



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey
Governor

Timothy Jeffries
Director

June 24, 2016

To: Community Action Network

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

Subject: State Fiscal Year (SFY) 2017 – Revised Allocations and Technical Assistance

The following ALERT is attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY-17-A2	CSBG SFY 2017 – CSBG Discretionary Special Project Awards
ALERT SFY-17-K2	CSBG Organizational Standards – Draft Technical Assistance Plan Tool
ALERT SFY-17-K3	Central Registry Background Checks

The ALERTS are subject to change as additional information is received by the Division of Aging and Adult Services (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 ALERT, please contact your assigned Contract Specialist or Diana Gravett at (602) 542-6594.

Division of Aging and Adult Services
ALERT

SFY-17-A2

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

SFY 2017 CSBG Discretionary Awards: The Division of Aging and Adult Services (DAAS) is pleased to announce the CSBG Discretionary Special Project Fund awards for SFY 2017 in the amount of \$53,800 to the following CSBG eligible entities: Maricopa County Human Services Department and Coconino County Community Services Department. The following grant awards have been approved:

CSBG Funds Discretionary Funds	
Agency	Amount
Coconino County Community Services Department – Special Project: For the enhancement of services to low-income citizens in remote rural areas of Coconino County	\$ 8,800
Coconino County Community Services Department – Special Project: For the development of a human services collective impact initiative	\$ 20,000
Maricopa County Human Services Department – Special Project: Community Action Collaboration of Resources Project	\$ 25,000
Total CSBG Discretionary Awarded	\$ 53,800

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

Reporting for CSBG Discretionary Special Projects will consist of a brief narrative description of activities and expenditures, accompanied by outcomes and the deployment status of any equipment purchased with CSBG dollars. Each agency will use the Results Oriented Management and Accountability/National Performance Indicators (ROMA/NPIs), as set forth in the agency's proposal and/or information request responses, to track outcomes. The outcomes and a narrative description of activities and expenditures shall be submitted in the SFY 2017 CSBG IS Report. DAAS/CAPS will provide form templates for the CSBG IS SFY 2017 when they become available. The templates will include instructions for reporting CSBG Discretionary award activities and expenditures. The CSBG IS Report for SFY 2017 is due October 1, 2017. Separate reporting for CSBG Discretionary activities and outcomes will not be required.

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

CSBG Discretionary SFY 2017

Community Action Network Funding Formula
Proposed Funding Components
Fund Source - CSBG Discretionary (Funding \$208,800)

ALERT 17-A2

District	Agency	Served	FY 2017 Initial Allocation	Increase/ (Decrease)	FY 2017 Revised Allocation
District 1					
	MesaCAN	Maricopa/Mesa	\$ -	\$ -	\$ -
	CITY OF GLENDALE	Maricopa/Glendale	\$ -	\$ -	\$ -
	CITY OF PHOENIX	Maricopa/Phx	\$ -	\$ -	\$ -
	MARICOPA COUNTY	Maricopa/balance	\$ -	\$ 25,000	\$ 25,000
District 2					
	PIMA COUNTY	Pima	\$ -	\$ -	\$ -
District 3					
	COCONINO COUNTY	Coconino	\$ -	\$ 28,800	\$ 28,800
	NACOG	Totals	\$ -	\$ -	\$ -
		Apache	\$ -	\$ -	\$ -
		Yavapai	\$ -	\$ -	\$ -
		Navajo	\$ -	\$ -	\$ -
District 4					
	WACOG	Totals	\$ -	\$ -	\$ -
		La Paz	\$ -	\$ -	\$ -
		Mohave	\$ -	\$ -	\$ -
		Yuma	\$ -	\$ -	\$ -
District 5					
	CAHRA	Pinal	\$ -	\$ -	\$ -
	GILA COUNTY	Gila	\$ -	\$ -	\$ -
District 6					
	SEACAP	Totals	\$ -	\$ -	\$ -
		Cochise	\$ -	\$ -	\$ -
		Graham	\$ -	\$ -	\$ -
		Greenlee	\$ -	\$ -	\$ -
		Santa Cruz	\$ -	\$ -	\$ -
Statewide					
	ACAA	Statewide	\$ 155,000	\$ -	\$ 155,000
Totals			\$ 155,000	\$ 53,800	\$ 208,800
FY 2017 Total Allocated					\$ 208,800

