignity. All activity concerned with the eligibility determination process shall be conducted in a manner which enables the applicant to maintain his personal dignity and integrity.
3. Application process. When a person expresses a desire to apply for assistance, the person shall be given an application and an information pamphlet. The person will then be interviewed by an Eligibility Worker and an official application will be completed.
 - a. The applicant shall be informed that the applicant must make an official application which shall be completed, dated, and signed by the applicant or the applicant's authorized representative.
 - b. A place where the application can be completed shall be made available for the applicant.
 - c. If necessary, the applicant shall be given assistance to fill out the application. The applicant may be represented and assisted by an individual of the applicant's choice if the applicant desires.
 - d. The effective date of application is the date it is received in the local office.
 - e. Each applicant will be given an explanation of the right to appeal any action or failure to act by the Department.
 - f. Each new application will be reported within one working day from the time it is received.
 - g. To be eligible for any assistance program other than EA, a client must have a locational address and furnish clear instructions as to how the client's home can be located.

Historical Note

R6-13-201 recodified from A.A.C. R6-3-201 effective February 13, 1996 (Supp. 96-1).

R6-13-202. Worker Responsibility

- A. Applications shall be decided upon within prescribed time limits except in unusual circumstances, in which instance the case record must show the cause for delay. Eligibility must be determined for SP, MAA and TC within 30 days; within 60 days for GA; and within 45 days for AFDC. If an application must pend beyond the prescribed time limit, the Department shall inform the applicant, in writing, of the reason for the delay and of the applicant's right to appeal.
- B. When an individual applies for assistance, the Eligibility Worker shall explain the functions, policies, programs and services of the Department. At the time of application and each redetermination, the Eligibility Worker shall also explain the penalties for withholding information, giving information, and fraud. The client shall be informed of the Department's responsibility to protect the confidential nature of information developed.
- C. The Eligibility Worker shall explain program eligibility requirements which must be verified.
- D. The Eligibility Worker shall explain resources available to the applicant, how the applicant has met basic needs in the past, and the reason the applicant needs assistance at this time. If applicable income exceeds the adjusted budgeted need, the assistance unit is ineligible for public assistance.
- E. Every AFDC applicant shall be informed that the applicant may apply for Social Services.

Historical Note

R6-13-202 recodified from A.A.C. R6-3-202 effective February 13, 1996 (Supp. 96-1).

R6-13-203. Home Visits

A home visit is mandatory prior to approval of an AFDC application and when redeterminations are made. On an Indian Reservation the home visit interview may take place at a location convenient to both the applicant and the Eligibility Worker.

1. A home visit may be made to any other time to obtain needed information.
2. An office visit can be arranged when necessary to develop referrals or obtain information.

Historical Note

R6-13-203 recodified from A.A.C. R6-3-203 effective February 13, 1996 (Supp. 96-1).

R6-13-204. Applicant and Recipient Responsibility

- A. An applicant for or recipient of assistance shall cooperate with the Department as a condition of initial and continuing eligibility. The applicant for or recipient of assistance shall:
 1. Give the Department complete and truthful information;
 2. Inform the Department of all changes in income, assets, or other circumstances affecting eligibility or the amount

- of the assistance payment within 10 days from the date the change occurs; and
3. Comply with all the Department's procedural requirements.

- B.** The Department may deny an application for assistance, reduce or terminate benefits, or change the manner of payment if the applicant or recipient fails or refuses to cooperate without good cause. However, the Department shall not impose such sanctions for failure to comply with a procedural requirement about which the Department has not advised the applicant or recipient in writing.

Historical Note

R6-13-204 recodified from A.A.C. R6-3-204 effective February 13, 1996 (Supp. 96-1).

R6-13-205. Authorizing Assistance

The Department shall decide, according to policies and rules, if the applicant is eligible for the assistance applied for and shall determine the amount of assistance and the date upon which it shall begin. The applicant shall be notified of the decision in writing.

1. Assistance for the first month of eligibility will be made by a PAAR Fund check for all programs except TC. A PAAR check will not be issued if the applicant is found ineligible for all retroactive months, and the warrant processing deadline for the applicant's first month of eligibility can be met.
2. A PAAR check, charged to Emergency Assistance, may be written to meet the immediate needs of applicants whose applications are pending for categorical assistance, provided they are U.S. citizens or aliens lawfully admitted for permanent residence.
3. No restriction may be placed upon the manner in which the recipient spends the recipient's grant.
4. If a person is added to an active AFDC case in accordance with R6-13-201(A)(5), and that person is eligible for retroactive payments, supplemental payment will be issued for all eligible months as far back as, and including, the month the request was received in the local office, but not for any prior month.

Historical Note

R6-13-205 recodified from A.A.C. R6-3-205 effective February 13, 1996 (Supp. 96-1).

R6-13-206. Disposition of Application

- A.** Approval. When all eligibility requirements have been verified, assistance will be approved and an approval letter will be sent to the applicant.
- B.** Denial.
1. When one or more points of ineligibility are found, assistance will be denied, and a denial letter will be sent to the applicant.
 2. All reasons for ineligibility found will be noted on the decision letter and reference made to the appropriate rules.
 3. An individual whose application has been denied may appeal within 15 days of the date of action.
- C.** Withdrawal. An applicant may withdraw the application at any time by written request. When an applicant voluntarily withdraws an application, the applicant's right to appeal is forfeited.
- D.** Other. An application may be disposed of if:
1. The applicant has filed a duplicate application for the same type of assistance.
 2. The applicant leaves the state prior to determination of eligibility.
 3. The applicant has moved and cannot be located.

4. The applicant dies before the application is processed.
5. The applicant refuses to provide information necessary to determine eligibility or correct grant amount.

Historical Note

R6-13-206 recodified from A.A.C. R6-3-206 effective February 13, 1996 (Supp. 96-1).

R6-13-207. Stopping, Suspending, or Changing the Assistance Grant

- A.** Whenever circumstances require a reduction, suspension, or stopping of the assistance grant, a decision letter will be mailed to the recipient. With the exceptions listed under subsection (C) below, the recipient will be given 10 days' notice prior to the date of the proposed action.
- B.** With the exceptions listed under subsections (C) and (D) below, if a recipient requests a hearing within the 10-day period, the proposed action will not be taken until the hearing decision is published.
- C.** In the following instances the 10-day advance notice is not required, but a decision letter must be mailed prior to the effective date of action.
1. The payee dies and, in AFDC cases, no emergency payee is available.
 2. The recipient requests termination in writing.
 3. The recipient is in an institution and ineligible.
 4. The recipient is placed in skilled nursing care, intermediate care, or long-term hospitalization.
 5. A recipient's address is unknown.
 6. A recipient has been accepted for assistance by another state, and this fact has been verified, or has become eligible for SSI and has received the recipient's first SSI benefit payment.
 7. An AFDC child is legally removed from the home or is voluntarily placed in foster care by the child's legal guardian.
 8. The sole issue is a change of state or federal law which requires automatic grant adjustments for classes of recipients.
 9. The recipient furnishes information in writing which results in suspension, reduction, or termination of assistance and the recipient is aware of the results.
- D.** The Department may deny or dismiss a request for a hearing as well as stop, suspend, or change the grant when:
1. An ES-WIN deregistration occurred because the client refused to accept employment or participate in WIN without good cause.
 2. The client has failed to request a hearing within the 10 days advance notification period.
 3. The sole issue is a change of state or federal law which requires automatic grant adjustments for classes of recipients.
- E.** The Department may stop, suspend, or change the grant when:
1. The request for a hearing has been withdrawn by the client in writing.
 2. The client or the client's representative failed to appear at the scheduled time of the client's hearing and has not requested rescheduling of the hearing.
- F.** A grant is suspended when there is a temporary period of ineligibility. Suspension shall not be used as a substitute for a case decision.
1. A suspended case is to be considered as an active case.
 2. Whenever eligibility is re-established, the grant will be resumed and a decision letter sent.
 3. No case will be suspended longer than three consecutive months. If ineligibility continues past the third month, the case must be closed.

4. A case can be closed for financial (income) ineligibility only after the third consecutive month of suspension, and no sooner.

G. If a hearing decision declares an improper denial or reduction of payment, the local office will authorize payments in compliance with the hearing decision.

H. If it is not possible to complete a redetermination because the recipient failed to keep a necessary appointment or supply required information, notification of proposed stop or suspension of the grant will be mailed.

Historical Note

R6-13-207 recodified from A.A.C. R6-3-207 effective February 13, 1996 (Supp. 96-1).

R6-13-208. Reserved

R6-13-209. Redetermination

Redetermination of eligibility for AFDC, GA, and TC is required every six months and every 12 months for SP and MAA.

1. The Eligibility Worker will do a case study prior to redetermination to assure that all eligibility requirements have been satisfied and the assistance grant has been correct since the last redetermination.
2. Recipients are the primary source of information regarding eligibility. If they are unable to obtain information, the Department will assist.
3. A redetermination is not complete until the eligibility of the members of the assistance unit is verified and recorded in the case record.

Historical Note

R6-13-209 recodified from A.A.C. R6-3-209 effective February 13, 1996 (Supp. 96-1).

R6-13-210. Reserved

R6-13-211. Recipients Absent from the State

- A.** To remain eligible for assistance, a recipient who leaves the state must file a statement of intent to return to Arizona and to retain Arizona residence and must also provide his current out-of-state address.
- B.** The grant will be mailed out of Arizona no longer than 90 days. However, if the reason for absence is a medical problem of the recipient or a member of his family, and this is confirmed in writing by the licensed physician providing the treatment, the period may be extended. No grant will be mailed outside the United States.
- C.** TC out-of-state payments must be authorized by the Department of Health Services.
- D.** If the recipient indicates intent to establish residence in another state, the recipient will be advised that Arizona will discontinue assistance effective the month following the one in which he leaves.

Historical Note

R6-13-211 recodified from A.A.C. R6-3-211 effective February 13, 1996 (Supp. 96-1).

R6-13-212. Effective Date of Payment

The first payment shall be for the month in which all eligibility requirements were met, regardless of when the determination is made, providing a signed application for assistance was on file on or before that month. In cases where payment dates fall in a prior fiscal year, payments can be made only if administrative adjustment funds are available.

Historical Note

R6-13-212 recodified from A.A.C. R6-3-212 effective February 13, 1996 (Supp. 96-1).

R6-13-213. Reserved

R6-13-214. Change in Case Status

A change in case status must be acted upon within five working days.

Historical Note

R6-13-214 recodified from A.A.C. R6-3-214 effective February 13, 1996 (Supp. 96-1).

R6-13-215. Supplemental Payments

Supplemental payments will be made only if:

1. The Department failed to act upon information known to it at the time of the payment discrepancy or acted incorrectly, or
2. A hearing decision so orders, or
3. A person is added to an active case, or
4. A new application has been approved and the assistance unit is eligible for retroactive payments.
5. A suspended grant is being resumed retroactively.

Historical Note

R6-13-215 recodified from A.A.C. R6-3-215 effective February 13, 1996 (Supp. 96-1).

R6-13-216. Case Record

The case record is the documentation of financial, social, and medical information upon which eligibility and grant amounts are determined.

1. All categorical program folders will be color-coded.
2. Case folders shall be uniform throughout the state to facilitate location of documents.

Historical Note

R6-13-216 recodified from A.A.C. R6-3-216 effective February 13, 1996 (Supp. 96-1).

ARTICLE 3. METHODS OF ELIGIBILITY DETERMINATION AND BUDGET PROCEDURES

R6-13-301. Expired

Historical Note

R6-13-301 recodified from A.A.C. R6-3-301 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 11 A.A.R. 617, effective August 31, 2004 (Supp. 05-1).

R6-13-302. Verification of Eligibility

Sources of information. For the purpose of establishing eligibility, information may be secured from the following sources:

1. The client. The client is the principal source of information and is responsible, with the help of the Eligibility Worker, to provide basic information and documentation.
2. The case record. Documented information contained in case records concerning clients previously known to the Department may be used as verification.
3. Collateral sources. If it is necessary to contact another party to obtain information, written permission may be required from the client. If the client refuses to give written permission to the Department to enable it to secure information necessary to establish eligibility or correct grant amount, the client's application will be denied or the client's grant suspended or terminated in accordance with R6-13-206(D)(1)(e) and R6-13-207(H).
4. Public records. Information from public records may be obtained without the client's permission.
5. Other offices of the Department. Information may be secured from other offices or agencies of the Department without the client's permission (unless specially restricted).

Historical Note

R6-13-302 recodified from A.A.C. R6-3-302 effective February 13, 1996 (Supp. 96-1).

R6-13-303. Verification of Age, Relationship, and Place and Date of Birth

- A. Whenever verification of age, relationship, or place or date of birth is required to establish eligibility, documentation should be obtained for the case record.
- B. Examples of documentation which may be used to assist in establishing eligibility include:
 1. Civil and hospital birth certificates and registrations;
 2. Delayed birth certificates and registrations;
 3. Selective service or discharge papers from military service;
 4. Baptismal certificates or church records of confirmation;
 5. Bible records, family registers, or genealogical records;
 6. Marriage certificates or licenses;
 7. U.S. census records;
 8. Passports;
 9. Indian tribal census rolls. The Department may obtain this information for the client;
 10. Insurance papers;
 11. Newspaper records;
 12. Citizenship and naturalization documents;
 13. Other legal or official documents which serve to establish age, relationship, and place or date of birth.
- C. It shall be the sole responsibility of the client to obtain citizenship and naturalization documents. He shall be required to pay all fees necessary to obtain any documentation.

Historical Note

R6-13-303 recodified from A.A.C. R6-3-303 effective February 13, 1996 (Supp. 96-1).

R6-13-304. Social Security Numbers

- A. Every person in an assistance unit is required to furnish the person's Social Security Number (SSN).
- B. If the person cannot furnish an SSN, either because it is unknown or one has never been issued, the person is required to apply for one. The Department shall assist the individual to complete the application for a Social Security Number.
- C. If an applicant/recipient for the AFDC, SP, or MAA programs refuses to comply with the enumeration process (the verification and issuance of SSN's), either by refusal to apply for a number or by refusal to reveal the applicant's or recipient's number or have the number verified, the applicant or recipient will be sanctioned by removal of the applicant's or recipient's needs from the grant for each month of noncompliance.

Historical Note

R6-13-304 recodified from A.A.C. R6-3-304 effective February 13, 1996 (Supp. 96-1).

R6-13-305. Residence

Residence must be verified when it is an eligibility requirement. A person who lives in Arizona voluntarily with the intention of establishing a home is considered a resident of this state.

1. Arizona residency is an eligibility requirement for all Assistance Programs except TC and EA.
2. A child is a resident of the state in which the child resides with a specified relative on a permanent basis. However, a child may attend school out-of-state and remain eligible as long as the child remains in the care and custody of a caretaker relative who is an Arizona resident.
3. An Arizona resident who leaves the state to accept U.S. Government employment, or become an inmate of a public institution, retains Arizona residency during the absence. If an Arizona resident enters the U.S. Armed

Forces, residency may be retained until 30 days after separation.

