

# Model State Plan (CSBG)

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

Report Name: Model State Plan (CSBG)

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

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**CSBG Cover Page (SF-424M)**

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

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

**COVER PAGE**

* 1.a. Type of Submission: <b>Plan</b>		* 1.b. Frequency: <b>Other (2 Year)</b>		* 1.c. Consolidated Application/Plan/Funding Request?  <b>Explanation:</b>		* 1.d. Version: <b>Update</b>	
				<b>2. Date Received:</b>		<b>State Use Only:</b>	
				<b>3. Applicant Identifier:</b>			
				<b>4a. Federal Entity Identifier:</b>		<b>5. Date Received By State:</b>	
				<b>4b. Federal Award Identifier:</b>		<b>6. State Application Identifier:</b>	
<b>7. APPLICANT INFORMATION</b>							
* a. Legal Name: <b>State of Arizona</b>							
* b. Employer/Taxpayer Identification Number (EIN/TIN): <b>174100028A1</b>				* c. Organizational DUNS: <b>136730434</b>			
* d. Address:							
* Street 1:	1789 West Jefferson Street			* Street 2:	Mail Drop 6283		
* City:	Phoenix			* County:	Maricopa		
* State:	AZ			* Province:			
* Country:	United States			* Zip / Postal Code:	85005 -		
e. Organizational Unit:							
Department Name: <b>Arizona Department of Economic Security</b>				Division Name: <b>Division of Aging and Adult Services</b>			
f. Name and contact information of person to be contacted on matters involving this application:							
Prefix:	*First Name: <b>Edward</b>			Middle Name:	* Last Name: <b>Chien</b>		
Suffix:	Title: <b>Community Services Block Grant Coordinator</b>			Organizational Affiliation: <b>Employee</b>			
* Telephone Number: (602) 542-3269	Fax Number (602) 542-6655			* Email: <b>echien@azde s.gov</b>			
* 8a. TYPE OF APPLICANT: <b>A: State Government</b>							
b. Additional Description: <b>Human Services Agency</b>							
* 9. Name of Federal Agency:							
		Catalog of Federal Domestic Assistance Number:		CFDA Title:			
<b>10. CFDA Numbers and Titles</b>		93569		Community Services Block Grant			
<b>11. Descriptive Title of Applicant's Project</b> CSBG State Plan FFY's 2019-2020							
<b>12. Areas Affected by Funding:</b> All counties in Arizona							
<b>13. CONGRESSIONAL DISTRICTS OF:</b>							
* a. Applicant <b>AZ</b>				b. Program/Project: <b>Community Action Program</b>			
Attach an additional list of Program/Project Congressional Districts if needed.							
<b>14. FUNDING PERIOD:</b>				<b>15. ESTIMATED FUNDING:</b>			
a. Start Date: <b>October 1, 2018</b>		b. End Date: <b>September 30, 2020</b>		* a. Federal (\$): <b>\$0</b>		b. Match (\$): <b>\$0</b>	
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?							
a. This submission was made available to the State under the Executive Order 12372							

<b>Process for Review on :</b>	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt?	
<input type="radio"/> YES	
<input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
**I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official Michael Traylor	18c. Telephone (area code, number and extension) 602-542-5757
18b. Signature of Authorized Certifying Official	18d. Email Address MTraylor@azdes.gov
	18e. Date Report Submitted (Month, Day, Year)
<b>Attach supporting documents as specified in agency instructions.</b>	

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

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

Form Approved  
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 Expires:08/31/2016

## SECTION 1

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

**Se1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.**

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

## Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

Does the State have a statute authorizing CSBG?  Yes  No

**2.2. CSBG State Regulation:**

Does the State have regulations for CSBG?  Yes  No

**2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.**

Not applicable

**2.4. State Authority:**

Select a response for each question about the State statute and/or regulations authorizing CSBG:

**2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year?**  Yes  No

**2.4b. Did the State establish or amend regulations for CSBG last year?**  Yes  No

**2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?**  Yes  No

## Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 3 State Plan Development and Statewide Goals

#### 3.1. CSBG Lead Agency Mission and Responsibilities:

*Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.*

The Arizona Department of Economic Security (DES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of DES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting, and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Action Programs and Services (CAPS). DAAS/CAPS will be referred to as the State CSBG office throughout this document. DES came under new administration in 2015 under newly elected Governor Douglas A. Ducey. In SFY 2018, Governor Ducey appointed Michael Traylor as Director of the agency. The agency mission statement reads as follows: "The Arizona Department of Economic Security makes Arizona stronger by helping Arizonans reach their potential through temporary assistance for those in need, and care for the vulnerable." DES administers the Unemployment Insurance (UI), Workforce Innovation and Opportunity (WIOA) Act programs, and the Supplemental Nutrition Assistance (SNAP) programs. The Agency also provides child support enforcement services and comprehensive programs to assist persons with developmental disabilities. The Division of Aging and Adult Services (DAAS) administers the Community Action and Services Programs, the State Adult Protective Services program, Refugee Resettlement Program, Aging and Disability Services (for seniors and persons with disabilities), the State Homeless Program, Low Income Home Energy Assistance (LIHEAP), Hunger Prevention and Domestic Violence Programs.