**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	\$ 1,490,625
City of Glendale	\$ 190,479	\$ -	\$ -	\$ 695,736	\$ -	\$ 150,000	\$ 77,890	\$ -	\$ 1,462	\$ 1,115,567
City of Phoenix	\$ 1,286,962	\$ -	\$ -	\$ 4,704,235	\$ -	\$ 994,098	\$ 574,714	\$ -	\$ 9,885	\$ 7,569,894
Coconino County	\$ 150,000	\$ 28,800	\$ -	\$ 359,108	\$ -	\$ 150,000	\$ 18,305	\$ -	\$ 756	\$ 706,969
Arizona Dept of Housing	\$ -	\$ -	\$ -	\$ 2,936,124	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,936,124
Gila County	\$ 150,000	\$ -	\$ -	\$ 139,802	\$ -	\$ 150,000	\$ 8,048	\$ -	\$ 295	\$ 448,145
Maricopa County	\$ 811,075	\$ 25,000	\$ -	\$ 2,963,226	\$ -	\$ 588,117	\$ 316,323	\$ -	\$ 6,227	\$ 4,709,968
MesaCAN	\$ 294,411	\$ -	\$ -	\$ 1,075,201	\$ -	\$ 222,564	\$ 116,279	\$ -	\$ 2,256	\$ 1,710,711
NACOG	\$ 235,376	\$ -	\$ -	\$ 860,483	\$ -	\$ 178,054	\$ 66,581	\$ -	\$ 1,809	\$ 1,342,303
Pima County	\$ 692,289	\$ -	\$ -	\$ 794,470	\$ -	\$ 528,413	\$ -	\$ -	\$ 1,669	\$ 2,016,841
PPEP	\$ 97,190	\$ -	\$ -	\$ -	\$ -	\$ 74,480	\$ -	\$ -	\$ -	\$ 171,670
SEACAP	\$ 208,297	\$ -	\$ -	\$ 719,584	\$ -	\$ 157,948	\$ -	\$ -	\$ 1,511	\$ 1,087,340
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	\$ 2,410,457
<hr/>										
<hr/>										
Totals	\$ 4,859,489	\$ 208,800	\$ -	\$ 19,678,615	\$ -	\$ 3,724,000	\$ 1,194,236	\$ -	\$ 35,000	\$ 29,700,140

COCONINO COUNTY

Fund Source	SFY 2017 Initial Allocation	SFY 2017 Allocation Increase/(Decrease)	SFY 2017 Revised Allocation
CSBG	\$ 150,000	\$ -	\$ 150,000
CSBG Discretionary	\$ -	\$ 28,800	\$ 28,800
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	\$ 26,645	\$ 706,969

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	\$ -	\$ 25,000	\$ 25,000
CSBG Carryover	\$ -	\$ -	\$ -
LIHEAP	\$ 2,963,226	\$ -	\$ 2,963,226
LIHEAP Re-distributed	\$ -	\$ -	\$ -
TANF	\$ 588,117	\$ -	\$ 588,117
SSBG	\$ 316,323	\$ -	\$ 316,323
CENTURYLINK	\$ 17,792	\$ (17,792)	\$ -
NHN	\$ 6,227	\$ -	\$ 6,227
TOTAL	\$ 4,702,760	\$ 7,208	\$ 4,709,968

Bolded numbers represent changes in funding.

Division of Aging and Adult Services
ALERT

SFY-17-K2

**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 Programs and Services Administration (CAPS) – CSBG Organizational Standards Technical Assistance Plan Tool

At the request of the Community Action Network, the proposed tool to be used to develop a Technical Assistance Plan (TAP) is being shared with the Network for input via this ALERT. Two copies of this document are attached, one designed for public entities (Attachment 1) and another for private non-profit entities (Attachment 2). The Organizational Standard language is the final language taken from the Office of Community Services (OCS) Information Memorandum 138.

CAPS has set forth in the draft CSBG State Plan for FFY 2017 that CAPS will work with eligible entities having unmet Standards in 2017 to develop a TAP to assist the entity in coming into compliance in SFYs 2017 and 2018. Eligible entities participating in a TAP with time-bound objectives will be considered in compliance in SFYs 2017 and 2018 as they demonstrate working to implement any remaining unmet Standards.

The Community Action Network is requested to provide comments by Monday, July 25, 2016.

Send a consolidated response regarding the TAP tool to Diana Gravett, Community Action Program Specialist, at dgravett@azdes.gov or (602) 542-6594.

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 1: Consumer Input and Involvement	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
<i>Standards below are verbatim from IM 138.</i>								
1.1	<i>The department demonstrates low-income individuals' participation in its activities.</i>		<i>Agency and Board</i>					<i>This is already required by statute and DAAS/CAPS contract and evidenced by Agency's CSBG IS/ROMA report. Agency is encouraged to include low-income residents as volunteers and encourage additional input to Agency beyond the low-income representation on the tripartite board. This will be demonstrated by the Agency's ROMA report, program narratives, board meeting minutes and planning documents.</i>
1.2	<i>The department analyzes information collected directly from low-income individuals as part of the community assessment.</i>		<i>Agency and Board</i>					
1.3	<i>The department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.</i>		<i>Agency</i>					

1	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

1	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date (s)	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 1 NOTES

End Section – Category 1

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 2: Community Engagement	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
2.1	<i>The department has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty departments in the area.</i>		Agency and Board					<i>This Standard was modified by IM 138.</i>
2.2	<i>The department utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based departments, faith-based departments, private sector, public sector, and educational institutions.</i>		Agency					
2.3	<i>The department communicates its activities and its results to the community</i>		Agency and Board					
2.4	<i>The department documents the number of volunteers and hours mobilized in support of its activities.</i>		Agency					<i>This is already required by DAAS/CAPS contract and evidenced by Agency's CSBG IS/ROMA report.</i>

2	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>							<i>[DAAS/CAPS dated response to Agency]</i>	
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