Historical Note

R6-13-305 recodified from A.A.C. R6-3-305 effective February 13, 1996 (Supp. 96-1).

R6-13-306. Citizenship

Except for the TC Program, a recipient of assistance payments must be a citizen of the United States, an alien admitted to the United States for permanent residence, or permanently residing in the United States under color of law.

1. A person who was born in the United States must provide documentation.
2. A person who was born in the United States must provide one or more of the following:
 - a. Certificate of Citizenship;
 - b. Valid United States Passport;
 - c. Consular Report of Birth or "Certificate of Birth";
 - d. Proof of marriage to a U.S. citizen prior to September 22, 1922, provided other evidence establishes that the person was a U.S. citizen by birth or was naturalized before September 22, 1922;
 - e. An Identification Card issued from a Foreign Service Post;
 - f. Alien Registration Cards;
 - g. Citizen's Identification Card
3. The Department shall not contact the Immigration and Naturalization Service on behalf of the client.

Historical Note

R6-13-306 recodified from A.A.C. R6-3-306 effective February 13, 1996 (Supp. 96-1).

R6-13-307. Expired**Historical Note**

R6-13-307 recodified from A.A.C. R6-3-307 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 11 A.A.R. 617, effective August 31, 2004 (Supp. 05-1).

R6-13-308. Reserved**R6-13-309. Transfer or Sale of Homestead, Real, or Personal Property**

A client must not have transferred or assigned real or personal property with the intent to render the client eligible or increase the client's need for assistance within five years prior to application or while a recipient.

1. Fair consideration.
 - a. Fair consideration received. If fair consideration was received for real or personal property sold or transferred, this will not adversely affect the client's eligibility and no inquiry will be made into the motive.
 - b. Fair consideration not received. If it is determined that a member of the assistance unit has refused or has not received fair consideration with intent to render the assistance unit member ineligible, starting from the month in which the transaction occurred, for as many months as the amount of the uncompensated value can be divided by the assistance unit's monthly unadjusted budgeted need.
2. Transfer of sale of homestead property.
 - a. Sale and reinvestment. If a client sells the client's homestead, the client will be given 90 days in which to reinvest the proceeds in another home. During that period the proceeds will not be counted as available income or as sets to meet need.

- i. If the proceeds are reinvested, any amount still remaining after the purchase of the second homestead will be considered as other assets and resources.
- ii. If, however, the client fails to reinvest the proceeds in another homestead within 90 days, at the end of that period the proceeds will be considered available assets and resources.
- b. Transfer for health reasons. A client may transfer homestead property with or without retention of life estate without adversely affecting his eligibility if it is determined that the property can no longer be used as a home because of health reasons.
- c. Evaluating life estate. The value of the life estate interest in a property will be determined by the appropriate instructions of this Article.
- D. Income from self-employment. Income after expenses which is received from sale of goods or services rendered through self-employment shall be considered as income available to meet need.
 - 1. Self-employed recipients of GA or AFDC will be given the scheduled cost of employment allowance for work expenses.
 - 2. However, an AFDC recipient may claim a higher work expense figure if he can furnish documentation to verify all income received and expenses claimed.
- E. Contributions from relatives, stepparents, other individuals, or non-charitable organizations.
 - 1. The first \$50 of money contributions received by the assistance unit from these sources in any given calendar month will be totally disregarded. However, any amount in excess of \$50 must be considered as available income.
 - 2. Commodity contributions and free services rendered shall not be evaluated or considered as income available to meet need. However: If the cost of an assistance unit's shelter is fully paid on an ongoing basis directly to the landlord or lienholder by another person, the contribution will not be considered as income, but the assistance unit will be considered as living rent-free.
 - 3. Contributions from a co-tenant for the purpose of rent-sharing shall be disregarded.

Historical Note

R6-13-309 recodified from A.A.C. R6-3-309 effective February 13, 1996 (Supp. 96-1).

R6-13-310. Receipt of Other Public Assistance

- A. A client may not receive public assistance from another state and from the state of Arizona concurrently.
- B. With the exception of the state Supplemental Payments Program (SSP), a client may not receive federal Supplemental Security Income (SSI) and assistance from the state of Arizona concurrently.
- C. With the exception of Aid to Families with Dependent Children (AFDC) combined with Tuberculosis Control (TC), an individual may not be an eligible recipient of assistance of more than one program.

Historical Note

R6-13-310 recodified from A.A.C. R6-3-310 effective February 13, 1996 (Supp. 96-1).

R6-13-311. Institutional Status

A person is ineligible for public assistance for each and every full calendar month in which the person is an inmate of a public institution. The only exception to this rule is the personal care allowance in the Tuberculosis Control (TC) program.

Historical Note

R6-13-311 recodified from A.A.C. R6-3-311 effective February 13, 1996 (Supp. 96-1).

R6-13-312. Reserved**R6-13-313. Sources of Income, Their Treatment, and Disregards**

- A. Proceeds received from sale of non-homestead real property or personal property.
 - 1. Such proceeds will not be considered as income, but as a conversion of assets.
 - 2. Such proceeds will be subject to the limitation of real and personal property and financial assets.
- B. Proceeds received from sale of homestead property. Such proceeds will be considered in the method established by rules of this Article concerning the sale and transfer of property.
- C. Income received from rentals, leases, and room and board.
 - 1. One-third of the income from the rental or lease of any property, real or personal, shall be counted as income available to meet need. A lower figure is allowable, provided the client fully documents all expenses.
 - 2. One-third of the total proceeds received from furnishing room or room and board shall be counted as income available to meet need. A lower figure is allowable, provided the client fully documents all expenses.
- D. Income from self-employment. Income after expenses which is received from sale of goods or services rendered through self-employment shall be considered as income available to meet need.
 - 1. Self-employed recipients of GA or AFDC will be given the scheduled cost of employment allowance for work expenses.
 - 2. However, an AFDC recipient may claim a higher work expense figure if he can furnish documentation to verify all income received and expenses claimed.
- E. Contributions from relatives, stepparents, other individuals, or non-charitable organizations.
 - 1. The first \$50 of money contributions received by the assistance unit from these sources in any given calendar month will be totally disregarded. However, any amount in excess of \$50 must be considered as available income.
 - 2. Commodity contributions and free services rendered shall not be evaluated or considered as income available to meet need. However: If the cost of an assistance unit's shelter is fully paid on an ongoing basis directly to the landlord or lienholder by another person, the contribution will not be considered as income, but the assistance unit will be considered as living rent-free.
 - 3. Contributions from a co-tenant for the purpose of rent-sharing shall be disregarded.
- F. Reserved.
- G. Dividends, interest, and royalties.
 - 1. Dividends or interest from stocks, notes, mortgages, and bonds, as well as all royalties, shall be considered income available to meet need. When any such assets are sold or cashed, the proceeds will be considered as converted assets in accordance with R6-13-313(A), and not as income.
 - 2. Interest on all U.S. Government savings bonds will be considered, along with the principal value, as an available asset and not as income. When cashed, the proceeds will be considered as converted assets in accordance with R6-13-313(A) and not as income.
 - 3. Interest on all savings accounts and other interest-bearing accounts will be considered, along with the principal, as available assets and not as income. Withdrawals from such interest-bearing accounts, as well as withdrawals from all non-interest-bearing accounts (such as checking accounts) will be considered as converted assets in accordance with R6-13-313(A), and not as income.
 - 4. Deposits made by any party not a member of the assistance unit into any savings, checking, or other account belonging to a member of the assistance unit, will be considered as income in accordance with the appropriate provisions of this Article.
- H. Income from provisions of foster care, day care, or house-keeping services.
 - 1. If the Department pays a person, either in part or in full, for provision of day-care or foster-care services, the entire payment, including that portion paid by the Department and that paid by the private individual or organization, will be totally disregarded as income.
 - 2. If a private individual or organization pays a person for providing foster or day-care services (including baby-sitting), but with no participation of the Department in the payment, the amount received will be considered as earned income subject to all appropriate disregards.
 - 3. If the Department pays a person for providing housekeeping services, either as a provider under Social Services Title XX, or as a provider to an eligible SP recipient as

- specified by R6-3-603(A)(3), the payment will be totally disregarded as income.
4. Payment for housekeeping services for which payment is not provided by the Department will be considered as earned income subject to all appropriate disregards.
- I. Social Security benefits.**
1. Referral to SSA. Every applicant or recipient should be screened for possible eligibility for Social Security benefits. Every client who could qualify for SSA benefits is required to apply for them within 30 days of notification of this requirement.
 2. Availability of SSA income.
 - a. The SSA benefit of an adult is to be considered as income available to the adult, to the adult's spouse, and to the adult's own natural or adoptive children.
 - b. The SSA benefit of a minor child is to be considered as sole and separate income to meet the needs of that child only.
 - c. If a person receives SSA and SSI concurrently, the person is ineligible for state assistance (except SP), and none of the person's income is available to the eligible members of the assistance unit.
- J. Veterans Administration benefits.**
1. Availability of VA income. VA benefits shall be considered as income available to meet the needs of the VA beneficiary and all the beneficiary's legal dependents (i.e., the spouse and natural or adoptive minor children).
 2. Referral to VA. If there is a veteran in the assistance unit who is disabled and claims the veteran does not receive benefits, or a dependent of a veteran who claims the veteran does not receive benefits, the veteran will be referred to the nearest VA office and required to apply for VA benefits within 30 days of notification of this requirement.
- K. Industrial Compensation benefits.**
1. Availability of IC benefits. All temporary or permanent Industrial Compensation benefits shall be considered as income available to meet the needs of the IC beneficiary and of all legal dependents. Legal fees withheld by attorneys handling IC claims cannot be disregarded.
 2. Referral to IC. If there is reason to believe that the client may be eligible for IC benefits, the client shall be referred to the Industrial Commission and required to apply for them within 30 days of notification of this requirement.
- L. Railroad Retirement benefits.**
1. Referral for RR benefits. An individual with 10 years or more of railroad employment has vested rights in Railroad Retirement benefits and may also be eligible for Social Security benefits. If it appears that a client may be eligible for Railroad Retirement benefits, the client shall be required to apply for them within 30 days of notification of this requirement.
 2. Availability of RR benefits. Railroad Retirement benefits shall be considered as income available to meet the needs of the RR beneficiary and of all the beneficiary's legal dependents.
- M. Unemployment Insurance benefits.**
1. Referral for UI benefits. If it appears that a client may be eligible for any type of Unemployment Insurance, the client will be required to apply for such benefits within 30 days of notification of this requirement. Various types of UI benefits include:
 - a. Unemployment Insurance (UI) administered by the Department,
 - b. Veterans' unemployment compensation (UCX) administered by the Department,
 - c. Federal employees' unemployment compensation (UCFE) administered by the Department,
 - d. Railroad unemployment benefits administered by Railroad Retirement offices,
 - e. Unemployment benefits administered by labor organizations and private insurance companies.
 2. Availability. UI benefits are available income to the UI beneficiary and to the beneficiary's legal dependents.
- N. Public and private retirement pensions and annuities.** The following types of benefits shall be considered as income available to meet need:
1. Federal, state, and local government retirement pensions;
 2. Pensions from private industry;
 3. Retirement benefits or annuities from insurance plans.
- O. Income received while attending Arizona Training Center for the Handicapped, Inc.** Income received by a client during evaluation, training, or rehabilitation at the Arizona Training Center for the Handicapped, Inc., shall be considered as available to meet need and as earned in a "sheltered workshop".
- P. Reserved.**
- Q. Child's sole and separate income.** Legally sole and separate income of a minor child, which is not otherwise disregarded or provided for in this Article, will be counted as income available to meet the needs of that child only. Child support income will be treated in accordance with Title IV-D regulations as specified in 6 A.A.C. 12, Aid to Families with Dependent Children.
- R. Bureau of Indian Affairs work-study benefits.**
1. Living expenses provided to the client under this program shall be considered as income available to meet need.
 2. However, educational expenses paid directly to this school or college are to be totally disregarded.
- S. Earned income from private or public employment.** Earned income from public or private employment shall be considered as available to meet the needs of the wage earner and of all the wage earner's legal dependents (i.e., of the spouse and of the natural or adoptive minor children).
- T. Earned "income-in-kind".** Goods, services, or rent reductions in exchange for services which are received as earned income-in-kind shall not be counted as income available to meet need. Rent reductions are income-in-kind. If a client performs services for a landlord in lieu of paying all or part of the client's rent obligation:
1. The value of the in-lieu rent will not be considered as available income, and
 2. The client will be entitled to an A-1 budget standard.
 3. The client, if certified disabled, will not be declared employable solely on the basis of performing such services.
- U. Income received as child support payments.** Child support shall be treated in accordance with Title IV-D regulations as specified in 6 A.A.C. 12, Aid to Families with Dependent Children.
- V. Reserved**
- W. Reserved**
- X. Reserved**
- Y. Reserved**
- Z. Types of income which are totally disregarded.**
1. Income earned by a child under age 14.
 2. Income earned by a child receiving AFDC who is either
 - a. A full-time student, whether working full- or part-time, or
 - b. A part-time student, providing the student is working only part-time. Thus:
 - c. If a part-time student is at the same time a full-time employee, the student's total earnings (less allow-

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- able disregards) shall be counted as income available to meet the student's needs.
3. The \$30 monthly income payment to WIN participants in institutional and work experience training.
 4. Training-related expense payments made to WIN participants.
 5. Judgment funds (per capita payments) paid to, or held in trust for, Indians as a judgment of the Indian Claims Commission or court of claims. If such funds are invested, any interest, dividends, etc., shall be considered as income available to meet need.
 6. Benefits paid to Alaskan natives under the Alaska Native Claims Settlement Act, to the extent they are exempt from taxation.
 7. Payments made to volunteers participating in the Volunteers in Service to America (VISTA) program.
 8. Payments made to volunteers participating in the Service Corps of Retired Executives (SCORE) program.
 9. Payments made to volunteers participating in the Active Corps of Engineers (ACE) program.
 10. Benefits received by persons over age 60 under the Nutrition Program for the Elderly, the Retired Senior Volunteer Program, the Foster Grandparent Program, and the Older Americans Community Service Program.
 11. Reserved
 12. Reserved
 13. Reserved
 14. Educational grants, loans, and scholarships:
 - a. Grants, loans, or assistance made or insured by the Commissioner of Education under the Higher Education Act for undergraduate study are to be totally disregarded. These include:
 - i. Work-Study Program assistance, including college work-study, as well as any income earned by the student while in these programs;
 - ii. National Direct Student loans (formerly National Defense Education Act loans), and Guaranteed Student loans;
 - iii. Job Corps income;
 - iv. Basic Educational Opportunity Grants (BEOG);
 - v. Supplementary Educational Opportunity Grants (SEOG);
 - vi. OASDI Benefits paid to or for a child age 18 to 21 which are conditioned upon regular attendance at a school, college, university, or in a course of vocational or technical training designed to enable the child to become self-supporting;
 - vii. That portion of a Veterans Educational Assistance Program Grant (G.I. Bill or other) which is for the student only. However, any portion for the student's dependents (family subsistence) is countable income.
 - b. For any other scholarship or educational grant (that is, one not made through the Commissioner of Education), that portion designed for tuition, books, student fees, and all other education-related expenses is to be totally disregarded. However, that portion, if any, designated to meet current living needs is to be considered as income available to meet need. Student loans will be totally disregarded.
 15. The "Bonus Value" of FNS food stamp coupons.
 16. The \$30 weekly incentive payment to participants in the Comprehensive Employment and Training Act (CETA) program.
 17. Payment received from the sale of real property for public purpose under Title II of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970. If such funds are invested, any interest, dividends, etc. shall be considered as available income.
 18. Charitable contributions from recognized charitable institutions or foundations.
 19. Commodity contributions and free services rendered.
 20. Reserved
 21. Reserved
 22. Vocational Rehabilitation Program (DVR) payments made as reimbursements for training-related expenses incurred by the client, as well as all other VR subsistence allowances, but not salary earned from VR-sponsored OJT or other VR-sponsored employment.
 23. The value of supplemental food assistance received under the Child Nutrition Act of 1966, and special food services for children under the National School Lunch Act.
 24. Any commercial loan from a bank or licensed loan company.
 25. Any governmental home-improvement loan.
 26. Tax refunds. Such refunds are to be treated as an available asset.
 27. Personal loans, if property documented, from friends, relatives, or others.