#### 3.2. State Plan Goals:

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

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

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

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

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

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

#### 3.3. State Plan Development:

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

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

State Performance Indicators and/or National Performance Indicators (NPIs)

U.S. Census data

State performance management data *(e.g., accountability measures, ACSI survey information, and/or other information from annual reports)*

Other data *[describe]* Poverty and rural: current U.S. Decennial Census data available and updated annually using the ACS 5-year Survey. Employment statistics obtained from current Local Area Unemployment Survey (LAUS).

Eligible entity community needs assessments

Eligible entity plans

Other information from eligible entities *(e.g., State required reports) [describe]*

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

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

Eligible entities *(e.g. meetings, conferences, webinars; not including the public hearing)*

State community action association and regional CSBG T&TA providers

State partners and/or stakeholders *(describe)*

National organizations *(describe)* National Association of Community Action Providers (NASPCSP)

Federal Office of Community Services

Other *(describe)* Third party consultant, NASPCSP, hired to assist and evaluate implementation of CSBG Organizational Standards and the Annual Report.

#### 3.4. Eligible Entity Involvement

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

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

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

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

**3.4b. Performance Management Adjustment:**

**How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order**

- 1) to encourage eligible entity participation and**
- 2) to ensure the State Plan reflects input from eligible entities?**

**Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

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

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

**3.5. Eligible Entity Overall Satisfaction:**

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

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

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

## Section 4: CSBG Hearing Requirements

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 4 CSBG Hearing Requirements

**4.1. Public Inspection:**

**Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.**

The FFY 2019 CSBG State Plan draft was made available for public inspection and comment via publication and the public hearing process in 2018. The draft State Plan was posted on the DES website in May 2018. Paper copies of the State Plan were available upon request. Oral and written testimony was solicited and accepted via the DES website and at public hearings from June 19 through July 11, 2018.

**4.2. Public Notice/Hearing:**

**Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.**

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

**4.3. Public and Legislative Hearings:**

**Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.**

*(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.)*

	Date	Location	Type of Hearing <small>[Select an option]</small>
1	6/19/18	Grand Canyon Room at the State Capitol, 1700 W. Washington Street, Phoenix 85007	Public
2	7/5/18	Kino Teen Center, 2801 E. Ajo Way, Tucson 85713	Public
3	7/11/18	Coconino County Community Services Department, 2625 N. King Street, Flagstaff 86001	Public
4	9/19/2017	State Capitol, 1700 West Washington Street, Phoenix, AZ 85007	Legislative
5			

**4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.**

Click on the hyper link to view the State of Arizona 2017 **Joint Legislative Committee Hearing on DES Block Grants** that was held on September 19, 2017. For the FY 2019 plan, three public hearings were conducted, and testimony received was considered and incorporated into the State Plan, if appropriate. See Attachment 4.4.



## Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 5 CSBG Eligible Entities

**5.1. CSBG Eligible Entities:**

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

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

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

**5.2 Total number of CSBG eligible entities 12**

**5.3 Changes to Eligible Entities List:**

**Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission?**  Yes  No

*If yes, please briefly describe the changes.*

## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 6 Organizational Standards for Eligible Entities

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

#### 6.1. Choice of Standards:

Check the box that applies. If using alternative standards

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

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?  Yes  No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

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

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

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

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

6.4a. Describe the assessment process.

Eligible entities will be assessed at least annually via a desk review. Entities first submit a self-assessment of their compliance with organizational standards, marking each standard either as met or unmet. For each met standard, entities must provide supporting documentation; for each unmet standard, entities must draft a Technical Assistance Plan (TAP) indicating a plan to meet the standard. The State then reviews the entities' self-assessments and provides feedback, including requests for additional documentation or for modifications to entities' identified TAPs, and begins providing any needed technical assistance. This process continues until entities have either documented compliance with each standard or have an approved TAP in place for eventually coming into compliance.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?  Yes  No

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

The State CSBG Office will not be requiring Portable Practical Education Preparation to comply with the organizational standards since they are a limited purpose entity.

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? *(Provide as a percentage)* 75%

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

## Section 7: State Use of Funds

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### SECTION 7 State Use of Funds

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

**7.1. Formula:**

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Formula with Variables

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?  Yes  No

**7.2. Planned Allocation:**

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned amounts of distribution to eligible entities are contingent on the amount of federal funding received by DAAS/CAPS.

#### Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	City of Glendale Human Services Department	\$208,244	3.94%	\$208,244	3.94%
2	City of Phoenix Human Services Department	\$1,442,433	27.26%	\$1,442,433	27.26%
3	Coconino County Community Services Department	\$150,000	2.83%	\$150,000	2.83%
4	Community Action Human Resources Agency (CAHRA)	\$318,967	6.03%	\$318,967	6.03%
5	Gila County Community Action Agency	\$150,000	2.83%	\$150,000	2.83%
6	Maricopa County Human Services Department	\$876,426	16.56%	\$876,426	16.56%
7	Mesa Community Action Network	\$323,602	6.12%	\$323,602	6.12%
8	Northern Arizona Council of Governments (NACOG)	\$273,423	5.17%	\$273,423	5.17%
9	Pima County Community Action Agency	\$795,288	15.03%	\$795,288	15.03%
10	Southeastern Arizona Community Action Program (SEACAP)	\$201,801	3.81%	\$201,801	3.81%
11	Western Arizona Council of Governments	\$445,190	8.41%	\$445,190	8.41%
12	Portable, Practical, Educational Preparation, Inc.*	\$105,824	2%	\$105,824	2%
<b>Total</b>		\$5,291,198	100%	\$5,291,198	100%

**7.3. Distribution Process:**

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

The State operates the Community Services Block Grant funding on the State Fiscal Year (SFY), July 1st through June 30<sup>th</sup> cycle. The State enters into five-year budget-based/cost reimbursement contracts with eligible entities. Upon notification from OCS of annual allocations to states, the State CSBG Office communicates estimated annual allocations to eligible entities in March for the upcoming SFY. The State CSBG Office calls these communications ALERTS. Following any subsequent federal allocation change, OCS Notices of Award, etc., dollars are announced each quarter as they occur. The award of carryover from the previous year is announced in September of the current fiscal year. If contract dollar amounts are changed, the State CSBG Office amends the contract to reflect funding changes.

**7.4. Distribution Timeframe:**

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award?  Yes  No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

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

The State operates on a State Fiscal Year (SFY). Funds allocated to eligible entities are made available for obligation on the first day of the SFY. Funds are disbursed on a cost reimbursement basis. Eligible entities annually submit an Itemized Service Budget (ISB) detailing proposed expenditures for allowable activities included in the agency's CAP Plan. Eligible entities invoice the State on a monthly basis for these allowable expenditures under CSBG. Invoices are due on the 25th of each month. Larger public entities may be allowed to invoice semi-monthly upon the State CSBG Office's approval. Invoices must include backup documentation for expenditures billed. The State CSBG Office is bound by contract with the eligible entities to make payments on approved invoices within 30 days. Payments on invoices may be delayed temporarily pending the submission of past-due contract deliverables, such as Community Action Plan documents or required reports, or for incomplete documentation.

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

**7.5. Performance Management Adjustment:**

**How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.**

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

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

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

**7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5  \$  %**

**7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 6**

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

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

**7.9. Does the State have remainder/discretionary funds?  Yes  No**

**If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.**

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

For each allowable use of remainder/discretionary funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

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

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

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

**7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.[Check all that apply and narrative where applicable]**

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

Other community-based organizations

- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other
- None (the State will carry out activities directly)

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

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

**7.11. Performance Management Adjustment:**

**How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

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

## Section 8: State Training and Technical Assistance

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

Form Approved  
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### SECTION 8 State Training and Technical Assistance

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

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

#### Training and Technical Assistance

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

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

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

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

**8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$100,000**

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

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

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

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

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

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

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

**8.4. Performance Management Adjustment:**

**How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

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

## Section 9: State Linkages and Communication

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

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### SECTION 9 State Linkages and Communication

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

#### 9.1 State Linkages and Coordination at the State Level:

**Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).**

*Describe or attach additional information as needed. [Check all that apply and narrative where applicable]*

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

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

*[Click paper clip to attach file]*

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

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

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

Linkage programs may include family/individual counseling, transportation, programs for persons with disabilities and seniors, neighborhood activities, food and nutrition, information and referral, local needs assessments, community outreach summer recreation, and other miscellaneous projects involving formal and informal partnerships and organizational relationships in the community. Eligible entities are required to provide an annual Community Action Program Plan (CAP Plan) that includes a description of planned activities that address the noted assurance. In conjunction with ACAA, the State CSBG Office has also initiated conversations with the State WIOA and Child Support Enforcement Offices, which are housed in separate divisions of DES, regarding enhancing coordination of activities at the State level. These conversations have resulted in work to develop a statewide referral and reporting process to be used by the Network, along with a strengthened partnership that allows for better collaboration.