2	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date (s)	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 2 NOTES

End Section – Category 2

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 3: Community Assessment	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
3.1	<i>The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.</i>		Agency					
3.2	<i>As part of the community assessment, the department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).</i>		Agency					
3.3	<i>The department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.</i>		Agency					
3.4	<i>The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.</i>		Agency					<i>This Standard was added by IM 138.</i>
3.5	<i>The tripartite board/advisory body formally accepts the completed community assessment.</i>		Agency and Board					

3	Documentation							
							<i>[DAAS/CAPS dated response to Agency]</i>	
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

3	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 3 NOTES

End Section – Category 3

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 4: Departmental Leadership	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
4.1	<i>The governing board has reviewed the department's mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The department's programs and services are in alignment with the mission.</i>		<i>Agency and Board</i>					
4.2	<i>The department's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.</i>	<i>TTA Status</i>	<i>Agency and Board</i>					
4.3	<i>The department's Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.</i>		<i>Agency and Board</i>					
4.4	<i>The tripartite board/advisory body receives an annual update on the success of specific strategies included in the Community Action plan.</i>		<i>Agency</i>					<i>This Standard was added by IM 138</i>
4.5	<i>The department adheres to its local government's policies and procedures around interim appointments and processes for filling a permanent vacancy.</i>		<i>Agency and Board</i>					
4.6	<i>The department complies with its local government's risk assessment policies and procedures.</i>		<i>Agency and Board</i>					

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

4	Documentation Provided		Agency	
<i>Agency Remarks, Questions or Requests</i>		<i>DAAS/CAPS researching sample risk assessment and succession planning tools as resources for Agency.</i>		
<i>Best Practices – Agency encouraged to share best practices in this area</i>				

4	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>

CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 4 NOTES								

End Section – Category 4

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 5: Board Governance	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
5.1	<p><i>The department's tripartite board/advisory body is structured in compliance with the CSBG Act, by either:</i></p> <p><i>1. Selecting the board members as follows:</i></p> <ul style="list-style-type: none"> • <i>At least one third are democratically-selected representatives of the low-income community;</i> • <i>One-third are local elected officials (or their representatives); and</i> • <i>The remaining members are from major groups and interests in the community; or</i> <p><i>2. Selecting the board through 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.</i></p>		Agency and Board					<p><i>DAAS/CAPS requires this of all private non-profit entities. DAAS/CAPS Program staff utilizes governing documents to determine compliance with this Standard.</i></p>
5.2	<p><i>The department's tripartite board/advisory body either has:</i></p> <p><i>1. Written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community, or</i></p> <p><i>2. 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.</i></p>		Agency and Board					
5.3	<p><i>Not applicable: Review of bylaws by an attorney is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.</i></p>		Agency and Board					
5.4	<p><i>The department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past</i></p>		Agency					

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 5: Board Governance	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
	2 years.							
5.5	<i>The department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.</i>		<i>Agency and Board</i>					
5.6	<i>Each tripartite board/advisory body member has signed a conflict of interest policy, or comparable local government document, within the past 2 years.</i>		<i>Agency and Board</i>					
5.7	<i>The department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.</i>		<i>Agency and Board</i>					
5.8	<i>Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years.</i>		<i>Agency and Board</i>					
5.9	<i>The department's tripartite board/advisory body receives programmatic reports at each regular board/advisory meeting.</i>		<i>Agency and Board</i>					

CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

5	Documentation Provided			
<i>Agency Remarks, Questions or Requests</i>				
<i>Best Practices – Agency encouraged to share best practices in this area</i>				

5	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 5 NOTES	

CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

End Section – Category 5

DRAFT

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 6: Strategic Planning	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
6.1	<i>The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.</i>		Agency and Board					
6.2	<i>The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.</i>		Agency and Board					
6.3	<i>The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.</i>		Agency and Board					
6.4	<i>Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.</i>		Agency and Board					
6.5	<i>The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.</i>		Agency					



CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency

INITIAL DATE:
CLOSEOUT DATE:
DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

6	Documentation Provided			
<i>Agency Remarks, Questions or Requests</i>				
<i>Best Practices – Agency encouraged to share best practices in this area</i>				

6	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 6 NOTES

CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

--

End Section – Category 6

DRAFT

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 7: Human Resource Management	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
7.1	<i>Not applicable: Local governmental personnel policies are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.</i>	N/A						
7.2	<i>The department follows local governmental policies in making available the employee handbook (or personnel policies in cases without a handbook) to all staff and in notifying staff of any changes.</i>		Agency					
7.3	<i>The department has written job descriptions for all positions. Updates may be outside of the purview of the department.</i>		Agency					
7.4	<i>The department follows local government procedures for performance appraisal of the department head.</i>		Agency and Board					<i>Indicate department procedure - document</i>
7.5	<i>The compensation of the department head is made available according to local government procedure.</i>		Agency and Board					<i>Indicate department procedure - document</i>
7.6	<i>The department has a policy in place for regular written evaluation of employees by their supervisors.</i>		Agency					
7.7	<i>The department provides a copy of any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation.</i>		Agency					<i>Indicate policy - document</i>
7.8	<i>The department follows local governmental policies for new employee orientation.</i>		Agency					
7.9	<i>The department conducts or makes available staff development/training (including ROMA) on an ongoing basis.</i>		Agency					