Historical Note

R6-13-313 recodified from A.A.C. R6-3-313 effective February 13, 1996 (Supp. 96-1).

R6-13-314. Determining Monthly Income; Best Estimate

- A. For each assistance unit, the Department shall calculate a best estimate of monthly income using the methods described in R6-13-314.01.
- B. The best estimate shall include income which the assistance unit has received or reasonably expects to receive in a benefit month and shall be based on the Department's reasonable expectation and knowledge of the assistance unit's current, past, and future circumstances.
- C. The Department shall include in its calculation all gross income from every source available to the assistance unit unless specifically excluded in this Article or by the federal Social Security Act.
- D. The Department shall convert income received more frequently than monthly into a monthly amount as follows:
 1. Multiply weekly amounts by 4.3,
 2. Multiply bi-weekly amounts by 2.15,
 3. Multiply semi-monthly amounts by 2,
 4. Convert daily wages to a weekly average and multiply by 4.3.
- E. The Department shall determine a new best estimate of income:
 1. At each review; and
 2. When there is a change in countable income of more than \$25 which is expected to:
 - a. Last beyond the month the change occurred, or
 - b. Result in an increase in benefits.

Historical Note

R6-13-314 recodified from A.A.C. R6-3-314 effective February 13, 1996 (Supp. 96-1).

R6-13-314.01. Methods to Determine a Best Estimate

- A. The Department shall determine a best estimate of monthly income for an assistance unit by the methods described in this Section.
- B. Anticipating income.

1. When using this method, the Department shall consider income the assistance unit actually receives and is reasonably certain to receive in a benefit month.
 2. The Department shall anticipate income for an assistance unit which:
 - a. Regularly receives income from the same source and in the same amount;
 - b. Receives or reasonably expects to receive income from a new source;
 - c. Receives or reasonably expects to receive income from a continuing current source but at a new rate of pay;
 - d. Receives income on a seasonal or intermittent basis; or
 - e. Has lost a source of income.
- C. Averaging income.**
1. When using this method, the Department shall add together income from a representative number of weeks or months and then divide the resulting sum by the same number of weeks or months.
 2. The Department shall average income for an assistance unit which receives income:
 - a. Irregularly, or
 - b. Regularly but from sources or in amounts which vary.
- D. Prorating income.**
1. When using this method, the Department shall average income over the period of time the income is intended to cover.
 2. The Department shall prorate income for an assistance unit which receives income which is intended to cover a fixed period of time.
 - a. When a person receives income pursuant to a fixed-term employment contract:
 - i. Income shall be counted in the month received, if received monthly or more often, throughout all months of the contract;
 - ii. Income shall be prorated over the number of months in the contract if payment is received before or during the time work is performed but not as specified in subsection(D)(2)(a)(i) above;
 - iii. Income shall be prorated over the number of months in the contract if payment is received upon completion of the work;
 - iv. For AFDC cases which fall within subsection (D)(2)(a)(iii) above, applicable earned income disregards shall apply as if the prorated amounts were received in each month of the contract. The resulting amounts for each month shall then be totaled and counted in the month received as a lump sum pursuant to 45 CFR 233.20(a)(3)(ii)(F) (October 1992), incorporated by reference and on file with the Office of the Secretary of State;
 - v. For the purpose of this subsection, the term “applicable earned income disregards” shall include those earned income disregards set forth in 45 CFR 233.20(a)(11) (October 1992), incorporated herein by reference and on file with the Office of the Secretary of State.
 - b. When a GA or TC benefit recipient who is attending a college, university, or other school with a semester or quarter system receives income from a non-excluded scholarship, deferred educational loan, or other educational grant, the income from such a

source shall be prorated over the number of months in the semester or quarter for which the income is intended.

Historical Note

R6-13-314.01 recodified from A.A.C. R6-3-314.01 effective February 13, 1996 (Supp. 96-1).

R6-13-315. Expired

Historical Note

R6-13-315 recodified from A.A.C. R6-3-315 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

R6-13-316. Expired

Historical Note

R6-13-316 recodified from A.A.C. R6-3-316 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

R6-13-317. Reserved

R6-13-318. Budgeting

The Department shall determine eligibility and compute the amount of the assistance for a benefit month based on the best estimate described in R6-13-314 of income and circumstances which will exist in that same month.

Historical Note

R6-13-318 recodified from A.A.C. R6-3-318 effective February 13, 1996 (Supp. 96-1).

R6-13-319. Consolidated Standards of Need

- A. Consolidated standards.** Grants for AFDC, GA and TC are computed by using one of two consolidated standards of need: The A-1 standard of the A-2 standard.
- B. The A-1 standard**
 1. The A-1 standard will be used for assistance units which have the obligation to pay, or do pay -- either in part or in full -- any of the following housing expenses:
 - a. Rent;
 - b. Room, or room and board (but not board alone);
 - c. Mortgage or other lien on homestead;
 - d. Property tax on homestead;
 - e. Any city, county, or state fee or tax on property used as residence (such as trailer parking permit or similar).
 2. The obligation pay, or the payment, must be at least in part cash (not solely in kind).
 3. The person who is obligated to pay, or who does pay, may be any member of the assistance unit, whether eligible or ineligible for the month. The definition of an assistance unit and its members is found in R6-13-320(F).
 4. The A-1 standard must also be used if:
 - a. The assistance unit resides in public housing under HUD Sections 8 or 23, or
 - b. The payee or his spouse is an SSI recipient.
- C. The A-2 standard.** The A-2 standard will be used for:
 1. Assistance units without any obligation to pay any of the housing expenses listed in subsection (B)(1) above; or
 2. Assistance units whose housing expense is paid only in-kind, with no part in cash; or
 3. When the housing expense is fully paid, on an ongoing basis, by a person not a member of the assistance unit, directly to the landlord or lienholder. Such payments will be considered ongoing if they have been so paid for at least three consecutive months.

Historical Note

R6-13-319 recodified from A.A.C. R6-3-319 effective February 13, 1996 (Supp. 96-1).

R6-13-320. Policies Applicable to All Grants

- A. The minimum assistance grant authorized is \$1.
- B. Grants will be made in whole dollar amounts and will be rounded upward to the next whole dollar amount.
- C. An SSI recipient and the recipient's needs, income, and resources shall not be considered in computing an AFDC, GA, or TC grant.
- D. Emergency assistance paid to an applicant in any given month shall be deducted from the assistance grant for that month.
- E. If the applicable income of an assistance unit meets or exceeds its adjusted need for that month, the assistance unit will be determined to be financially ineligible for assistance.
- F. Each assistance unit and program will be budgeted separately, regardless of the number of assistance units residing together.
 1. An "assistance unit" is defined as an applicant-payee plus all those persons for whom the applicant-payee can request and receive assistance in accordance with the "specified relative" provisions of R6-3-407.
 2. Whenever two or more persons eligible for assistance can be included in one single assistance unit and grant as defined above, two or more separate assistance units and grants cannot be authorized.

Historical Note

R6-13-320 recodified from A.A.C. R6-3-320 effective February 13, 1996 (Supp. 96-1).

R6-13-321. Computing the Assistance Grant

Factors determining grant amount. The following factors enter into a budget computation to determine eligibility and/or grant amount:

1. Status. The status of the assistance unit, which consists of:
 - a. Program. The program for which assistance is requested or received (AFDC, GA, or TC);
 - b. Persons. The total number of persons in the assistance unit whose eligibility is being considered;
 - c. Standard. The standard of need, determined by shelter-cost obligation (A-1 or A-2);
2. Need. The budgeted need of the assistance unit for a given month, as determined by its status (program, persons, and standard);
3. Percentage. The percentage factor, which converts budgeted need to adjusted need, and which depends on the program;
4. Income. The countable income of the assistance unit;
5. Disregards. Applicable disregards on countable earnings (cost of employment and the \$30+1/3 disregard);
6. Emergency assistance. Amounts of EA issued to the assistance unit: Deducted to determine payable grant amount for intake months only.

Historical Note

R6-13-321 recodified from A.A.C. R6-3-321 effective February 13, 1996 (Supp. 96-1).

R6-13-322. Expired**Historical Note**

R6-13-322 recodified from A.A.C. R6-3-322 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

ARTICLE 4. RESERVED**ARTICLE 5. RESERVED****ARTICLE 6. REPEALED**

Article 6, consisting of Sections R6-13-601 through R6-13-604, repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

R6-13-601. Repealed**Historical Note**

R6-13-601 recodified from A.A.C. R6-3-601 effective February 13, 1996 (Supp. 96-1). Section R6-13-601 repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

R6-13-602. Repealed**Historical Note**

R6-13-602 recodified from A.A.C. R6-3-602 effective February 13, 1996 (Supp. 96-1). Section R6-13-602 repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

R6-13-603. Repealed**Historical Note**

R6-13-603 recodified from A.A.C. R6-3-603 effective February 13, 1996 (Supp. 96-1). Section R6-13-603 repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

R6-13-604. Repealed**Historical Note**

R6-13-604 recodified from A.A.C. R6-3-604 effective February 13, 1996 (Supp. 96-1). Section R6-13-604 repealed by final rulemaking at 18 A.A.R. 1863, effective July 10, 2012 (Supp. 12-3).

ARTICLE 7. REPEALED

Article 7, consisting of Section R6-13-701, repealed by exempt rulemaking at 9 A.A.R. 3966, effective October 20, 2003 (Supp. 03-3).

R6-13-701. Repealed**Historical Note**

R6-13-701 recodified from A.A.C. R6-3-701 effective February 13, 1996 (Supp. 96-1). Section repealed by exempt rulemaking at 9 A.A.R. 3966, effective October 20, 2003 (Supp. 03-3).

Editor's Note: The following Article heading was amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

ARTICLE 8. SHORT-TERM CRISIS SERVICES

Editor's Note: The following Section was amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for

review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-801. Definitions

The definitions in A.R.S. § 46-241 and following definitions apply in this Article.

1. “Basic necessities” means the situations or possessions necessary to maintain a safe and healthy living environment, including shelter, food, and clothing.
2. “Child” means a person under the age of 18 years.
3. “Contract” means an executed agreement with specified terms and limits between the Department and a government agency or a private entity for the purposes of delivering goods or services for the Department for monetary reimbursement.
4. “Contract provider” means a public or private entity with which the Department has a contract to provide goods or services for recipients of short-term crisis services.
5. “Department” means the Department of Economic Security, Community Services Administration.
6. “Diagnosis” means an opinion rendered by a doctor of medicine, a doctor of osteopathy, or a psychologist certified by either the Arizona Board of Psychologist Examiners or by the Department of Education.
7. “Disabled person” means a person who has been diagnosed as having a physical or mental impairment which substantially limits one or more of that person’s major life activities.
8. “Elderly person” means a person 60 years of age or older.
9. “Federal Poverty Guidelines” means the national guidelines which designate the amount of income that signifies poverty, and which are issued by the United States Department of Health and Human Services and published in the *Federal Register*.
10. “Homeless person” means a person who lacks a fixed, regular, and adequate nighttime residence, or a person who has primary nighttime residence in a building used for temporary sleeping accommodations but does not include a person who is imprisoned or otherwise detained in a government facility under federal or state law.
11. “Household” means all adults and children who reside together in the same dwelling.
12. “Major life activities” means activities necessary to care for one’s self through performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, or working.
13. “Resident” means a person who dwells and intends to remain in Arizona.
14. “Self-sufficiency Diversion Option” means cash assistance option offered to certain TANF applicants pursuant to A.R.S. § 46-353.
15. “Short-term Crisis Services” means a benefit which is distributed in the form of vendor payments or warrants, issued on behalf of an eligible household, for the household’s basic necessities.
16. “TANF” means Temporary Assistance for Needy Families, which is assistance granted under section 403 of Title IV of the Social Security Act as it exists after August 21, 1996. (A.R.S. § 46-101(20)).
17. “Temporary sleeping accommodations” means a building that is publicly or privately operated for the purposes of providing overnight shelter to a homeless person or domestic violence victim and includes homeless shelters and domestic violence shelters.
18. “Unforeseen expenses” means living costs which were unexpected and cannot be avoided.

19. “Vendor agreement” means a written agreement between the Department and a provider of goods or services who has agreed to accept reimbursement from the Department on behalf of the short-term crisis services recipient.
20. “Work day” means Monday through Friday excluding Arizona state holidays.

Historical Note

R6-13-801 recodified from A.A.C. R6-3-801 effective February 13, 1996 (Supp. 96-1). Amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor’s Note: The following Section was amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor’s Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-802. Application Procedures

- A.** To apply for short-term crisis services, an applicant shall:
1. Participate in a face-to-face interview with an employee of the contract agency in the applicant’s geographic area;
 2. File a written application on a Department form with the contract agency; and
 3. Provide the contract agency with the information listed in subsections (C) and (D).
- B.** The completed application form shall contain the following information:
1. For the applicant and all household members:
 - a. Name, address, and telephone number;
 - b. Personal information, including citizenship, residency, date of birth, social security number, gender, and ethnicity; and
 - c. Gross monthly countable income as defined in R6-13-805;
 2. Relationship of all household members;
 3. The short-term crisis service the household is requesting and the reason services are needed; and
 4. For all household members age 16 and older, an employment history for 30 days preceding the date of application; and
 5. The applicant shall provide information regarding the household members’ application for short-term crisis services and TANF cash assistance during the 12 months preceding the date of application; and
 6. The applicant’s signature and date of application.
- C.** The applicant shall provide documentation of the employment history and countable income required by subsection (B)(1)(c) and (B)(4).
- D.** The contract provider shall close an incomplete application if the applicant does not provide all required information within five days after the application postmark date.
- E.** An applicant whose file has been closed and who later wants services shall submit a new application.
- F.** Within 15 work days of the date of receiving a completed application, the contract provider shall send the applicant written notification of eligibility for services.