#### 9.3. Eligible Entity Linkages and Coordination

##### 9.3a State Assurance of Eligible Entity Linkages and Coordination:

**Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.]**

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

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



**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:**

**Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.**

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

Eligible entities are required by contract to establish linkages to fill gaps in service per Section 676(b)(3)(B). The State CSBG Office requires eligible entities to provide a description of how they will fulfill this requirement in their annual CAP Plans and in their five-year contract renewal Request for Application (RFA) responses. Some eligible entities develop linkages with local private organizations, such as financial institutions, to develop individual development account programs. Others contract with local non-profit agencies to provide specific services in their communities not offered by the eligible entity, such as food banks and job training programs. Some of these relationships are informal, others are subcontracted, and still others operate under Memoranda of Understanding (MOUs).

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

**9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:**

**Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?**  Yes  No

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

**9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.**

**9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.**

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

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

**9.5. Emergency Energy Crisis Intervention:**

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

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

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

**9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:**

**Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.**

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

The State CSBG Office's CAP contracts require eligible entities to describe in their annual CAP Plans and in their five-year RFA responses how they will meet this assurance. State CSBG Program staff inquire at monitoring site visits regarding community coordination activities. Agencies document these efforts in annual narratives and on their CSBG annual reports. *[Click paper clip to attach file]*

**9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:**

**Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.**

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

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

**9.8. Coordination among Eligible Entities and State Community Action Association:**

**Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.**

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

**9.9 Communication with Eligible Entities and the State Community Action Association:**

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

**Communication Plan**

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Alerts	Quarterly	Other	Website and email - Include contract, program, funding information and technical assistance
2	Face-to-Face Meetings	Bi-annually	Meetings/Presentation	
3	Tele-Conferences	Monthly	Meetings/Presentation	Monthly except when a Face-to-Face Meeting is scheduled.
4	Public Hearings	Annually	Meetings/Presentation	
5	Legislative Hearings	Other	Meetings/Presentation	Every 3 years

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

**9.10. Feedback to Eligible Entities and State Community Action Association:**

**Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.**

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

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

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

**9.11. Performance Management Adjustment:**

**How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

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

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

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

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

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

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

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

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

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

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
City of Glendale Human Services Department	Full onsite	SFY 21	4/6/2018	
City of Phoenix Human Services Department	Full onsite	SFY 21	1/25/2018	
Coconino County Community Services Department	Full onsite	SFY 19	11/16/2016	
Community Action Human Resources Agency (CAHRA)	Full onsite	SFY 20	3/22/2017	
Gila County Community Action Agency	Full onsite	SFY 21	11/30/2017	
Maricopa County Human Services Department	Full onsite	SFY 21	4/26/2018	
Mesa Community Action Network	Full onsite	SFY 20	2/23/2017	
Northern Arizona Council of Governments (NACOG)	Full onsite	SFY 19	5/26/2016	
Pima County Community Action Agency	Full onsite	SFY 20	10/6/2017	
Southeastern Arizona Community Action Program (SEACAP)	Full onsite	SFY 19	9/14/2016	
Western Arizona Council of Governments	Full onsite	SFY 19	10/20/2016	
Portable, Practical, Educational Preparation, Inc.*	Full onsite	SFY 20	8/10/2017	

**10.2. Monitoring Policies:**

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

The State CSBG Office does not have a written monitoring policy regarding programmatic elements of CSBG. The State CSBG Office follows CSBG Statute, the contractual scope of work, and the CSBG Organizational Standards when monitoring eligible entities.

**10.3. Initial Monitoring Reports:**

**According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?**

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

30

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

**10.4. Closing Findings:**

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

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

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

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

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

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

0

**10.6. Reporting of QIPs:**

**Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP**

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

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

**10.7. Assurance on Funding Reduction or Termination:**

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

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

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

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

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

Currently, the State CSBG Office has in place a moratorium on the designation of new eligible entities and the division of service areas by the State or the Network. A new entity designation would only occur as a result of an existing entity being de-designated, either voluntarily or for cause. In this instance, the State CSBG Office would initiate a public solicitation process in coordination with the State Office of Procurement within the unserved area. A public hearing is held in the unserved area to inform the community of the proposed designation. A public Request for Proposals (RFP) is published via the State Office of Procurement website, [www.ProcureAZ.gov](http://www.ProcureAZ.gov). Local human service agencies may submit proposals for designation that contain all federal assurances under CSBG, and State assurances as required. An evaluation committee within the State CSBG Office determines the best qualified agency to be designated based upon qualifications stated and completeness of response to required assurances in the RFP response. The agency selected then completes a Request for Applications (RFA) response package identical to the RFA completed by existing eligible entities every five years as mentioned 10.10a below. This RFA includes federal CSBG assurances, agency fiscal information, and a detailed Scope of Work that includes allowable and required activities under the Community Action Program Services contract. During the annual State public hearing process, the statewide public at large will be informed of the designation of a new entity. The State CSBG Office will follow Public Law 105-285, Title II - Community Services Block Grant Act, Section 676A.