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

7	Documentation Provided			
<i>Agency Remarks, Questions or Requests</i>				
<i>Best Practices – Agency encouraged to share best practices in this area</i>				

7	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 7 NOTES	

CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

End Section – Category 7

DRAFT

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 8: Financial Operations and Oversight	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
8.1	<i>The department's annual audit is completed through the local governmental process in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity's full audit.</i>		Agency					<i>This is currently required by DAAS/CAPS contract. Compliance is determined by DAAS Contracts staff using CCR and during regular monitoring site visits.</i>
8.2	<i>The department follows local government procedures in addressing any audit findings related to CSBG funding.</i>		Agency and Board					<i>Indicate procedures - document</i>
8.3	<i>The department's tripartite board/advisory body is notified of the availability of the local government audit.</i>		Agency and Board					
8.4	<i>The department's tripartite board/advisory body is notified of any findings related to CSBG funding.</i>		Board					
8.5	<i>Not applicable: The audit bid process is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.</i>	N/A						
8.6	<i>Not applicable: The Federal tax reporting process for local governments is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.</i>	N/A						
8.7	<i>The tripartite board/advisory body receives financial reports at each regular meeting, for those program(s) the body advises, as allowed by local government procedure.</i>		Agency					<i>Indicate procedures - document</i>
8.8	<i>Not applicable: The payroll withholding process for local governments is outside of the purview of the department, therefore this standard does not apply to public entities.</i>	N/A						
8.9	<i>The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.</i>		Agency					
8.10	<i>Not applicable: The fiscal policies for local governments are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to</i>	N/A						

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 8: Financial Operations and Oversight	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
	<i>public entities..</i>							
8.11	<i>Not applicable: Local governmental procurement policies are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.</i>		Agency					
8.12	<i>The department documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.</i>	N/A	Agency					
8.13	<i>The department follows local governmental policies for document retention and destruction.</i>		Agency					<i>Agency to provide governing body policy.</i>

8	Documentation Provided							
Agency Remarks, Questions or Requests								
Best Practices – Agency encouraged to share best practices in this area								

8	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>

CLOSEOUT

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

8	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
	<i>Closeout</i>							

CATEGORY 8 NOTES

End Section – Category 8

**CSBG Departmental Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Public/Quasi-Governmental Agency**

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 9: Data and Analysis	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
9.1	<i>The department has a system or systems in place to track and report client demographics and services customers receive.</i>		Agency					<i>This Standard was modified by IM 138. CSBG IS/ROMA documents compliance with this Standard.</i>
9.2	<i>The department has a system or systems in place to track family, agency, and/or community outcomes.</i>		Agency					<i>This is already required by DAAS/CAPS contract. CSBG IS/ROMA documents compliance with this Standard.</i>
9.3	<i>The department has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.</i>		Agency and Board					
9.4	<i>The department submits its annual CSBG Information Survey data report and it reflects client demographics and department-wide outcomes</i>		Agency					<i>This Standard was modified by IM 138.</i>

	Documentation Provided							
	Agency Remarks, Questions or Requests							
	Best Practices – Agency encouraged to share best practices in this area							

Separator Sheet
For
Private TAP Draft
And
Public TAP Draft

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 1: Consumer Input and Involvement	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
<i>Standards below are verbatim from IM 138.</i>								
1.1	<i>The organization demonstrates low-income individuals' participation in its activities.</i>		<i>Agency and Board</i>					
1.2	<i>The organization analyzes information collected directly from low-income individuals as part of the community assessment.</i>		<i>Agency and Board</i>					
1.3	<i>The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.</i>		<i>Agency</i>					

1	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

1	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date (s)	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 1 NOTES

End Section – Category 1

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 2: Community Engagement	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
2.1	<i>The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.</i>		Agency and Board					<i>This Standard was modified by IM 138.</i>
2.2	<i>The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.</i>		Agency					
2.3	<i>The organization communicates its activities and its results to the community</i>		Agency and Board					
2.4	<i>The organization documents the number of volunteers and hours mobilized in support of its activities.</i>		Agency					<i>This is already required by DAAS/CAPS contract and evidenced by Agency's CSBG IS/ROMA report.</i>

2	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>							<i>[DAAS/CAPS dated response to Agency]</i>	
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

2	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date (s)	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 2 NOTES

End Section – Category 2

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 3: Community Assessment	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
3.1	<i>The organization conducted a community assessment and issued a report within the past 3 years.</i>		Agency					
3.2	<i>As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).</i>		Agency					
3.3	<i>The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.</i>		Agency					
3.4	<i>The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.</i>		Agency					<i>This Standard was added by IM 138.</i>
3.5	<i>The governing board formally accepts the completed community assessment.</i>		Agency and Board					

3	Documentation							
							<i>[DAAS/CAPS dated response to Agency]</i>	
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