Historical Note

R6-13-802 recodified from A.A.C. R6-3-802 effective February 13, 1996 (Supp. 96-1). Amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was repealed and the new Section was renumbered and amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-803. General Eligibility Requirements

- A. To be eligible for short-term crisis services, a person shall:
1. Reside in the state of Arizona;
 2. Have an emergent need that can be met by the provision of at least one of the types of assistance defined in R6-13-807; and
 3. Lack income and resources to meet the emergent need.
- B. The following persons are ineligible for short-term crisis services:
1. A Native American who resides on a reservation,
 2. A person being sanctioned by the TANF program, and
 3. A person receiving benefits under the self-sufficiency diversion option.

Historical Note

R6-13-803 recodified from A.A.C. R6-3-803 effective February 13, 1996 (Supp. 96-1). Section repealed; new Section R6-13-803 renumbered from R6-13-804 and amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was renumbered and the new Section was renumbered and amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-804. Financial Eligibility Requirements; Countable Income

- A. To be eligible for short-term crisis services, a person must be in a household that meets the following requirements on the date of application:
1. The household's total gross countable monthly income for the previous 30 days, including the day the application does not exceed 125% of the Federal Poverty Guidelines; or
 2. For households with an elderly or disabled person, the household's total gross countable income for the previous 30 days, including the day of the application does not exceed 150% of the Federal Poverty Guidelines.
- B. When determining financial eligibility, the Department shall include countable income of all household members except as provided in subsection (C). Countable income includes:
1. Earned income;
 2. Governmental cash benefits;
 3. Dividends over \$50 per month;
 4. Interest income over \$50 per month;
 5. Child support;
 6. Alimony;
 7. Net rental income;

8. Annuities;
 9. Royalties;
 10. Strike benefits;
 11. Workers' compensation;
 12. Unemployment insurance benefits;
 13. Monthly payment from real property sales;
 14. Proceeds from the sale of a house or car;
 15. Military allotments;
 16. Grants and scholarships that do not need to be repaid, excluding funds identified for tuition and books;
 17. Work-study money;
 18. Net gambling or lottery winnings;
 19. Lump sum payments;
 20. Mileage allowances; and,
 21. Cash gifts not specifically excluded in subsection (D).
- C. Countable income does not include:
1. The value of food stamps;
 2. Any portion of an education grant or scholarship used for tuition and books;
 3. Earned income of a child under 16 years of age;
 4. Cash gifts of \$50 or less per month per household member;
 5. Tax refunds;
 6. Non-cash benefits provided on behalf of household member but not paid directly in the name of the household member, including vouchers for food, clothing, or housing;
 7. Loans that need to be repaid;
 8. Money which a household member receives and uses for the care and maintenance of a person who is not a household member;
 9. Stipends from senior companion programs; and
 10. Other income not specifically listed as countable.

Historical Note

R6-13-804 recodified from A.A.C. R6-3-804 effective February 13, 1996 (Supp. 96-1). Section renumbered to R6-13-803; new Section R6-13-804 renumbered from R6-13-805 and amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was renumbered and the new Section was renumbered and amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-805. Emergent Need Eligibility Requirements

- In order to be eligible for emergency assistance, a person shall be in a household which is experiencing or which expects to experience:
1. Homelessness that was caused by one or more of the following:
 - a. Domestic violence;
 - b. Loss of income;
 - c. Unforeseen circumstances that increase the household's expenditures, making it impossible to meet budgeted expenditures without short-term crisis services; or
 - d. A condition that endangers the health or safety of a household member;
 - e. Other similar emergency situations.

2. Interruption of heating or cooling of the household's dwelling that was caused by:
 - a. Domestic violence,
 - b. Loss or of income,
 - c. Unforeseen circumstances that increased the household's expenditures making it impossible to meet the following months' budgeted expenditures without short-term crisis services,
 - d. A condition that endangers the health or safety of the household, or
 - e. Other similar emergency situations.

Historical Note

R6-13-805 recodified from A.A.C. R6-3-805 effective February 13, 1996 (Supp. 96-1). Section renumbered to R6-13-804; new Section R6-13-805 renumbered from R6-13-806 and amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was renumbered and the new Section was renumbered and amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-806. Types of Assistance; Duration

- A. The Department, through its contract providers, shall provide short-term crisis services to alleviate or prevent homelessness through payments for:
 1. Emergency shelter at homeless shelter facilities, hotels, or motels;
 2. Rent or rental deposits to move homeless families into permanent housing;
 3. Rent or mortgage payments for household that anticipate homelessness; or
 4. Special needs necessary to continue or secure employment when no other resources are available. "Special needs" include auto repair, dental work, and eyeglasses.
- B. The Department shall provide short-term crisis services to alleviate or prevent the loss of heating or cooling through payments for:
 1. Utility bill assistance;
 2. Rent when utilities are included;
 3. Utility deposits; or
 4. Repair or replacement of appliances needed for a safe and healthy living environment, such as water heaters, cooking stoves, microwaves, furnaces, refrigerators, evaporative coolers, and water or sewer systems.
- C. A household is eligible to receive short-term crisis services only one time in a 12-consecutive-month period. The contract provider agency shall determine what specific short-term crisis services to provide a household based on the information in the household's application.

Historical Note

R6-13-806 recodified from A.A.C. R6-3-806 effective February 13, 1996 (Supp. 96-1). Section renumbered to R6-13-805; new Section R6-13-806 renumbered from R6-13-807 and amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was renumbered and the new Section was renumbered and amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-807. Payments

- A. In a 12-month period, as described in R6-13-806(C), the Department payment on behalf of an eligible household shall not exceed the amounts listed in this Section.
 1. For emergency shelter at homeless facilities, no more than \$5,000.
 2. For utility assistance, the amount of the bill or \$500, whichever is less.
 3. For federally funded utility, repair or replacement and deposit, the actual cost or \$1,200, whichever is less.
 4. For state-funded utility repair, replacement, and deposit, the actual cost or \$600, whichever is less.
 5. For rent, rental deposits, or mortgage assistance, the actual cost or \$1,500 per household whichever is less.
 6. For special needs as described in R6-13-808(A)(4), the actual cost or \$500, whichever is less.
- B. The Department shall pay for all short-term crisis services through warrants to contract agencies or companies with which the contract agency has a written or verbal vendor agreement.

Historical Note

R6-13-807 recodified from A.A.C. R6-3-807 effective February 13, 1996 (Supp. 96-1). Section renumbered to R6-13-806; new Section R6-13-807 renumbered from R6-13-808 and amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was renumbered and a new Section adopted under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-808. Notification

The contract agency which the Department has a written contract with shall be responsible for sending the applicant a decision letter upon determination of eligibility.

Historical Note

R6-13-808 recodified from A.A.C. R6-3-808 effective February 13, 1996 (Supp. 96-1). Section renumbered to R6-13-807; new Section adopted effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

Editor's Note: The following Section was amended under an exemption from the provisions of A.R.S. Title 41, Chapter 6, pursuant to Laws 1997, Chapter 300, § 74(A). Exemption from A.R.S. Title 41, Chapter 6 means the Department did not submit notice of proposed rulemaking to the Secretary of State for publication in

the Arizona Administrative Register; the Department did not submit these rules to the Governor's Regulatory Review Council for review and approval; and the Department was not required to hold public hearings on this Section.

R6-13-809. Complaints, Hearings, and Appeals

- A. The following decisions are appealable:
1. Denial of eligibility,
 2. The amount of assistance awarded, and
 3. Termination or reduction of assistance.
- B. To appeal, an applicant shall file a written request for appeal with the contract agency, within 10 working days of the post-mark date of the letter denying eligibility or affecting benefits.
- C. The Department shall conduct appeals pursuant to the procedures set forth in R6-13-1208(G) through (N).

Historical Note

R6-13-809 recodified from A.A.C. R6-3-809 effective February 13, 1996 (Supp. 96-1). Amended effective August 4, 1997, under an exemption from the provisions of A.R.S. Title 41, Chapter 6 (Supp. 97-3).

ARTICLE 9. REPEALED

R6-13-901. Expired

Historical Note

R6-13-901 recodified from A.A.C. R6-3-901 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 11 A.A.R. 617, effective August 31, 2004 (Supp. 05-1).

R6-13-902. Repealed

Historical Note

R6-13-902 recodified from A.A.C. R6-3-902 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-903. Repealed

Historical Note

R6-13-903 recodified from A.A.C. R6-3-903 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-904. Repealed

Historical Note

R6-13-904 recodified from A.A.C. R6-3-904 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-905. Repealed

Historical Note

R6-13-905 recodified from A.A.C. R6-3-905 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-906. Repealed

Historical Note

R6-13-906 recodified from A.A.C. R6-3-906 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-907. Repealed

Historical Note

R6-13-907 recodified from A.A.C. R6-3-907 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-908. Repealed

Historical Note

R6-13-908 recodified from A.A.C. R6-3-908 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-909. Repealed

Historical Note

R6-13-909 recodified from A.A.C. R6-3-909 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-910. Repealed

Historical Note

R6-13-910 recodified from A.A.C. R6-3-910 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-911. Repealed

Historical Note

R6-13-911 recodified from A.A.C. R6-3-911 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-912. Expired

Historical Note

R6-13-912 recodified from A.A.C. R6-3-912 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

R6-13-913. Repealed

Historical Note

R6-13-913 recodified from A.A.C. R6-3-913 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-914. Repealed

Historical Note

R6-13-914 recodified from A.A.C. R6-3-914 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-915. Repealed

Historical Note

R6-13-915 recodified from A.A.C. R6-3-915 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-916. Repealed**Historical Note**

R6-13-916 recodified from A.A.C. R6-3-916 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-917. Repealed**Historical Note**

R6-13-917 recodified from A.A.C. R6-3-917 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-918. Expired**Historical Note**

R6-13-918 recodified from A.A.C. R6-3-918 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

R6-13-919. Repealed**Historical Note**

R6-13-919 recodified from A.A.C. R6-3-919 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-920. Repealed**Historical Note**

Former Rule 3-924; Former Section R6-3-920 repealed, new Section R6-3-920 adopted effective March 26, 1976 (Supp. 76-2). R6-13-920 recodified from A.A.C. R6-3-920 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-921. Repealed**Historical Note**

R6-13-921 recodified from A.A.C. R6-3-921 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

R6-13-922. Repealed**Historical Note**

R6-13-922 recodified from A.A.C. R6-3-922 effective February 13, 1996 (Supp. 96-1). Section repealed by final rulemaking at 18 A.A.R. 1175, effective June 30, 2012 (Supp. 12-2).

ARTICLE 10. RESERVED**ARTICLE 11. RESERVED****ARTICLE 12. OTHER PROCEDURES AND SERVICES****R6-13-1201. Confidentiality**

- A.** Confidential information to be safeguarded. No information concerning an applicant or recipient, whether contained in client case records, or in any other records of the Department, or known to employees of the Department, will be disclosed to any party except as specified in provisions of this Article.

Examples: Such information includes, but is not limited to, the names and addresses of clients or the amount of assistance provided; information related to the social and economic conditions or circumstances of a client; medi-

cal data, including diagnosis and past history of disease or disability concerning a client.

- B.** Release of information. The use or disclosure of information concerning a client shall be limited to the client, or to persons or agencies subject to confidentiality restrictions comparable to those of the Department and for purposes directly related to the administration of Public Assistance programs (such as establishing eligibility, determining the amount of the grant, providing services, taking legal actions on behalf of the Department or a federal public assistance agency, etc.).
- C.** Authorized parties: Unless specifically otherwise restricted, safeguarded information may be released to the following parties and only under the conditions here specified:
1. The client. An applicant or recipient may view the contents of the applicant's or recipient's case record at any time, provided a member of the Department is present during the examination of the case record. However, a dependent child may view the case record in which the child is included as a recipient only with the written permission of the child's parent or other caretaker relative.
 2. Employees of the Department. For official purposes, employees of the Department may view case records and transmit safeguarded information, without the client's written or verbal consent, to other employees of the Department.
 3. Social Security Administration. For official purposes, safeguarded information may be disclosed, without the client's written or verbal consent, to employees of the Social Security Administration.
 4. Other public assistance agencies. For official purposes, the Department may release, without the client's written or verbal consent, case-record information to the public assistance or welfare agencies of any other state.
 5. Title IV-D. Employees of the Department may release case record information, without the client's written or verbal consent, to county attorneys and to clerks of the courts for official purposes relating to Title IV-D child support enforcement.
 6. Other law-enforcement officials. The Department may release, without the client's written or verbal consent, information to authorized officials for the purposes of an investigation, prosecution, or criminal or civil proceedings conducted by or on behalf of the Department or a federal public assistance agency in connection with the administration of a public assistance program. For any other purposes, the client's written authorization is required.
 7. Contracted agencies. For official purposes, employees of the Department may give client information, with either the verbal or written consent of the client, to the social services components of agencies or institutions with which the Department has contractual agreements for the purpose of providing social, financial, or medical services.
 8. Subpoena of records. In the event of a subpoena for a client's case record or for a Department employee to testify concerning a client, or a request for information from a governmental authority, the courts, or a law enforcement official, attention will be called through proper channels of the policies, rules, and regulations against the disclosure of information.
 9. Disclosure to other parties. Safeguarded information relating to a client may be disclosed to other parties or agencies not here specified only with the client's specific written consent and authorization. An employee of the

Department must be present at all times whenever a client's case record is being viewed.

Historical Note

R6-13-1201 recodified from A.A.C. R6-3-1201 effective February 13, 1996 (Supp. 96-1).

R6-13-1202. Transfer of Cases Between Cost Centers

An individual is not subject to any residence restriction within the state and will be given agency services in the place where the individual chooses to make a home.

1. Change of address. When a recipient moves out of the jurisdiction of a cost center, that cost center is responsible for processing the change of address.
2. Pending applications. A pending application will not be transferred from one district to another but may be transferred between cost centers within the same district.
3. Transfer of an active case. Upon notification from the recipient of a change of address from the jurisdiction of one cost center to another, the cost center receiving the notification will take appropriate action.
4. Transfer of closed cases. When an individual applies for assistance and the interview reveals prior agency contact with another cost center, a written request will be made for transfer of the prior record with all other information available concerning the individual.
5. Transfer of suspended case. A suspended case may be transferred if the cost center making the request is aware of the case status.
6. Transfer transmittal. The case record being transferred will be identified by case number, SSN, and name, with a brief transmittal memorandum prepared in triplicate.

Historical Note

R6-13-1202 recodified from A.A.C. R6-3-1202 effective February 13, 1996 (Supp. 96-1).