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

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

There is no State CSBG statute or regulation regarding the de-designation of eligible entities. The State CSBG Office will follow Public Law 105-285, Title II - Community Services Block Grant Act, Section 678C, and the guidance provided in Information Memorandum No. 116, Corrective Action, Termination, or Reduction of Funding, in the event of the de-designation of an eligible entity.

**10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?**  Yes  No

**10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.**

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

**Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:**

**Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).**

The State has established fiscal controls, procedures, audits, and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act. Arizona assures that fiscal control and fund accounting procedures established shall be sufficient to assure the proper disbursement of, and accounting for, federal funds paid to the State under this subtitle, including procedures for monitoring the assistance provided under this subtitle. Arizona assures the eligible entities and any other recipients of funds under this subtitle shall comply with the Office of Management and Budget cost and accounting principles. These assurances will be implemented by the State and/or through contract agreements with service providers. Each provider agreement will include requirements that the provider adhere to these areas as applicable to them.

**10.12. Single Audit Management Decisions:**

**Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 97.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE](#) FOR LINK TO 45 CFR 97.521**

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

At least annually, each state, local government, and American Indian Tribe or tribal organization that receives \$100,000 or more (during the fiscal year) in all types of federal financial assistance must conduct an audit in accordance with the Single Audit Act, Public Law 98-502. [31 U.S.C. 75 and OMB Circular A-128], 678D(a)(1) and 678D(a)(2)]

**10.13. Assurance on Federal Investigations:**

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

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

**10.14. Performance Management Adjustment:**

**How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

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

## Section 11: Eligible Entity Tripartite Board

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

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### SECTION 11 Eligible Entity Tripartite Board

**11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act?** *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

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

- Annually
- Semiannually
- Quarterly
- Monthly
- Other

**11.3. Assurance on Eligible Entity Tripartite Board Representation:**

Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

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

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

**11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act.**  Yes  No

**11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.**

Private non-profit eligible entities are required to seat a tripartite board as set forth in Section 676B(b)(1) of the Act. Public entities may follow the provision stated above from 676B(b)(2) of the CSBG Act. The State CSBG Office contract Scope of Work Section 9.3.2 for public eligible entities reads as follows: "Select members to serve on a Board in which one-third of the board members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families. Select representatives to fill balance of seats as set forth in governing documents." Currently, all public eligible entities voluntarily maintain tripartite boards per Section 676B(b)(1) of the Act.

## Section 12: Individual and Community Eligibility Requirements

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

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### SECTION 12

#### Individual and Community Income Eligibility Requirements

##### 12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

*[Check one item below.]*

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

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

Section 12.1a - Income eligibility statewide varies by program. For CSBG-funded crisis services, eligible entities may set the income eligibility threshold at 150 percent of the federal poverty level for households with one or more members that are seniors aged 60 and over, or persons with disabilities. Households that do not meet this criteria are income eligible at or below 125 percent of poverty. This is in keeping with State laws regarding assistance provided under the TANF funded Short-Term Crisis Services (STCS), as set forth in Title 6, Chapter 13, Article 8 of the Arizona Administrative Code. This uniform eligibility threshold maintains fairness for households without children that have one or more vulnerable members, but do not qualify for crisis services under STCS/TANF. The income eligibility limit for LIHEAP energy assistance programs administered with CSBG dollars is either 60 percent of the State Median Income (adjusted for household size) or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater for a given household. For SFY 2019 in Arizona, the FPG is greater for households with seven or more members.

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

##### 12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

All eligible entities are required by contract and State law to verify program eligibility for CSBG-supported services where required by program rules. Eligible entities target limited intake, general and short-term community based services such as: medical copay and prescription assistance, school supply, clothing and personal care products, and emergency food assistance, to existing case managed client households. Eligible entities coordinate extensively with local partners in delivering these community based services to the households in the greatest need. Eligible entities may conduct or promote periodic mass events offering the services mentioned above by inviting program participants from their own and/or partners client lists who are known to have qualified for benefits. Income eligibility for CSBG funded direct services will follow the rules for the service being provided. If CSBG funds are used to provide a service under the Short Term Crisis Services, the income eligibility requirements for that program will apply. Conversely, for utility assistance, the income eligibility requirements would follow those for the State's utility assistance program. Eligible entities may consider income eligibility for TANF funded or LIHEAP funded programs to indicate categorical eligibility for any CSBG funded service.