3	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
	<i>Closeout</i>							

CATEGORY 3 NOTES								

End Section – Category 3

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 4: Organizational Leadership	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
4.1	<p><i>The governing board has reviewed the organization’s mission statement within the past 5 years and assured that:</i></p> <ol style="list-style-type: none"> <i>1. The mission addresses poverty; and</i> <i>2. The organization’s programs and services are in alignment with the mission.</i> 		<p align="center"><i>Agency and Board</i></p>					
4.2	<p><i>The organization’s Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.</i></p>		<p align="center"><i>Agency and Board</i></p>					
4.3	<p><i>The organization’s Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.</i></p>		<p align="center"><i>Agency and Board</i></p>					
4.4	<p><i>The governing board receives an annual update on the success of specific strategies included in the Community Action plan.</i></p>		<p align="center"><i>Agency</i></p>					<p><i>This Standard was added by IM 138</i></p>
4.5	<p><i>The organization has a written succession plan in place for the CEO/executive director, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.</i></p>		<p align="center"><i>Agency and Board</i></p>					
4.6	<p><i>An organization-wide, comprehensive risk assessment has been completed</i></p>		<p align="center"><i>Agency and Board</i></p>					

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 4: Organizational Leadership	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
	<i>within the past 2 years and reported to the governing board.</i>							

4	Documentation Provided		Agency					
<i>Agency Remarks, Questions or Requests</i>								<i>DAAS/CAPS researching sample risk assessment and succession planning tools as resources for Agency.</i>
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

4	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>

CLOSEOUT								
<i>Closeout</i>								

CATEGORY 4 NOTES								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

End Section – Category 4

No.	Category 5: Board Governance	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
5.1	<i>The organization’s governing board is structured in compliance with the CSBG Act: 1. At least one third democratically-selected representatives of the low-income community; 2. One-third local elected officials (or their representatives); and 3. The remaining membership from major groups and interests in the community.</i>		Agency and Board					<i>DAAS/CAPS requires this of all private non-profit entities. DAAS/CAPS Program staff utilizes governing documents to determine compliance with this Standard.</i>
5.2	<i>The organization’s governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.</i>		Agency and Board					<i>Required already</i>
5.3	<i>The organization’s bylaws have been reviewed by an attorney within the past 5 years.</i>		Agency and Board					
5.4	<i>The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.</i>		Agency					
5.5	<i>The organization’s governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.</i>		Agency and Board					<i>Required already</i>
5.6	<i>Each governing board member has signed a conflict of interest policy within the past 2 years.</i>		Agency and Board					
5.7	<i>The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.</i>		Agency and Board					
5.8	<i>Governing board members have been provided with training on their</i>		Agency and Board					

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

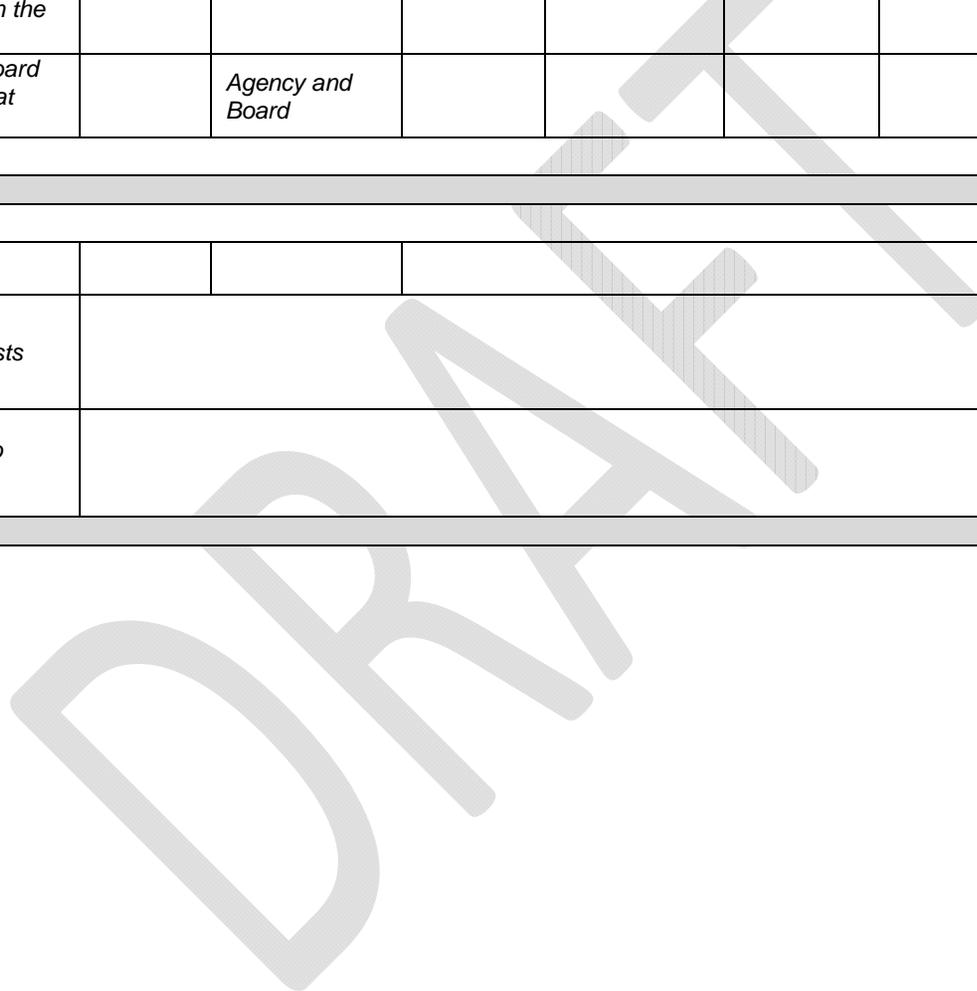
CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 5: Board Governance	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
	<i>duties and responsibilities within the past 2 years.</i>							
5.9	<i>The organization's governing board receives programmatic reports at each regular board meeting.</i>		<i>Agency and Board</i>					