R6-13-1203. State Warrants

Assistance grants are paid by warrants drawn on the State Treasury. Warrants are issued either directly to the eligible recipient or to a payee -- a protective payee, an emergency payee, a legal guardian, or to a vendor.

1. Missing or stolen warrants. Upon receipt of information that a recipient has not received the recipient's warrant, the recipient will be interviewed and required to complete a bond of indemnity.
 - a. When it has been determined that the warrant has been cashed, the Finance Division will send a photocopy of the signed warrant to the local office for a signature comparison. If the signature appears to be that of the recipient and the recipient denies signing the warrant, the matter will be referred to the Special Investigations Unit.
 - b. If the check apparently contains a forged signature, the recipient will complete an affidavit of forgery for issuance of another warrant.
2. Terminal warrants. Should a recipient die, only warrants signed by the recipient prior to death may be honored for payment by the State Treasurer. An exception is allowed when there is a legal guardian and the guardian can establish the recipient was alive on the date the warrant was received; in such case the guardian may endorse and cash the warrant.
3. Canceling or stopping warrants. The eligibility worker can request that a warrant not be mailed and be cancelled, or that payment of an already mailed warrant be stopped, if information received in the local office requires such action.

4. Mailing address for warrants. A recipient has the right to designate the address to which the recipient wishes the assistance warrant mailed, except that warrants may not be mailed to any Department of Economic Security office, or to the residence address of any employee of the Department. If the recipient has mail delivery to the place of residence, the recipient will be encouraged to use this address as the mailing address.
5. Clients signing by mark. Documents signed with an "X" or by a thumb print are acceptable if properly witnessed. The EW may serve as a witness.

Historical Note

R6-13-1203 recodified from A.A.C. R6-3-1203 effective February 13, 1996 (Supp. 96-1).

R6-13-1204. Guardianship

- A. Representation by legal guardian. A court-appointed (legal) guardian may legally represent the applicant and may apply for assistance and receive payment on behalf of the guardian's ward.
- B. Warrants. Warrants issued to legal guardians will be written in the following format: "John Smith, Guardian of John Doe." The guardian will endorse the warrant for cashing the same as it is written.

Historical Note

R6-13-1204 recodified from A.A.C. R6-3-1204 effective February 13, 1996 (Supp. 96-1).

R6-13-1205. Reserved

R6-13-1206. Overpayments

- A. The Department will pursue collection of all Aid to Families with Dependent Children (AFDC) overpayments discovered on October 1, 1981, or on any following date. No waivers of repayment will be granted on such cases.
- B. The Department will pursue collection of all AFDC overpayments discovered prior to October 1, 1981, and all overpayments in the General Assistance (GA) and Supplemental Payments (SP) Programs. On such cases waiver of repayment can be granted in accordance with A.R.S. § 46-213(B).

Historical Note

R6-13-1206 recodified from A.A.C. R6-3-1206 effective February 13, 1996 (Supp. 96-1).

R6-13-1207. Special Investigations Unit

Arizona Revised Statutes provide for the establishment of a Special Investigations Unit within the Department of Economic Security.

1. This unit shall perform special investigative duties at any office in the state as may be assigned. Examples of these duties are:
 - a. Establish liaison with the various law enforcement agencies.
 - b. Investigate cases involving fraudulent receipt of assistance payments or food stamps and to prepare such cases for presentation to the County Attorney. Where necessary, the Special Investigations Unit investigator shall act as complaining witness for the Department.
 - c. Make and report on other types of investigations referred to the unit such as concealment of all types of assets or income, possible secret marriage, non-legal union relationships where extra income could be involved, and required assistance in child welfare cases.
 - d. Other duties, as assigned.
2. Local office responsibilities

- a. Appropriate case records will be made available for examination by Special Investigations Unit representatives.
 - b. The local office will schedule interviews on cases selected by the Special Investigations Unit. If an applicant fails to keep the first appointment, a second appointment will be made. If the recipient fails to keep this appointment, without cause, the grant will be suspended.
 - c. The local office will refer all applications or resumes of active cases to the Special Investigations Unit which have been closed or suspended as a result of an SIU investigation.
 - d. If a hearing is requested in a case where an application was denied or assistance discontinued as a result of a Special Investigations Unit investigation, referrals for further investigation are to be made to the Special Investigations Unit when the hearing request is received. These referrals should use Hearing Priority I as the reason for the investigation report.
 - e. It is the responsibility of the local office Eligibility Worker to submit any new information regarding the case.
3. Special Investigations Unit Responsibilities
 - a. The Special Investigation Unit will notify the local office of cases selected by them for interview.
 - b. The Special Investigations Unit will attempt to complete their investigations and report back to the local office within 20 days of the referral date. When it is impossible to meet this deadline, a memo of explanation will be sent to the local office and the case removed from "Priority I" status.
 - c. Upon completion of an investigation a report will be sent to the local office which made the referral. Also, interview reports will be made when the Special Investigations Unit deems it necessary.
 4. Referrals to County Attorneys. All absent parent cases will be referred to County Attorneys by the Special Investigations Unit and not by the local office Eligibility Worker.
- a. Replies to letters shall be made using information available in the District Office and the local office.
 - b. Whenever there is contact between the state Office and the appellant regarding a complaint which could be an appealable matter, the appellant shall be reminded of the appeal procedure, and that the appellant need not pursue an informal complaint before filing an appeal.
- B. Basis for appeal. An appellant will be granted a hearing for any of the following reasons:
 1. Right to apply for assistance has been denied.
 2. Application is denied in whole or in part.
 3. Action on an application has not been taken by the Department within 45 days of the date of application for AFDC, 60 days for GA, or 30 days for SP or TC.
 4. Assistance is suspended, terminated, reduced, or otherwise withheld when such action has occurred as a result of an eligibility determination based on facts or judgment as applied to individual circumstances.
 5. The appellant disagrees that an overpayment has been made, or disagrees with the amount of the overpayment, or feels that the plan for repayment causes undue hardship, or the appellant's request for a waiver has been denied.
 6. A hearing will not be granted when either state or federal law requires automatic grant adjustments for classes of appellants, unless the reason for an individual appeal is incorrect grant computation or incorrect application of said law to the case.
 7. The Office of Appeals may deny or dismiss a request for hearing where a decision has been rendered after a WIDP hearing before the DES Appeals Board that a participant has, without good cause, refused to accept employment or participate in the WIDP program or has failed to request such a hearing after a notice of intended action for such refusal, or where it is abandoned.
 - C. Timely filing of appeal
 1. Unless a written request for hearing is filed within 10 calendar days of the decision letter mailing date for the AFDC, SP, TC, or GA programs, the Department shall proceed to take the proposed action.
 2. Except as otherwise provided by statute or by Department regulations, any appeal submitted to the Department shall be considered received by and filed with the Department:
 - a. On the date it is mailed, if transmittal via the U.S. Postal Service or its successor. The mailing date will be as follows:
 - i. As shown by the postmark; or
 - ii. As shown by the postage meter mark of the envelope in which it is received, if there is no postmark; or
 - iii. The date entered on the document as the date of its completion, if there is no postmark, or no postage meter mark, or if the mark is illegible.
 - b. On the date it is received by the Department, if not transmitted via the U.S. Postal Service, or its successor.
 3. The submission of any document not within the specified statutory or regulatory period shall be considered timely if it is established to the satisfaction of the Department that the delay in submission was due to Department error or misinformation, or to delay caused by the U.S. Postal Service or its successor.
 4. Any document mailed by the Department shall be considered as having been given to the addressee on the date it is mailed to the person's last-known address. The date

Historical Note

R6-13-1207 recodified from A.A.C. R6-3-1207 effective February 13, 1996 (Supp. 96-1).

R6-13-1208. Complaints, Hearings, and Appeals

- A. Complaints. Complaints may be filed only regarding matters not covered by Appeals, subsection (B) following. A complaint received relating to an appealable matter shall be treated as an appeal and considered filed as of the date the complaint was received.
 1. Treatment by local office. Verbal or written complaints shall be referred to the local office supervisor or to a person designated to act for the supervisor. The case will then be discussed with the assigned caseworker who shall attempt to work through the problem with the appellant, explaining the reason for the Department's action and attempting to resolve any difficulty relating to a possible appeal. If, after the conference is held at the local level, the appellant is still dissatisfied, an appointment may be made with the Program Manager or the person to whom responsibility for holding such conferences is delegated.
 2. Treatment by state Office. Complaints which are received in the state Office by telephone, or letter, or directly by visit of the appellant, may be handled by the state Office or referred to the Program Manager of the district in which the appellant resides.

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mailed will be presumed to be the date shown on the document, unless otherwise indicated by the facts. Computation of time shall be made in accordance with Rule 6(a) of the Rules of Civil Procedure, A.R.S. Volume 16

5. If appeal is timely, benefits shall not be reduced or terminated prior to a hearing decision unless due to a subsequent change in household eligibility and another notice of adverse action is received and not timely appealed.
 6. If an appeal is filed after 10 days for the AFDC, SP, TC, or GA programs but within 20 days of the decision letter mailing date, the local office shall proceed to take the proposed action, the Office of Appeals shall hear the appeal and, if ruling is in the appellant's favor, any resulting under payment of benefits shall be restored to the appellant by retroactive payments. If appeal is filed at any time later than 20 days, the Office of Appeals shall deny the request for hearing unless good cause is shown for untimely filing.
 7. The local office shall advise the appellant of any community legal services available and, when requested, shall assist the appellant in completing the hearing request.
- D. Appeal requests.** Appeals for a hearing must be in writing. They can be filed by the appellant or by the appellant's designated representative and must be filed with the local office.
1. The local office must forward all requests to the Office of Appeals within two working days of receipt.
 2. Emergency Assistance and Hardship Supplement appeals shall not be forwarded to the Office of Appeals but shall be handled by the local office supervisor or manager.
 3. Before it can schedule a hearing, the Office of Appeals must be in receipt of:
 - a. The copy of the form or correspondence on which the hearing is requested, and
 - b. The Case Decision Notice, and
 - c. Any other written request or correspondence from the client or the client's representative related to the appeal.
 4. Whenever a request is forwarded from the local office to the Office of Appeals, the forwarding action and date should be noted on the Case Actions Summary. The local office caseworker must complete all appropriate portions of hearing request forms requiring local office entries. A copy of the request will be retained in the appellant's case record. All documents concerning EA appeals will be retained in the case record.
- E. Disability determination.**
1. An appellant who bases an appeal on an adverse disability determination will be given the opportunity to have another medical examination prior to the hearing.
 2. If the appellant wishes a medical examination prior to the hearing, the local office shall authorize and schedule it. The examination may be with a doctor chosen by the Department or by the appellant, but only by a licensed physician, psychologist, or psychiatrist.
 3. At any time prior to issuing the decision, the Hearing Officer can authorize a special diagnostic evaluation by direct request to the District Medical Consultant, who will select an appropriate specialist.
 4. The Hearing Officer may consider new medical evidence without referral to the Medical Consultant or may request the Medical Consultant to provide an evaluation of the above new medical evidence to the Hearing Officer, giving the Medical Consultant's recommendation concerning the appellant's disability and employability status.
 5. The opinion of the District Medical Consultant shall be considered as expert evidence at the hearing but is not binding on the Hearing Officer.
 6. All medical, social, and vocational reports, including reports from the Division of Vocational Rehabilitation, the Social Security Administration, and the Veteran's Administration, which are relevant to the determination of disability or employability, shall be considered by the Hearing Officer. A finding of ineligibility for Social Security disability shall not be considered as a basis for ineligibility for General Assistance.
 7. The appellant's testimony as to the appellant's physical and mental condition or symptomatology shall be considered by the Hearing Officer.
- F. Group hearings.** The Department may respond to a series of individual requests for hearings by conducting a single group hearing.
1. Such hearings shall be limited to those cases in which the sole issue involved is one of state or federal law or policy.
 2. Each individual appellant shall be permitted to present the appellant's own case or be represented by the appellant's authorized representative.
 3. The individual appellant may withdraw from the group hearing and request and be granted an individual hearing.
- G. Notice of hearing**
1. Hearings shall be held at those regularly established hearing locations most convenient to the interested parties or at the discretion of the Hearing Officer. A hearing shall be scheduled not less than 10 nor more than 45 days from the date of filing of the request for hearing. The appellant shall be given no less than 10 days' notice of hearing, except that the appellant may waive the notice period or request a delay.
 2. The notice of hearing will inform the appellant of the date, time, and place of the hearing, the name of the Hearing Officer, the issues involved, and the appellant's rights to:
 - a. Present the case in person, by telephone, or through a representative; and
 - b. Copy any documents in the appellant's case file and all documents and records to be used by the agency at the hearing at a reasonable time prior to the hearings as well as during the hearing; and
 - c. Obtain assistance from the local office in preparing the case; and
 - d. Make inquiry at the local office about availability of community legal resources which could provide representation at the hearing.
 3. Notification shall be in writing, both to the appellant and to the local office on form US-037, Hearing Place Notice. If an appellant has good cause for being unable to attend a hearing once scheduled, the appellant must request a delay by either calling the local office or by writing directly to the Hearing Officer (P.O. Box 6123, Phoenix, Arizona 85005). The request must be received at least five working days prior to the hearing; otherwise the request may be denied. All scheduling is the responsibility of the Office of Appeals.
 4. The appellant, in lieu of a personal appearance, may appear by telephone or submit a written statement, under oath or affirmation, setting forth the facts of the case. The statement must be submitted to the Department with all witnesses and documents at the time and place specified in the notice of hearing and shall be prepared at such time to dispose of all issues and questions involved in the appeal.