##### 12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

Some eligible entities offer community targeted services within their own or partner facilities that are located in low-income neighborhoods and/or senior centers. For example, some eligible entities coordinate with local education institutions and refer existing case managed households to community based education services. Still others offer community based services themselves at their own facilities and make them available to client households and applicants. These services include financial services, community gardens, career centers, education, and income management. The State CSBG Office documents these activities during monitoring visits and encourages eligible entities to submit program narratives annually to highlight these activities.

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

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Community Services Block Grant (CSBG)

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### SECTION 13

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

##### 13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

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

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

##### 13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

Participation and utilization of ROMA in program planning is required by the State CSBG Office contracts. The State CSBG Office's contracts utilize guidance from federal partners and OCS IMs 49 and 82, specifying requirements around community needs assessments, Community Action Plans, and evaluation of outcomes per National Performance Indicators.

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

**13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?**

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

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

N/A

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

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

The State CSBG Office provides funds to the Arizona Community Action Association to provide ROMA training, and offers technical assistance to individual eligible entities upon request, responding to questions and conducting research on behalf of the eligible entities.

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

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

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

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

#### Community Action Plans and Needs Assessments

**13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.**

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

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

##### 13.6. State Assurance:

**Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.**

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

Submission of a Community Needs Assessment is required by contract at least once every three years. This period may be extended for eligible entities with an active assessment project under way during the year the assessment document is due. An extension may also be granted by the State CSBG Office for agencies coordinating community assessments with other programs such as Head Start. Agencies requesting extensions must demonstrate that they are engaged in an active assessment project and provide a written methodology and timeline for completion.



## Section 14: CSBG Programmatic Assurances and Information Narrative

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### SECTION 14

#### CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

##### 14.1 Use of Funds Supporting Local Activities

###### CSBG Services

##### 14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

(i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) to secure and retain meaningful employment;

(iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;

(iv) to make better use of available income;

(v) to obtain and maintain adequate housing and a suitable living environment;

(vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;

(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

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

###### Needs of Youth

##### 14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

(ii) after-school child care programs;

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. The CAP Plan includes a description that outlines proposed activities. The State CSBG Office staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. The State CSBG Office requires a referral to the DES Division of Child Support Enforcement Office for heads of households who are single/divorced custodial parents not currently receiving child support. In ongoing efforts to avoid duplication of services, The State CSBG Office does not directly operate or support after school child care programs, as these are available through other programs in the communities served. Eligible entities are required by their contracts, to set forth in their written administrative and service methodologies, a description of how they will support these programs through coordination with community partners, federally funded programs, such as Head-Start, and referrals to local and private programs.

###### Coordination of Other Programs

##### 14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. The CAP Plan includes a description of its plans and ongoing efforts to coordinate programs in its service area. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds and coordination. At the State level, the State Human Services agency, DES, coordinates a variety of programs using State and federal resources including Supplemental Nutrition Assistance Program (SNAP), and Workforce Innovation and Opportunity Act (WIOA), Temporary Assistance for Needy Families (TANF) Medicaid, Department of Housing and Urban Development (HUD), Department of Labor (DOL) programs. The State CSBG Office includes

in its Community Action Programs and Services contracts with CAAs, the Low-Income Home Energy Assistance Program (LIHEAP), Short-Term Crisis Services (STCS/TANF), and other State and county funds. The State CSBG Office also supports the State Association, ACAA, in its efforts to coordinate with the Community Action Network as a whole, to develop and maintain relationships with other State and local agencies, federal programs, and information and referral systems.

#### State Use of Discretionary Funds

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

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

#### Eligible Entity Service Delivery, Coordination, and Innovation

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

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

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year and contract documents that include a description of the service delivery system, the county or counties served, the facilities where services are available, and information regarding how the eligible entity conducts outreach and delivers services in counties where service centers are not available. The CAP Plan also describes how the eligible entity coordinates funds with other organizations. The eleven CAAs in Arizona are contracted by the State CSBG Office under their Community Action Programs and Services contract to provide services through the Low Income Home Energy Assistance Program (LIHEAP). The State CSBG Office also contracts with the Arizona Department of Housing to provide Weatherization services in coordination with funding from the Department of Energy, which in turn subcontracts with nine eligible entities, and one additional sub-grantee, to offer Weatherization services. All eligible entities are required by contract to utilize CSBG funding in coordination with funding from Temporary Assistance for Needy Families (TANF), to deliver the State mandated emergency assistance program, Short Term Crisis Services (STCS). The State CSBG Office may award CSBG discretionary funds to support enhanced service methods, innovative special projects, and partnership initiatives.