--

5	Documentation Provided			
<i>Agency Remarks, Questions or Requests</i>				
<i>Best Practices – Agency encouraged to share best practices in this area</i>				



CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:
CLOSEOUT DATE:
DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

5	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 5 NOTES								
<div align="center" style="font-size: 48px; opacity: 0.3; transform: rotate(-30deg); pointer-events: none;"> DRAFT </div>								

End Section – Category 5

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 6: Strategic Planning	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	Comments
6.1	<i>The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.</i>		<i>Agency and Board</i>					
6.2	<i>The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.</i>		<i>Agency and Board</i>					
6.3	<i>The approved strategic plan contains family, agency, and/or community goals.</i>		<i>Agency and Board</i>					
6.4	<i>Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.</i>		<i>Agency and Board</i>					
6.5	<i>The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.</i>		<i>Agency</i>					

6	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

6	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 6 NOTES								
<div align="center" style="font-size: 48px; opacity: 0.3; transform: rotate(-30deg); pointer-events: none;"> DRAFT </div>								

End Section – Category 6

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 7: Human Resource Management	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
7.1	<i>The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.</i>		<i>Agency and Board</i>					
7.2	<i>The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.</i>		<i>Agency</i>					
7.3	<i>The organization has written job descriptions for all positions, which have been updated within the past 5 years.</i>		<i>Agency</i>					
7.4	<i>The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.</i>		<i>Agency and Board</i>					
7.5	<i>The governing board reviews and approves CEO/executive director compensation within every calendar year.</i>		<i>Agency and Board</i>					
7.6	<i>The organization has a policy in place for regular written evaluation of employees by their supervisors.</i>		<i>Agency</i>					
7.7	<i>The organization has a whistleblower policy that has been approved by the governing board.</i>		<i>Agency</i>					
7.8	<i>All staff participate in a new employee orientation within 60 days of hire.</i>		<i>Agency</i>					
7.9	<i>The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.</i>		<i>Agency</i>					

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

7	Documentation Provided			
<i>Agency Remarks, Questions or Requests</i>				
<i>Best Practices – Agency encouraged to share best practices in this area</i>				

7	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 7 NOTES	

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

End Section – Category 7

DRAFT

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 8: Financial Operations and Oversight	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
8.1	<i>The organization's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.</i>		Agency					<i>This is currently required by DAAS/CAPS contract. Compliance is determined by DAAS Contracts staff using CCR and during regular monitoring site visits.</i>
8.2	<i>All findings from the prior year's annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.</i>		Agency and Board					
8.3	<i>The organization's auditor presents the audit to the governing board.</i>		Agency and Board					
8.4	<i>The governing board formally receives and accepts the audit.</i>		Board					
8.5	<i>The organization has solicited bids for its audit within the past 5 years.</i>		Agency and Board					
8.6	<i>The IRS Form 990 is completed annually and made available to the governing board for review.</i>		Agency and Board					<i>This is required by DAAS/CAPS contract. DAAS Contracts staff will review for this item during regular monitoring visits.</i>
8.7	<i>The governing board receives financial reports at each regular meeting that include the following: 1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and 2. Balance sheet/statement of financial position.</i>		Agency					
8.8	<i>All required filings and payments related to payroll withholdings are completed on time.</i>		Agency					<i>This is required by DAAS/CAPS contract. This item is reviewed by DAAS Contracts staff during regular on site monitoring visits.</i>
8.9	<i>The governing board annually approves an organization-wide budget.</i>		Agency					

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 8: Financial Operations and Oversight	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
8.10	<i>The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.</i>		<i>Agency and Board</i>					
8.11	<i>A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.</i>		<i>Agency</i>					
8.12	<i>The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.</i>		<i>Agency</i>					
8.13	<i>The organization has a written policy in place for record retention and destruction.</i>		<i>Agency</i>					

8	Documentation Provided							
<i>Agency Remarks, Questions or Requests</i>								
<i>Best Practices – Agency encouraged to share best practices in this area</i>								

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

8	Technical Assistance	Status	Responsible Party	Target Date	TA Date (1)	Addl. TA Dates	Complete Date	DAAS/CAPS TA Notes
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
								<i>[Provide TA results Attach any relevant documentation i.e., sign in sheets, etc.]</i>
CLOSEOUT								
	<i>Closeout</i>							