5. The Hearing Officer may, on the Hearing Officer's own motion or at the request of any interested party upon showing of good cause, disqualify himself or herself, or continue the hearing to a future time, or reopen a hearing before a decision is final to take additional evidence.
 - a. If an interested party fails to appear at a scheduled hearing, the Hearing Officer may adjourn the hearing to a later date or may make a decision upon the record and upon such evidence as may be presented at the scheduled hearing.
 - b. If, within 10 days of the scheduled hearing, the applicant files a written request to reopen the proceedings and establishes good cause for failure to appear at the scheduled hearing, the hearing will be rescheduled. Notice of the time, place, and the purpose of any continued, reopened, or rescheduled hearing shall be given to all interested parties.
- H. Prehearing summary**
1. A prehearing summary of the facts and grounds for the action taken shall be prepared by the local office and must reach the Hearing Officer no less than 10 days prior to the hearing.
 2. A copy of the summary shall be made available to the appellant or to the appellant's representative prior to the hearing.
 3. The summary must be a typewritten report. Handwritten summaries are not acceptable. The summary must contain:
 - a. Appellant's name (and case name, if different); and
 - b. SSN (or case number, if different); and
 - c. Local office responsible; and
 - d. Brief summary of circumstances supporting the Department's action; and
 - e. Exact legal manual references used by the local office in its eligibility determination.
- I. Subpoena of witnesses**
1. The Hearing Officer may subpoena any witnesses or documents requested by the Department or appellant to be present at the hearing. The request shall be in writing and will state the name and address of the witness and the nature of the testimony. The nature of the witness' testimony must be relevant to the issues of the hearing; otherwise the Hearing Officer may deny the request.
 - a. The request for the issuance of a subpoena shall be made to give sufficient time -- a minimum of three working days -- prior to the hearing.
 - b. A subpoena requiring the production of records and documents must specifically describe them in detail and further set forth the name and address of the custodian thereof.
 2. The Office of Appeals will prepare all subpoenas. Service of the subpoena will be accomplished by certified mail, receipt requested.
- J. Review of file.** In the presence of a Department representative, the appellant or the appellant's authorized representative, or both, shall be permitted to review, obtain, or copy any Departmental record necessary for the proper presentation of the case.
- K. Conduct of the hearing.**
1. Hearings shall be conducted in an orderly and dignified manner.
 2. Hearings shall be opened, conducted, and closed by the Hearing Officer, who shall rule on the admissibility of evidence and shall direct the order of proof. The Hearing Officer will have the power to administer oaths and affirmations, take depositions, certify official acts, and issue subpoenas to compel the attendance of witnesses and the production of any documents the Hearing Officer deems necessary as evidence in connection with a hearing.
3. The hearing is a de novo proceeding. The burden is on the client to prove eligibility by a preponderance of evidence. The Department has the initial burden of going forward with presentation of evidence.
 4. Evidence not related to the issue shall not be allowed to become a part of the record.
 5. The Hearing Officer may, on his own motion or at the request of the appellant or Department representative, exclude witnesses from the hearing room.
 6. The worker, supervisor, or other appropriate person may be designated Department representative for the hearing.
 7. The appellant and Department representative may testify, present evidence, and cross-examine witnesses and present arguments.
 8. A full and complete record shall be kept of all proceedings in connection with an appeal. Such records will be open for inspection by the appellant or the appellant's representative at a place accessible to the appellant.
 - a. A transcript of the proceedings need not, however, be made unless it is required for further proceedings. When a transcript has been made for further proceedings, a copy will be furnished without cost to each interested party.
 - b. At the close of a hearing, all parties concerned are to vacate the hearing room and are requested to refrain from conferring about the hearing or the case with the Hearing Officer.
- L. Hearing decisions**
1. The hearing decision will be rendered exclusively on the evidence and testimony produced at the hearing, appropriate state and federal law, and Departmental rules governing the issues in dispute.
 2. The decision will set forth the pertinent facts involved, the conclusions drawn from such facts, the sections of applicable law or rule, the decision, and the reasons therefore. A copy of such decision, together with an explanation of the appeal rights, shall be delivered or mailed to each interested party and each party's attorney of record not more than 60 days from the date of filing the request for appeal, unless the delay was caused by the appellant.
 3. Decisions of the Hearing Officer shall bear the signature of that officer.
 4. In those cases where the local office must take additional action as a result of a decision, such action must be taken immediately.
 5. All decisions in favor of the appellant apply retroactively to the date of the action being appealed, or to the date the Hearing Officer specifically finds appropriate.
 6. When a hearing decision upholds the proposed action of reducing, suspending, or terminating a grant, any overpayment which results will be treated as a client-caused non-fraud overpayment.
 7. All hearing decisions will be made accessible to the public, subject to all the confidentiality restrictions set forth in A.R.S. § 41-1959.
 8. The decision of the Hearing Officer will be the final decision of the Department, unless a reconsideration is requested in accordance with subsection (N) below.
- M. Withdrawal of appeal.** An appeal may be withdrawn as follows:
1. Voluntary. An appellant may voluntarily withdraw his request for a hearing by completing and signing the

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proper Department form or by submitting a letter properly signed.

2. Default. An appellant is considered to have abandoned or involuntarily withdrawn a request for a hearing if the appellant fails to appear at a scheduled hearing and fails to request a rescheduled hearing within 10 days. A hearing will not be considered abandoned if the appellant provides notification up to the time of the hearing that the appellant is unable, due to good cause, to keep the appointment and that the appellant still wishes a hearing, or that the appellant wishes the matter considered on the record.

N. Appeals Board review.

1. An appellant may request the Appeals Board to review an adverse hearing decision within 10 calendar days after the decision was mailed or otherwise delivered to the appellant.
 - a. The request for further appeal must be in writing, signed, and dated. It should set forth a statement of the grounds for review and may be filed personally or by mail.
 - b. If the request for further appeal is filed within 10 days of the issuance of the original hearing decision, the local office must continue to withhold the original proposed negative case action until the Appeals Board decision is issued. If the Appeals Board decision is again adverse to the appellant, overpayments which result will be treated as a client-caused non-fraud overpayment.
2. After receipt of a request the Appeals Board will either:
 - a. Remand the case for rehearing, specifying the nature of any additional evidence required or issues, or both, to be considered; or
 - b. Grant the request and decide the appeal on the record.
3. The Appeals Board will promptly adopt a decision which shall be the final decision of the Department. A copy of the decision, together with a statement specifying the rights for judicial review, will be distributed to each interested party.

Historical Note

R6-13-1208 recodified from A.A.C. R6-3-1208 effective February 13, 1996 (Supp. 96-1).

R6-13-1209. Quality Control

The quality control system shall be operated by the state in accordance with state plan provisions to see that public funds expended within the AFDC program are used properly through locating unacceptable performance and ineffective policies.

1. Purpose. The quality control review system provides an administrative means, which meets federal specifications, to assume that assistance is provided in accordance to state plan provisions, and to hold the incidence of errors below pre-established tolerance limits. This is accomplished by:
 - a. Determining the extent to which those receiving assistance are eligible and that they receive payments in the amount to which they are entitled.
 - b. Reducing or eliminating incidences of eligibility and payment errors by:
 - i. Continuous review of statistically reliable state-wide samples of cases,

- ii. Periodic assembly and analysis of case findings to determine incidences and amount of errors,
- iii. Application of corrective action to reduce error rates.

Historical Note

R6-13-1209 recodified from A.A.C. R6-3-1209 effective February 13, 1996 (Supp. 96-1).

R6-13-1210. Interagency Inquiry

Any inquiries or communications from other agencies which are received in a local office shall be given a priority as determined by the information requested.

Historical Note

R6-13-1210 recodified from A.A.C. R6-3-1210 effective February 13, 1996 (Supp. 96-1).

R6-13-1211. Quality Assurance

Purpose. The Quality Assurance program (assistance programs bureau monitoring system) will be operated by the state to:

1. Identify the incidences of incorrect assistance payments eligibility determinations due to agency error,
2. Recommend and effect remedial action for correcting programmatic and operational deficiencies,
3. Generate and provide data on assistance payments eligibility error determinations to the administration of the Department for purposes of management control.

Historical Note

R6-13-1211 recodified from A.A.C. R6-3-1211 effective February 13, 1996 (Supp. 96-1).

R6-13-1212. Assistance to Individuals on Conditional Discharge from the Arizona State Hospital

The following guidelines will be applicable to individuals on conditional discharge from the Arizona State Hospital:

1. Conditional discharge. An individual who is on conditional release from the Arizona State Hospital is not to be considered an inmate of a public institution and may apply for and receive public assistance if all other eligibility requirements are met.
2. State Hospital Social Services responsibility. The hospital Social Services staff will arrange for and place the individual in a living arrangement which in their judgment meets the individual's needs. They will provide all necessary social and medical information to assist the Eligibility Worker in determining eligibility for public assistance.
3. Department of Economic Security responsibility. The Department of Economic Security will accept the application and other material supplied by the hospital Social Worker and will complete the processing of the application. The Department will further extend all available agency services to the recipient.

Historical Note

R6-13-1212 recodified from A.A.C. R6-3-1212 effective February 13, 1996 (Supp. 96-1).

R6-13-1213. Expired

Historical Note

R6-13-1213 recodified from A.A.C. R6-3-1213 effective February 13, 1996 (Supp. 96-1). Section expired under A.R.S. § 41-1056(E) at 15 A.A.R. 2104, effective August 29, 2009 (Supp. 09-4).

ATTACHMENT 6

PLACEHOLDER FOR Request for Application (RFA)

Scope of Work
Community Action Program Services

1.0 ADES Mission and Vision Statement

1.1 **ADES Mission** – The Arizona Department of Economic Security (ADES) promotes the safety, well-being, and self-sufficiency of children, adults, and families.

1.2 **ADES Vision** – Every child, adult, and family in the state of Arizona will be safe and economically secure.

2.0 Purpose

2.1 **Purpose Statement** – This contract provides broad-ranging programs and services in rural and urban areas that are intended to pursue the reduction of poverty, the revitalization of low-income communities and the empowerment of low-income families and individuals to become fully self-sufficient.

2.2 **Legal Authority** – Pursuant to Arizona Revised Statutes (A.R.S.) Section §41-1954 (A)(6) provides the Department the authority to contract and incur obligations within the general scope of its activities and operations subject to the availability of funds, and A.R.S. Section §41-1954 (A) (8), to make funding available to provide an array of services for the reduction of poverty, the revitalization of low-income communities and the empowerment of low-income families to become fully self-sufficient.

2.3 **Funding** – Fund sources that support the services include the Community Services Block Grant (CSBG), Temporary Assistance to Needy Families (TANF), Social Services Block Grant (SSBG), Low Income Home Energy Assistance Program (LIHEAP), and Neighbors Helping Neighbors (NHN). The use of the funding may be directed by statute or prescribed by federal requirements. Funding information is summarized below.

FUND SOURCE	ALLOWABLE ACTIVITIES	ADDITIONAL INFORMATION
Community Services Block Grant (CSBG) – Federal	Activities that are designed to assist low-income families and individuals to remove obstacles and solve problems that block the achievement of self-sufficiency, to secure and retain meaningful employment, attain adequate education, make better use of available income, obtain and maintain adequate housing, obtain emergency assistance, achieve greater participation from low-income communities, establish partnerships and strengthen relationships with community organizations, establish youth development programs, create linkages to fill gaps in services, and support innovative community and neighborhood based initiatives.	<p>Various objectives may include providing case management services to individuals and families in securing services from other agencies, or moving a family from crisis situations onto various stages of self-sufficiency.</p> <p>Funds are distributed to designated Community Action Agencies (CAAs) according to a funding formula that consists of the following elements:</p> <ul style="list-style-type: none"> (1) Number of persons in poverty in the geographic area served. (2) Number of persons unemployed in the geographic area served. (3) Five percent of the overall funds are distributed only to rural counties. (4) Funds are adjusted for tribes receiving CSBG dollars. <p>Any Contractor whose allocation does not reach a minimum of \$150,000 will receive an allocation of at least \$150,000. The Limited Purpose Contractor serving Migrant or Seasonal Farm Workers will receive two percent of the overall available CSBG funds.</p>
Temporary Assistance to Needy Families (TANF) – Federal	Case management services, emergency shelter, move-in assistance, eviction prevention, and utility assistance	<p>Funds are distributed to designated CAAs according to a funding formula that consists of the following elements:</p> <ul style="list-style-type: none"> (1) Number of persons in poverty in the geographic area served. (2) Five percent of the overall funds is distributed only to rural counties. <p>Any Contractor whose allocation does not reach a minimum of \$150,000 will receive an allocation of at least \$150,000. The Limited Purpose Contractor serving Migrant or Seasonal Farm Workers will receive two percent of the overall available TANF funds.</p>

FUND SOURCE	ALLOWABLE ACTIVITIES	ADDITIONAL INFORMATION
Social Services Block Grant -- Locally Planned (SSBG-LP) Federal	Contractor operations, case management, general transportation, and supportive services, for individuals and families.	Funding amounts are determined through the local planning process of Councils of Governments (COGs) - for General Transportation in Coconino, Yavapai, and Navajo Counties.
Low Income Home Energy Assistance Program (LIHEAP) Federal	Utility Assistance	Funds are distributed to designated CAAs and designated LIHEAP contractors according to a funding formula that consists of the following elements: (1) Number of persons in poverty in the geographic area served. (2) Number of persons unemployed in the geographic area served. (3) Five percent of the overall funds are distributed only to rural counties.
Neighbors Helping Neighbors (NHN) Local	Utility Assistance	Funds are distributed to designated CAAs and designated NHN according to a funding formula that consists of the following elements: (1) Number of persons in poverty in the geographic area served. (2) Number of persons unemployed in the geographic area served. (3) Five percent of the overall funds is distributed only to rural counties.

2.4 **Definitions** – See Exhibit A, as may be amended.

3.0 **Program Description**

3.1 **Community Services** (provided in every county in Arizona) – The primary objectives of this service are to strengthen community capabilities for planning and coordinating the use of a broad range of resources related to the elimination of poverty; the organization of a range of services so that these services may have a measurable and potentially major impact on the causes of poverty and help families and individuals become self-sufficient; the greater use of innovative and effective community based approaches to attacking the causes of poverty and of community breakdown; the maximum participation of the poor to empower them to respond to the unique problems and needs within their communities; and the broadening of the resource base of programs directed to the elimination of poverty.

3.2 **Case Management** (provided in every county in Arizona) – This service provides assistance to low-income families and individuals by providing case management services that are intended to assist the household in resolving crisis situations and move closer to self-sufficiency. Components of this service include Short Term Crisis Services, Utility Assistance Services, and any other program or service the Contractor deems necessary and appropriate, according to local community needs and priorities.

3.3 **General Transportation** (provided in Coconino, Navajo and Yavapai Counties only) – This service provides or assists in obtaining various types of transportation for specific needs. This service may include various types of transportation for employment, medical, training, or other supportive services with the exception of ambulance services. It may be provided by Contractor-operated vehicles or through vouchers for public transit.

4.0 **Notices**

4.1 The Contractor shall address all correspondence regarding this contract to:

Arizona Department of Economic Security
DAAS Contracts Unit
P. O. Box 6123-Site Code 950A
Phoenix, AZ 85005-6123

4.2 The Department will address all correspondence regarding this contract to the individual(s) identified in the letter of assurances (Attachment 9).

5.0 Reserve

6.0 Administrative Requirements – The Contractor shall:

6.1 Provide services that are culturally relevant and linguistically appropriate to the population served.
6.2 Comply with ADES Policy and Procedure Manuals as may be amended, and all applicable federal, state, and local laws, rules, and regulations as may be amended, including but not limited to the following:

6.2.1 COATES Human Services Reauthorization Act of 1998

6.2.2 Personal Responsibility and Work Opportunity Reconciliation Act of 1996

6.2.3 Stewart B. McKinney Homeless Assistance Act

6.2.4 ARS §46-241 - Short Term Crisis Services

6.2.5 ARS §46-701 - Utility Assistance

6.2.6 ARS §46-741 - Neighbors Helping Neighbors

6.2.7 ARS §46-140.01 - Verification of identity and citizenship and/or immigration status; and ARS §§1-501-1-502, regarding eligibility for federal and state or local public benefits.