#### Eligible Entity Linkages - Approach to Filling Service Gaps

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

*14.1Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.*

#### Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

**14.3c. 676(b) (3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."**

*Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.*

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

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

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

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year, in which the entities describe how CSBG funds will be used to meet the noted assurance.

#### Eligible Entity Emergency Food and Nutrition Services

**14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."**

The State CSBG Office requires CSBG eligible entities to submit a Community Action Program Plan (CAP Plan) every year. As part of the CAP Plan, eligible entities must provide a description of how the eligible entity will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. Most CSBG eligible entities work with either a local food pantry, a food bank, or operate their own emergency food service in house, to provide food in these circumstances. Some eligible entities subcontract with local charities that provide emergency food as part of their suite of services. Some eligible entities also coordinate with the State Supplemental Nutrition Assistance Program (SNAP) to facilitate applications for State nutritional assistance. Under eligible entities' contracts with the State CSBG Office, CSBG funds may be used to support emergency food program operations. If the cases of emergent need that cannot be met immediately through other programs, eligible entities may utilize CSBG funds to meet food emergencies by providing food cards to qualified low-income households. In the case of a local emergency or disaster in low-income neighborhoods, eligible entities may be authorized by the State CSBG Office to utilize CSBG discretionary funds to provide temporary shelter and/or emergency food to affected residents.

#### State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

**14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."**

*Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.*

**State Coordination/Linkages and Low-income Home Energy Assistance**

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

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

**Federal Investigations**

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

*Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.*

**Funding Reduction or Termination**

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

*Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.*

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

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

*Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.*

**Eligible Entity Tripartite Board Representation**

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

*Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.*

**Eligible Entity Community Action Plans and Community Needs Assessments**

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

*Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.*

**State and Eligible Entity Performance Measurement: ROMA or Alternate system**

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

## Section 15: Federal Certifications

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

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

### SECTION 15 Federal Certifications

#### CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

#### 15.1. Lobbying

After assurance select a check box:



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

#### CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

&nbsp;2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

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

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

&nbsp;5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

&nbsp;6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

&nbsp;7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

&nbsp;8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

## Certification Regarding Drug-Free Workplace Requirements

### Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

### Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

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

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

Instructions for Certification

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

&nbsp;2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

&nbsp;3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

&nbsp;4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

&nbsp;5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

&nbsp;6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

&nbsp;7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

**&nbsp;8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant**

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

&nbsp;9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

&nbsp;10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

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

***Instructions for Certification***

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

&nbsp;2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

&nbsp;3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

&nbsp;4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.



5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

**15.3. Debarment**

After assurance select a check box:



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

**CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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

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

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:



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

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

**Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.**

**An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.**

**ATTACHMENT 1**

**CSBG STATE PLAN 2019**

**Register of Changes from State Plan 2018**

	A	B	C	D
1	<b>Plan Section</b>	<b>FFY 2019 New Language; Comments Italicized in Red</b>	<b>CAP Network's Historical Comments and FFY 2019 Remarks (2/8/2018)</b>	<b>ADES Response / Changes and Tracking of Workgroup Discussion (2/22/2018)</b>
2	<b>General Changes</b>			
3		<i>Updated State contact to Edward Chien.</i>	no comments	
4		<i>Replaced "DAAS/CAPS" with "State CSBG Office" throughout the State Plan</i>	no comments	
5		<i>Replaced references to "annual/biennial CAP plans" with "annual CAP plans" throughout the State Plan</i>	no comments	
6	<b>Section 2: State Legislation and Regulation</b>			
7		<i>No changes.</i>		
8	<b>Section 3: State Plan Development and Statewide Goals</b>			
9	<b>Section 3.2: State Plan Goals</b>	<p>The State CSBG Office will work with the Network to implement the following goals to administer the FY2019 State Plan:</p> <ul style="list-style-type: none"> <li>• Identify family self-sufficiency as the statewide common priority.</li> <li>• Increase workforce development opportunities for CSBG participants by partnering with DES Division of Employment and Rehabilitation Services (DERS) to provide a one stop approach to workforce development services.</li> <li>• Incorporate video conferencing with CAAs.</li> </ul> <p>Additionally, with the assistance of the Arizona Community Action Association (ACAA), the State CSBG Office's goal is to coordinate and provide training/technical assistance related to the following activities:</p> <ul style="list-style-type: none"> <li>• ROMA NG Key Concepts – for board and staff</li> <li>• Organizational Standards for boards</li> <li>• Strategic planning</li> <li>• Community-level Initiatives, Module 3 reporting</li> <li>• New CAP Plan requirements and coordination with ROMA NG, including Targeting (coordinate with linkages projects)</li> <li>• Development of basic training for staff (possibly for board members)</li> </ul>	<p>Instead of "basic training ..." use: <b>Development of program related training on Community Action and CSBG.</b></p>	Amended as suggested