CATEGORY 8 NOTES								

End Section – Category 8

CSBG Organizational Standards – State Assessment and Certification - CAA Technical Assistance and Implementation Plan
Private Non-Profit Agency

INITIAL DATE:

CLOSEOUT DATE:

DES/DAAS/CAPS: Staff Name(s) – Agency Name and Staff Name(s) participating

No.	Category 9: Data and Analysis	Status	Responsible Party	State Assess Date	Target Completion Date	Estimated Percent Completed	Actual Completion Date	DAAS/CAPS Comments
9.1	<i>The organization has a system or systems in place to track and report client demographics and services customers receive.</i>		Agency					<i>This Standard was modified by IM 138. CSBG IS/ROMA documents compliance with this Standard.</i>
9.2	<i>The organization has a system or systems in place to track family, agency, and/or community outcomes.</i>		Agency					<i>This is already required by DAAS/CAPS contract. CSBG IS/ROMA documents compliance with this Standard.</i>
9.3	<i>The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.</i>		Agency and Board					
9.4	<i>The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes</i>		Agency					<i>This Standard was modified by IM 138.</i>

	<i>Documentation Provided</i>							
	<i>Agency Remarks, Questions or Requests</i>							
	<i>Best Practices – Agency encouraged to share best practices in this area</i>							

Division of Aging and Adult Services
ALERT

SFY-17-K3

**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 personnel are aware of this technical assistance.

Due to changes being implemented by the Arizona Department of Child Safety with respect to conducting Central Registry Background Checks, the Division of Aging and Adult Services (DAAS) will assume responsibility for conducting those Checks for its Contractors and their Subcontractors beginning July 1, 2016.

It will be very important that the new, fillable form (Attachment 3) be used beginning July 1st. No forms (old or new) should be sent to the Department of Child Safety after June 30, 2016.

The new form has been customized for DAAS. DAAS requests that completed forms be submitted to DAAS-CR@azdes.gov through a secure email as opposed to faxing or mailing the forms.

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

**REQUEST FOR SEARCH OF
 CENTRAL REGISTRY FOR BACKGROUND CHECK – COVER SHEET**

This document and any files transmitted with it are confidential and intended solely for the use of the individual or entity to which they are addressed. If you have received this information in error, please notify the sender and destroy the information. The information contained in the Central Registry and any attached files shall be used as a factor to determine qualifications for individuals/agencies applying for contracts with this state, including employees of the prospective contractor, contractors, and subcontractors for positions that provide direct services to children or vulnerable adults. **The information contained in the Central Registry for Background Check and any attached files is confidential and shall not be further disseminated or shared.**

PLEASE COMPLETE ALL FIELDS ACCURATELY AND LEGIBLY.

Organization Name:	Check One:	
ADES/DAAS Contract Number:	<input type="checkbox"/> Prospective ADES/DAAS Contractor <input type="checkbox"/> Current ADES/DAAS Contractor <input type="checkbox"/> Subcontractor to ADES/DAAS Contractor – Identify ADES/DAAS Contractor:	
Tracking Number (<i>You must provide your unique tracking number as it will be used to identify and track this document and the individuals linked to it.</i>):	Check One: <input type="checkbox"/> New Contract with ADES/DAAS <input type="checkbox"/> ADES/DAAS Contract Extension <input type="checkbox"/> New employee hire	
Requester's Phone Number:	Requester's Email Address:	
Requester's Mailing Address:		
Name of person authorized to submit Request attesting to the presence of a Signed Direct Service form for each request:	Requester's Signature	Date of Request:

SUBMIT THIS COMPLETED COVER SHEET AND REQUEST FORM(S) THROUGH ONE OF THE FOLLOWING METHODS:

Email (secured) to: DAAS-CR@azdes.gov Please indicate Organization Name in subject line.

Fax to: Central Registry Request at 602-542-6636

Mail to: ADES Division of Aging and Adult Services
 Attn: Contracts Unit Central Registry Request
 P. O. Box 6123, Mail Drop 6271
 Phoenix, AZ 85005

RESULTS of this check will be:

1. EMAILED to the address above indicating that one or more individuals on the request was (were) unable to be processed with the information provided. The Signatory will be required to respond to DAAS-CR@azdes.gov within 10 working days with a statement verifying that the person(s) is(are) not providing a direct service to a child or vulnerable adult; or
2. EMAILED to the address above if all names are cleared; or
3. EMAILED to the address above with information on individuals found to have a substantiated finding of child abuse or neglect on the Central Registry; and
4. MAILED to the individual who is found to have a substantiated finding on the Central Registry that disqualifies him/her from providing direct services to children or vulnerable adult clients of DCS.

Illegible, inaccurate, or incomplete information on the Cover Sheet or Request Form will delay your response from ADES/DAAS.

REQUEST FOR SEARCH OF CENTRAL REGISTRY FOR BACKGROUND CHECK
(All fields must be completed, and information must be accurate and legible.)