6.3 Staffing and Security

6.3.1 Verify and assure that staff members and volunteers conflicts do not have conflicts of interest of in the provision of services and management of the programs.

6.3.2 Provide to all staff and volunteers timely and accurate information and appropriate training for the services they provide.

6.3.3 Maintain client/recipient confidential information in a secure location.

6.4 Equipment

6.4.1 Communicate with ADES electronically through email to convey Microsoft-based text and spreadsheet documentation, and access/utilize up-to-date information from ADES, U.S. Department of Health and Human Services (DHHS) Office of Community Services (OCS), and other web sites.

6.4.2 Utilize computer backup/recovery systems and procedures to ensure no loss of data required for ADES reports, and to ensure that there is no disruption or degradation of services provided.

6.4.3 Utilize a computer-based tracking system from which monthly, quarterly, and other reports may be generated.

6.4.4 Upon notification from ADES, directly input financial data into the DAAS Reporting System (DAARS) in accordance with system guides, as may be amended.

6.4.5 Upon notification from ADES, directly extract programmatic and financial reports from DAARS to monitor service delivery and financial expenditures.

6.5 Service Provision

6.5.1 Provide services directly, as allowed, or through subcontractors.

6.5.2 Collect and report required client data.

6.5.3 Maintain documentation that key staff has received appropriate training or hold appropriate certification/licensure in accordance with their job descriptions.

6.5.4 Maintain documentation that appropriate case management staff has received training on the requirements of ARS §46-140.01 and ARS §1-501 and 1-502 regarding eligibility for State and local benefits (this does not apply to tribal entities).

6.5.5 Maintain and utilize a policy and procedure manual that includes, at a minimum, detailed intake procedures, program description and eligibility requirements, client grievance procedures, non-discrimination policy, and confidentiality requirements.

6.5.6 Maintain client-focused facility locations which offer sufficient client waiting space or waiting rooms, adequate seating, and restrooms for program applicants at all permanent facility locations indicated on the Facility Location Chart (Attachment 1).

6.6 Networking

6.6.1 Develop partnerships and network with related programs to provide more immediate resolution to issues and expand resources.

6.6.2 Form local partnerships with community agencies to address the needs of low-income families and individuals.

- 6.6.3 Network with social service professionals within the community to expand their means to receive and disseminate information for each service.
- 6.6.4 Facilitate and participate in education, training, and information seminars, workshops, and conferences.
- 6.6.5 Participate in conference calls and attend meetings initiated by ADES to receive training or obtain information.

6.7 Subcontract Related Service Provisions

- 6.7.1 Document all costs associated with provision of contract services.
- 6.7.2 Provide administrative assistance, training and technical assistance to subcontractors in support of administrative functions as needed or requested by subcontractors.
- 6.7.3 Require that subcontractors are in compliance with applicable administrative directives and forms.
- 6.7.4 Provide technical assistance to subcontractors through procedural interpretation or by additional research upon request.
- 6.7.5 Develop and present initial and refresher training to subcontractor staff as deemed necessary by the Contractor, subcontractor or ADES.
- 6.7.6 Implement a coordinated service delivery system that establishes standards for service delivery and operations.
- 6.7.7 Hold periodic meetings with subcontractors to communicate new developments, discuss problems, share ideas for improvements and address other identified topic areas.
- 6.7.8 Utilize client grievance procedures, which respond timely and effectively to customer complaints.
- 6.7.9 Develop linkages between the coordinated service delivery system and other community resources.
- 6.7.10 Identify service gaps among client populations and develop and implement services or resources to meet identified needs.
- 6.7.11 Address client barriers to service.
- 6.7.12 Train appropriate personnel in the use and completion of the ADES EN-005 Application for Services form(s) or other ADES approved written or electronic form(s) as may be amended (Exhibit B).

6.8 Monitoring and Evaluation

- 6.8.1 Utilize instruments for monitoring/evaluating subcontractors' performance and compliance with Administrative Requirements stated in Section 6.0, as well as other requirements specified in service scopes of work.
- 6.8.2 Conduct at a minimum, on-site contract compliance monitoring of subcontractors at least every two years, to include, but not limited to, facilities, administrative and financial operations, and programmatic service delivery.
- 6.8.3 Establish and implement a process for service/performance improvement.
- 6.8.4 Participate in ADES evaluation studies, when required.

6.9 CSBG Organizational Standards

- 6.9.1 Participate in the implementation of the CSBG Organizational Standards and any training made available to assist with the implementation and compliance with the Standards as recommended by OCS and agreed to by CAAs and ADES, as may be amended (CAAs only).

7.0 General Reporting Requirements – The Contractor shall:

- 7.1 Submit the following items and all correspondence to:

Arizona Department of Economic Security
 DAAS Contracts Unit
 P. O. Box 6123-Site Code 950A
 Phoenix, AZ 85005-6123

- 7.1.1 A complete and accurate monthly Contractor's Invoice and Statement of Expenditures. Until such time as the Division of Aging and Adult Reporting System (DAARS) allows and requires contractors to enter expenditure information directly in the system. Note: Mileage will be reimbursed at no greater than the current federal mileage reimbursement rate. Exceptions may be requested in writing to, and considered for approval by, the Community Services Program Administrator.
- 7.1.2 Updated Cost Allocation Plan by October 1, 2015, if not provided prior to contract start date.
- 7.1.3 A correctly completed "Contractor's Equipment List" (Form FES-1000A), as may be amended, for all proposed equipment purchases costing \$5,000 or more to be purchased in whole or in part with ADES funds (Exhibit C).

- 7.1.4 Contractor's insurance certifications identified in the ADES Special Terms and Conditions, Insurance Requirements section.
- 7.1.5 Subcontractor's insurance certifications identified in the ADES Special Terms and Conditions, Insurance Requirements section.
- 7.1.6 By June 30 annually, a twelve month monitoring plan that includes at a minimum: which direct service subcontractors are to be monitored during the twelve month period beginning July 1 (of the same year), and for each: administrative, fiscal, and/or programmatic the specific service(s) to be monitored, and the target monitoring start and completion dates.
- 7.1.7 Programmatic reports as specified under each service (i.e., Community Services, Case Management, and General Transportation).

8.0 Items Provided by the Department – The Department shall provide:

- 8.1 Funding allocation information, as needed.
- 8.2 A Contractor's Invoice and Statement of Expenditures form.
- 8.2.1 Training on direct input of expenditure information into DAARS prior to functional implementation.

9.0 Community Services

9.1 Service Description

- 9.1.1 Services that provide a range of activities that have a measurable and major impact on the causes of poverty.

9.2 Service Information

- 9.2.1 The purposes of the CSBG are to provide assistance to local communities through a network of CAAs that pursue six national goals outlined in federal law:

1. Low-income people become more self-sufficient
2. The conditions in which low-income people live are improved
3. Low-income people own a stake in their community
4. Partnerships among supporters and providers of services to low-income people are achieved
5. Agencies increase their capacity to achieve results
6. Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments

- 9.2.2 These goals will be accomplished through activities that:

1. strengthen community capabilities for planning and coordinating the use of a broad range of resources related to the elimination of poverty, in a manner responsive to local needs and conditions;
2. organize a range of services so that these services may have a measurable and potentially major impact on the causes of poverty and help families and individuals become self-sufficient;
3. coordinate the greater use of innovative and effective community-based approaches to attacking the causes of poverty and of community breakdown;
4. seek maximum feasible participation of low-income residents to empower them to respond to the unique problems and needs within their communities; and
5. broaden the resource base of programs directed to the elimination of poverty.

9.3 Board Requirements – The Contractor shall:

9.3.1 Private, non-profit CAAs:

1. Select a Tripartite Governing Board that administers the services.
2. Seat a Tripartite Governing Board that is comprised as follows:
 - (i) One-third are elected public officials, holding public office on the date of selection.
 - (ii) Not fewer than one-third of members are persons chosen in accordance with democratic selection procedures adequate to ensure that these members are representative of low-income individuals and families in the neighborhood served and each representative of low-income individuals and families selected to represent a specific neighborhood within a community, resides in the neighborhood represented by the member.
 - (iii) The remaining members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.
3. Establish and follow written procedures identified in CSBG legislation to ensure the Tripartite Governing Board membership that conforms to the Tripartite Board requirements, including a description of the democratic selection process used in the appointment of members.

4. Establish and follow written procedures including board by-laws, to ensure the Tripartite Governing Board fully participates in the development, planning, implementation, and evaluation of the program and services to serve low-income communities, including but not limited to:
 - (i) active participation in the development and on-going implementation and evaluation of the Contractor Community Action Plan;
 - (ii) active participation in ensuring the completion of a Community Needs Assessment for the area served, and in reviewing the results of the Assessment to ensure responsiveness to any identified gaps in services; and
 - (iii) active participation in the identification and evaluation of Result Oriented Management and Accountability (ROMA) Performance Outcomes used in measuring the Contractor's effectiveness in achieving the six national goals.
5. Establish and follow written procedures that describe how a low-income individual, community organization, religious organization, a representative of low-income individuals that considers its organization and low-income individuals to be inadequately represented on the board, petition for adequate representation on the Board.
6. Conduct a minimum of four quarterly Tripartite Governing Board meetings per state fiscal year.
 - a. For public and quasi-governmental entities, meetings must conform to Arizona open meeting laws.
7. Maintain records of Tripartite Governing Board membership, election and selection process, and detailed meeting minutes.
8. Provide upon request and maintain documentation demonstrating Tripartite Governing Board members' training, including, but not limited to board member governance and advisory responsibilities, the purposes of the CSBG and other programs administered by the Contractor, and the requirement of the Board to participate in the ROMA System.
9. Maintain and provide, upon request, documentation of the democratic selection process utilized for low-income representatives.
10. Document and communicate to ADES efforts to fill any vacancies.
11. Address any vacancies within 90 days of each occurrence; provide upon request and maintain documentation of efforts to fill within 120 days of occurrence.

9.3.2 Public CAAs Advisory Board:

1. 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.
2. Maintain and provide, upon request, documentation of democratic selection process for low-income representatives.
3. Document and communicate to ADES efforts to fill any vacancies.
4. Address any vacancies within 90 days of each occurrence and provide and maintain documentation of efforts to fill within 120 days.

9.4 Community Action Plan Requirements – The Contractor shall:

9.4.1 Develop, and implement when approved by ADES, a Community Action Plan that includes:

1. a description of a needs assessment for the community served, that may be coordinated with community-needs assessments conducted for other programs;
2. contractors' objectives that are aligned with the six (6) national goals;
3. a description of the Contractor that includes its primary functions, responsibilities, organizational structure, and its association as part of a larger entity if appropriate;
4. a description of the service delivery system for services provided or coordinated with CSBG funds.
5. a narrative that demonstrates how the results of the Community Needs Assessment were used and incorporated into the Community Action Plan;
6. a description of how linkages will be developed to fill gaps in services through the provision of information, referrals, case management, and follow-up consultations;
7. a description of how CSBG funds will be coordinated with other public or private resources;
8. a description of how the Contractor will use CSBG funds to support innovative community and neighborhood based initiatives;
9. a description of how the Contractor will provide, on an emergency basis, for the provisions 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;

10. a description of how the Contractor will, to the maximum extent possible, coordinate programs and form partnerships with other agencies serving low-income residents, including religious organizations, charitable groups, and community-based organizations; and
11. a description of the ROMA performance outcomes and any related indicators that will be used to measure the Contractor's performance in achieving the six (6) CSBG national goals.

9.5 Results Oriented Management & Accountability (ROMA) Requirements – The Contractor shall:

- 9.5.1 Participate in the ROMA System as may be amended, for measuring performance and results of programs and services.

9.6 Program Reporting Requirements – The Contractor shall:

- 9.6.1 Submit the following items as may be amended, by the dates indicated, as may be amended, by the ADES Community Services Program Administrator through written notification to the Contractor:
 1. Annual Community Action Plan with a description of the Needs Assessment conducted for the community served, by June 30th of each calendar year. Contractor must utilize format specified by ADES (Exhibit D).
 2. Quarterly ROMA Outcomes Report (Exhibit E) by October 25, January 25, April 25 of each calendar year. The Contractor shall not submit a Fourth Quarter Report, but shall include fourth quarter data with the Annual CSBG IS Report. Contractor must utilize format specified by ADES (Exhibit F).
 3. CSBG Information System (IS) Report by October 1st of each calendar year (Exhibit F).
 4. Schedule of planned Board meetings for the next twelve months, by June 30 of each calendar year.
 5. Monthly Community Services Block Grant (CSBG) Contract Payment Verification Form (All CAAs), as appropriate (Exhibit G).
 6. Copy of complete and detailed minutes from Tripartite/Advisory Board meetings within 30 days of the meeting date.
 7. Current Organizational Chart by June 30 of each year.
 8. Current Agency Operations Spreadsheet by June 30 of each year.

9.7 Items Provided by the Department – The Department shall provide:

- 9.7.1 Formats for Annual Community Action Plan, Quarterly ROMA Outcomes Reports, and CSBG Final Reports.
- 9.7.2 Training on Community Action Plan preparation, Quarterly ROMA Outcomes Report preparation, and CSBG Final Reports.

10.0 Case Management

10.1 Service Description

- 10.1.1 A service or process that establishes a relationship with an individual or family in order to enhance their functioning and/or integration into the community. Appropriate services and/or benefits are identified, planned, obtained, provided, recorded, monitored, modified when necessary and/or terminated. This may include: assessment to determine their needs and eligibility when applying for/receiving services, assistance in finding necessary resources in addition to covered services to meet basic needs, assistance in obtaining entitlements, communication and coordination of care as well as follow-up of crisis contact or missed appointments.
- 10.1.2 This service specifically provides assistance to low-income families and individuals by providing case management services that are intended to assist the household in resolving crisis situations and move closer to self-sufficiency. Components of this service include Short Term Crisis Services, Utility Assistance Services, and any other program or service the Contractor deems necessary and appropriate, according to local community needs and priorities.

10.2 Service Information

- 10.2.1 The primary goal of this service is to assist low-income individuals and families in resolving crisis situations, and moving households closer to self-sufficiency.

10.2.2 All CAAs shall provide the following:

1. Case Management.
2. Short Term Crisis Services (STCS) that provide temporary assistance to persons at or below 125 percent of poverty, or 150 percent if elderly or disabled, who have an emergent need that cannot be met immediately with their own income or other resources.

The STCS program is funded with TANF and is available to low-income families with children. Benefits available through the STCS program include the following:

1. temporary shelter at hotels/motels for homeless persons;
 2. housing assistance for rent or mortgage assistance, move-in, and eviction prevention;
 3. utility assistance for families with a current or anticipated interruption of heating and/or cooling services; and
 4. special needs to secure or maintain employment.
- 10.2.3 **All CAAs and designated LIHEAP agencies shall provide the following:**
1. Utility Assistance Services that assist low-income households lower basic home energy bills with specific emphasis on those households with the lowest income and highest energy burden and that respond to problems related to the termination of heating and/or cooling. Utility Assistance is funded with Low Income Home Energy Assistance Program (LIHEAP), and Neighbors Helping Neighbors (NHN) funds. For LIHEAP eligibility, the household income limit is sixty (60) percent of the State Median Income (SMI) or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater, as may be amended. For NHN eligibility, the household income limit is 125 percent of the FPG except for individuals sixty years of age or older or disabled, where the household income limit is 150 percent of the FPG, as may be amended. The Contractor shall offer Utility Assistance Services as a component program under the overall Case Management Service structure. Benefits include:
 - (i) Utility payments or deposits for heating and cooling
 - (ii) Temporary emergency shelter (if needed due to energy related crisis)
 - (iii) Payment of water bills related to cooling (May 1 through October 1)
 - (iv) Rental assistance where utility payment is included in the rent
- 10.2.4 Tribal entities shall provide utility assistance funded with LIHEAP. Benefits include the following:
1. Utility payments or deposits for heating and cooling
 2. Payment of water bills related to cooling (May 1 through October 1)
 3. Rental assistance where utility payment is included in the rent
- 10.3 **Case Management Requirements (CAAs and designated LIHEAP agencies) – The Contractor shall:**
- 10.3.1 Develop and implement client oriented intake procedures which are responsive to households in crisis situations.
- 10.3.2 Develop and implement intake procedures responsive to applicants who are physically infirm and must apply for benefits without leaving their homes.
- 10.3.3 Develop in collaboration with the client, a case management plan that includes the following:
1. An assessment of the client's resources and needs
 2. Specific objectives that relate to the goal of alleviating any immediate crisis situation
 3. Eligibility for supportive services including but not limited to STCS and Utility Assistance, through direct provision or referral
- 10.3.4 Provide assessment of the household's needs in order to establish a case plan if necessary, and arrange for the provision of services designed to:
1. resolve any immediate crisis in a timely manner;
 2. assist the household in obtaining other benefits to which they may be eligible including but not limited to Home Weatherization, Appliance Repair or Replacement, Child Care, Earned Income Tax Credit, Supplemental Nutrition Assistance Program (SNAP), Social Security Benefits, and Utility Discount Programs; and
 3. arrange for training or counseling intended to remove obstacles and solve problems that block the achievement of self-sufficiency, including but not limited to financial literacy classes, budget counseling, energy conservation education, efforts intended to secure and maintain meaningful employment, attain an adequate education, obtain and maintain adequate housing and a suitable living environment, and to obtain emergency assistance to meet the immediate and urgent needs of the family or individual.
- 10.3.5 Complete a closing summary that includes, at a minimum, the services provided, the number and type of referrals made to alleviate the crisis situation.
- 10.3.6 Completion of the Self-Sufficiency Matrix, as may be amended located at: [insert link], for all case managed households in which a member of the household is eighteen (18) to fifty-nine (59) years of age, not disabled and not a full-time student, and is:
- a. unemployed and seeking earned income; or
 - b. employed and seeking to reduce barriers to maintain earned income; or
 - c. employed and seeking increased earned income and/or employment benefits; as may be amended.

10.3.7 Utilize report formats specified by ADES. All Contract Payment Verification Reports shall be submitted on a monthly basis with the Contractor's monthly invoice. As appropriate, revised Case Management and Contract Payment Verification Reports shall be submitted with Supplemental Invoices.

10.4 Short Term Crisis Services Requirements (CAAs only) – The Contractor shall:

10.4.1 Follow all eligibility and procedural policies set forth in the ADES/DAAS Short Term Crisis Services Policy Manual and related Policy Clarifications or Revisions and as amended.

10.4.2 Use the ADES EN-005 Application or other ADES approved electronic or written Application for Services form(s) as may be amended, in determining program eligibility (Exhibit B). Application forms shall be uniform at all service locations within a designated service area.

10.5 Utility Assistance Service Requirements (CAAs and designated LIHEAP agencies only) – The Contractor shall:

10.5.1 Follow all eligibility and procedural policies set forth in the most current ADES LIHEAP Policy and Procedure Manual as may be amended. Keep and maintain the Manual with all related policy clarifications, additions or amendments. Contractor shall keep the most current version available to staff at all times.

10.5.2 Use the ADES EN-005 Application or other ADES approved electronic or written application for Services form(s) as may be amended, in determining program eligibility (Exhibit B). Application forms shall be uniform at all service locations within a designated service area.

10.5.3 The Contractor must demonstrate and exercise the ability to pay all vendors on behalf of an eligible client.

10.5.4 Utilize an in-house system to make payments to utility companies.

10.6 Results Oriented Management & Accountability (ROMA) Requirements (CAAs only) – The Contractor shall:

10.6.1 Participate in the Results Oriented Management and Accountability system for measuring performance and results of programs and services.

10.6.2 Participate in a statewide "ROMA Advisory Committee" to identify standardized performance indicators for the statewide Community Action Network.

10.7 Program Reporting Requirements – The Contractor shall:

10.7.1 Utilize and maintain a functional database system in which programmatic data shall be stored and reports submitted to ADES. An agreed upon data bridge from an existing data system may be utilized if a collective database system is used by Community Action Program Services contractors. All other reports such as, payment verification forms and narratives information shall be provided on the forms required by this contract, or as directed by ADES.

10.7.2 Submit the following reports as may be amended, for the timeframes indicated, as may be amended by the ADES Community Services Program Administrator through written notification to the Contractor:

1. Monthly Case Management Report by the 25th of each month (All CAAs and designated LIHEAP agencies) (Exhibit H1, H2).
2. Tribal LIHEAP Monthly Report (Tribal entity only) (Exhibit I).
3. Social Services Block Grant Annual Report (All CAAs and designated LIHEAP agencies) (Exhibit K) by August 31st of each calendar year.
4. Quarterly ROMA Outcomes Report (All CAAs) (Exhibit E).
5. Monthly Short Term Crisis Services (STCS) Contract Payment Verification Form (All CAAs) (Exhibit L).
6. Monthly Low Income Home Energy Assistance program Contract Payment Verification Form (All CAAs and designated LIHEAP Contractors) (Exhibit M).
7. Monthly Community Services Block Grant Contract Payment Verification Form (All CAAs), as appropriate (Exhibit G).
8. Monthly Neighbors Helping Neighbors Contract Payment Verification Form (All CAAs), as appropriate (Exhibit N).
9. LIHEAP Leveraging Report (Exhibit Q), annually by October 15.
10. LIHEAP Annual Household Report (Exhibit J, Estimated Report by August 15 and Final Report by October 15, as may be amended).
11. Where feasible and within appropriate timelines and resources, provide LIHEAP data as requested, until federal reporting requirements are finalized.

10.8 Items Provided by the Department – The Department shall provide:

- 10.8.1 The following report formats as may be amended by the ADES Community Action Program Administrator through written notification to the Contractor: Case Management Monthly Report, Annual SSBG Report, and Quarterly ROMA Performance Outcomes Reports.
- 10.8.2 Training on completing the Case Management Monthly Report, Quarterly ROMA Outcomes Report preparation, Short Term Crisis Services Program, and Low Income Home Energy Assistance Program.
- 10.8.3 Short Term Crisis Services Policy Manual, as may be amended.
- 10.8.4 Low Income Home Energy Assistance Program Policy and Procedure Manual. (https://www.azdes.gov/uploadedFiles/Aging_and_Adult_Services/Community_Services_Unit/LIHEAP_Policy_Manual_SF14.pdf).

11.0 General Transportation (Coconino, Yavapai and Navajo Counties only)

11.1 Service Description

- 11.1.1 This service provides or assists in obtaining various types of transportation for specific needs.
- 11.1.2 This service may include various types of transportation for employment, medical, training, or other supportive services, with the exception of ambulance services. Service to assist eligible individuals and households with mobility needs for various purposes such as employment, medical and/or training reasons when they do not have any other means of transportation is also included. Services may be provided using contractor-operated vehicles and/or through vouchers for public transit.

11.2 Service Information

- 11.2.1 The goal of this service is to provide or arrange for transportation for eligible individuals of all ages and abilities in order to access services or obtain medical care or employment, (e.g., medical appointments or employment-related training interviews). Case managers typically assist clients to access transportation to help increase or maintain client self-sufficiency.
- 11.2.2 Services in Coconino County are to assist elderly and/or persons with physical disabilities to remain as independent as possible.
- 11.2.3 Services in Yavapai County are to assist persons in accessing, employment, social services, medical and basic needs.
- 11.2.4 Services in Navajo County are to assist persons in accessing, employment, social services, medical and basic needs.

11.3 Service Requirements – The Contractor shall:

- 11.3.1 Contractors that transport clients:
 - 1. Maintain valid license plates on vehicles used to transport clients.
 - 2. Utilize vehicles that meet current federal, state and local safety and maintenance, standards, including vehicles for individuals with special needs, where applicable.
 - 3. Maintain logs on all vehicles used for the transportation of clients.
 - 4. Utilize paid and/or volunteer drivers that:
 - (i) have no history of felony convictions;
 - (ii) possess a valid State of Arizona Class D Operators Driver's License for vehicles up to fifteen (15) passengers;
 - (iii) possess a valid State of Arizona Class B Commercial Driver's License with a passenger endorsement for vehicles over fifteen passengers, such as a bus;
 - (iv) have a clean driving record with no suspensions within the past year;
 - (v) are at least eighteen years of age; and
 - (vi) pass a physical prior to providing transportation service to clients and pass a physical at least every two years.
 - 5. Require volunteers who provide transportation to carry a Contractor/Company Identification Card.
 - 6. Assist clients in entering and exiting the vehicle as needed.
 - 7. Transport clients to scheduled appointments on time and safely.
 - 8. Utilize vehicles that have seat belts for every occupant.
 - 9. Require drivers to verify all occupants utilize seatbelts during transport.
 - 10. Track the beginning and ending odometer readings of Contractors' vehicles on days when used to transport clients, and identify the clients/households served on each date.
- 11.3.2 Contractors that arrange transportation for clients shall:
 - 1. Make arrangements for client transportation through public or private providers.
 - 2. Make transportation arrangements for clients to arrive at scheduled appointments on time and safely.

11.4 **Program Reporting Requirements – The Contractor shall:**

11.4.1 Submit the following report as may be amended, for the timeframes indicated as may be amended, by the ADES Community Services Program Administrator through written notification to the Contractor:

1. Monthly Transportation Report to include at a minimum: the number of clients served, the number of one-way trips (e.g., from client's home to client's work), total number of miles driven to transport clients, and results of any client satisfaction research.

ATTACHMENT 8

PLACEHOLDER FOR DES Single Audit Policy

ATTACHMENT 9

PLACEHOLDER FOR Sub-recipient Contract Monitoring

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

Community Services Administration

Income Thresholds for Community Action Program Services - Effective July 1, 2016 - June 30, 2017

Federal Poverty Guidelines (FPG) - Income thresholds for the last 30 days by percent of FPG														
Number of Household Members>>		1	2	3	4	5	6	7	8	9	10	11	12	For >12 Add
0%-75% of Poverty = At or under 75% of the FPG.		\$743	\$1,001	\$1,260	\$1,519	\$1,778	\$2,036	\$2,296	\$2,556	\$2,816	\$3,076	\$3,336	\$3,596	\$260
76%-100% of Poverty = Above 75% and at or below 100% of FPG. Threshold for: Senior Telephone Discount Program.		\$990	\$1,335	\$1,680	\$2,025	\$2,370	\$2,715	\$3,061	\$3,408	\$3,754	\$4,101	\$4,448	\$4,794	\$347
101%-125% of Poverty = Above 100% and at or below 125% of FPG. Threshold for: STCS, CSBG clients aged 59 and under without disabilities and NHN. For CSBG/STCS clients 60+ or persons with disabilities see: 126%-150% of Poverty		\$1,238	\$1,669	\$2,100	\$2,531	\$2,963	\$3,394	\$3,826	\$4,259	\$4,693	\$5,126	\$5,559	\$5,993	\$433
126%-150% of Poverty = Above 125% and at or below 150% of FPG. Threshold for: STCS and CSBG clients aged 60+, persons with disabilities and TAP. For LIHEAP clients see next section, LIHEAP ONLY.		\$1,485	\$2,003	\$2,520	\$3,038	\$3,555	\$4,073	\$4,591	\$5,111	\$5,631	\$6,151	\$6,671	\$7,191	\$520
LIFELINE: 135% of Poverty = At or below 135% of the FPG. Threshold for Lifeline Telephone Discount.		\$1,337	\$1,802	\$2,268	\$2,734	\$3,200	\$3,665	\$4,132	\$4,600	\$5,068	\$5,536	\$6,004	\$6,472	\$468
LIHEAP ONLY - Income Thresholds by Household Size														
Number of Household Members>>		1	2	3	4	5	6	7	8	9	10	11	12	For >12 Add
The household income limit for the last 30 days for LIHEAP is 60% of SMI for households sized 6 and under. For households sized 7 and over, the income limit is 150% of FPG		\$1,749	\$2,287	\$2,825	\$3,364	\$3,902	\$4,440	\$4,591	\$5,111	\$5,631	\$6,151	\$6,671	\$7,191	\$520
		Income limits for LIHEAP households sized 6 and under using 60% of State Median Income						Income limits for LIHEAP households sized 7 and over (using Federal Poverty Guidelines)						
LIHEAP ONLY - Energy Points for Income by Household Size														
Number of Household Members>>		1	2	3	4	5	6	7	8	9	10	11	12	For >12 Add
A) 5 points	At or below 25% of 60% of SMI or 150% of FPG for households sized 7 or more >>	\$437	\$572	\$706	\$841	\$975	\$1,110	\$1,148	\$1,278	\$1,408	\$1,538	\$1,668	\$1,798	\$130
B) 4 points	Above 25% and up to 50% of 60% of SMI >> or above 150% for households sized 7 or more >>	\$875	\$1,144	\$1,413	\$1,682	\$1,951	\$2,220	\$2,296	\$2,556	\$2,816	\$3,076	\$3,336	\$3,596	\$260
C) 3 points	Above 50% and up to 75% of 60% of the SMI >> or above 150% for households sized 7 or more >>	\$1,312	\$1,715	\$2,119	\$2,523	\$2,926	\$3,330	\$3,443	\$3,833	\$4,223	\$4,613	\$5,003	\$5,393	\$390
D) 2 points	Above 75% of 60% of SMI or above 150% of FPG for households sized 7 or more. >>	\$1,749	\$2,287	\$2,825	\$3,364	\$3,902	\$4,440	\$4,591	\$5,111	\$5,631	\$6,151	\$6,671	\$7,191	\$520

ATTACHMENT 11

PLACEHOLDER FOR PLAN DEVELOPMENT/NETWORK COMMENTS

AND

PUBLIC HEARING COMMENTS.

Plan Development and Public Hearing comment docs will replace this document