INDIVIDUAL'S INFORMATION	
NAME	ALIAS (Previously used name(s))
SOC. SEC. NO.	DATE OF BIRTH
ADDRESS (No., Street, City, State, ZIP)	
ADES/DAAS – INTERNAL USE ONLY (Search results)	
Reports: <input type="checkbox"/> Yes Number: [See attached document(s)] <input type="checkbox"/> No Date of Search:	
NAME OF PERSON COMPLETING SEARCH	SIGNATURE

INDIVIDUAL'S INFORMATION	
NAME	ALIAS (Previously used name(s))
SOC. SEC. NO.	DATE OF BIRTH
ADDRESS (No., Street, City, State, ZIP)	
ADES/DAAS – INTERNAL USE ONLY (Search results)	
Reports: <input type="checkbox"/> Yes Number: [See attached document(s)] <input type="checkbox"/> No Date of Search:	
NAME OF PERSON COMPLETING SEARCH	SIGNATURE

INDIVIDUAL'S INFORMATION	
NAME	ALIAS (Previously used name(s))
SOC. SEC. NO.	DATE OF BIRTH
ADDRESS (No., Street, City, State, ZIP)	
ADES/DAAS – INTERNAL USE ONLY (Search results)	
Reports: <input type="checkbox"/> Yes Number: [See attached document(s)] <input type="checkbox"/> No Date of Search:	
NAME OF PERSON COMPLETING SEARCH	SIGNATURE

INDIVIDUAL'S INFORMATION	
NAME	ALIAS (Previously used name(s))
SOC. SEC. NO.	DATE OF BIRTH
ADDRESS (No., Street, City, State, ZIP)	
ADES/DAAS – INTERNAL USE ONLY (Search results)	
Reports: <input type="checkbox"/> Yes Number: [See attached document(s)] <input type="checkbox"/> No Date of Search:	
NAME OF PERSON COMPLETING SEARCH	SIGNATURE

DISQUALIFICATION ACTS

A person is disqualified from providing services to ADES clients in a direct service position if he/she is identified as the subject of the substantiated report for any of the following.

24 Child death due to alleged abuse or neglect, or suspicious death
25 Injuries requiring emergency medical treatment
27 Child age 24 months is shaken (shaken baby syndrome)
33 Untreated life threatening condition, Infant Doe, Non-organic FTT
37 Imminent harm to child under the age of six (6) due to lack of supervision by parent/caretaker
38 Neglect results in injury/illness requiring emergency medical treatment
39 Imminent harm to child due to health or safety hazards in living environment/exposure to the elements
40 Child diagnosed as suicidal by mental health professions, parent refused to allow treatment
41 Physical evidence of sexual abuse reported by a medical doctor or child reporting sexual abuse within the past seven days
42 Child reporting vaginal or anal penetration or oral sexual contact within past 72 hours and has not been examined
43 Abandoned, no parent willing to provide immediate care for a child and child is with a caregiver unable or unwilling to provide care now
45 Injuries may require medical treatment
46 P3 Injury to child under age six years
50 Living environment presents health or safety hazards to a child under the age of six
51 Sexual conduct/physical injury between children due to inadequate supervision
54 Sexual behavior within the past 8-14 days
55 Child diagnosed by mental health professional with behavior consistent with emotional abuse
56 Abandoned, no parent willing to care for a child, child with caretaker unable or unwilling to care for child less than one week
66 Significant developmental delays due to neglect
69 Attempted sexual behavior or sexual behavior, 14 days to three years r last occur unknown
72 Parent, guardian or custodian suggests or entices child to engage in sexual behavior, no touching
76 Use of child by parent, guardian or custodian for material gain
82 Parent, guardian or custodian sexually abused a child in past, now in home with a child
83 Attempted sexual behavior or sexual behavioral when last occurred more than three years
101 Death of a child due to neglect
111 Death of a child due to physical abuse or suspicious death
201 Physical abuse high risk
202 Physical abuse moderate risk
301 Neglect, high risk
302 Neglect, moderate risk
401 Sexual abuse, high risk
402 Sexual abuse, moderate risk
403 Sexual Abuse, low risk
404 Sexual Abuse, response 4
501 Emotion Abuse, high risk
502 Emotional abuse, moderate risk

Equal Opportunity Employer/Program • Under Titles VI and VII of the Civil Rights Act of 1964 (Title VI & VII), and the Americans with Disabilities Act of 1990 (ADA), Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and Title II of the Genetic Information Nondiscrimination Act (GINA) of 2008; the Department prohibits discrimination in admissions, programs, services, activities, or employment based on race, color, religion, sex, national origin, age, disability, genetics and retaliation. The Department must make a reasonable accommodation to allow a person with a disability to take part in a program, service or activity. For example, this means if necessary, the Department must provide sign language interpreters for people who are deaf, a wheelchair accessible location, or enlarged print materials. It also means that the Department will take any other reasonable action that allows you to take part in and understand a program or activity, including making reasonable changes to an activity. If you believe that you will not be able to understand or take part in a program or activity because of your disability, please let us know of your disability needs in advance if at all possible. To request this document in alternative format or for further information about this policy, contact your local office; TTY/TDD Services: 7-1-1. • Free language assistance for ADES/DAAS services is available upon request.