	A	B	C	D
10	<b>Section 3.4a: Eligible Entity Involvement</b>	The State CSBG Office worked with the Community Action Agencies (CAAs) and ACAA to create workgroups for the sole purpose of reviewing and discussing the CSBG State Plan. The workgroups provided an opportunity for the CAAs to have input and feedback on the information noted in the State Plan. There was a total of three workgroups held to gather input from the CAAs. Two of the workgroups were facilitated by the State CSBG Office and the main goal was to gather information and feedback on the drafted language, as well as gather ideas to assist with drafting the State Plan. The final workgroup was facilitated by ACAA and was used to gather the CAAs comments on the final language included in the state plan.	no comments	
11	<b>Section 3.4b: Adjustments relative to last cycle</b>	The State CSBG Office began discussions with the network in December 2017 and offered additional time for input and inspection. Section 3.5 below was revised to reflect guidance from OCS and NASCSP regarding expectations for growth in the Eligible Entity Overall Satisfaction score.	no comments	
12	<b>Section 3.5: Eligible Entity Overall Satisfaction</b>	The State CSBG Office's overall satisfaction goal of 78% would represent a 5 point gain from its most recent score of 73%. Per OCS Information Memorandum #150, "[f]or ACSI scores in the 70s, a 2-3 point gain is reasonable"; the State's goal is thus relatively ambitious.	<b>Why did the State choose a 5% increase?</b>	Pursuant to Network comment and guidance from OCS, the State has revised its overall satisfaction goal to 76% and amended this section's language accordingly.
13	<b>Section 4: CSBG Hearing Requirements</b>			
14	<b>Section 4.1: Public Inspection</b>	The FFY 2019 CSBG State Plan draft was made available for public inspection and comment via publication and the public hearing process in 2018. Paper copies of the State Plan were available upon request. The draft State Plan was posted on the DES website in May 2018. Oral and written testimony was solicited and accepted via the DES website and at public hearings from June 15 through July 15, 2018 <i>(to be confirmed)</i> .	<b>Suggest to list specific dates.</b>	Updated public hearing dates for Phoenix and Flagstaff, still pending confirmation for Tucson.
15	<b>Section 4.2: Public Notice/Hearing</b>	The State CSBG Office conducted multiple public hearings throughout the State in conjunction with this year's development cycle for this year's State Plan. Hearings are advertised per State Public Information Office guidelines on the agency web page. Eligible entities and ACAA also advertise the public hearings in the local offices and/or publications and websites. The State CSBG Office suggests further discussion regarding additional means to advertise public hearings in relevant areas as part of the ongoing communications plan development. In response to the Network comment regarding better advertising for public hearings, the State CSBG Office now advertises the CSBG public hearings via social media in addition to the DES webpage.	<b>Use past tense consistently when final.</b>	Amended as follows: "...Hearings were advertised on the agency web page per State Public Information Office guidelines and also on social media per Network suggestion. Eligible entities and ACAA also advertised the public hearings in the local offices and/or publications and websites."

	A	B	C	D
16	Section 4.3: Public and Legislative Hearings	<i>TBD. State Capitol, 1700 W. Washington Street, Phoenix, AZ 85007. Legislative</i>		
17	Section 4.4: Documentation of hearings	Click on the hyper link to view the State of Arizona 2017 Joint Legislative Committee Hearing on DES Block Grants that was held on September 19, 2017. For the FY 2019 plan, three public hearings were conducted, and testimony received was considered and incorporated into the State Plan, if appropriate.	<b>Why is there a link to 2017, and will documentation on the 2018 hearings be posted? If yes, is there a link?</b>	As opposed to public hearings, legislative hearings are only conducted once every three years. Thus, the legislative hearing from 2017 is still the relevant citation.
18	<b>Section 5: CSBG Eligible Entities</b>			
19		<i>No changes.</i>		
20	<b>Section 6: Organizational Standards for Eligible Entities</b>			
21	Section 6.4a: Describe the assessment process (of eligible entities against org standards)	Eligible entities will be assessed for compliance at least annually via a desk review by the new automated process. Overall status will also be reviewed with each eligible entity at the triennial onsite monitoring. The State CSBG Office transitioned to an automated solution in FFY18, which assists the eligible entities with their compliance and the State CSBG Office's review. The policy was updated by a third party consultant in SFY2017 and solidified. <i>Policy to be attached</i>	<b>Please clarify "at least annually"; is it once a year? Policy Comments: 2017/18 deadlines are confusing; is there a way to make this clearer? -- Also please clarify if this is a permanent policy or will this change next year. The Network would like a sample compliance plan and link to Scope of Work. -- On Section FY18 B.2.i. - does 9/30/18 mean that all CAAS must be compliant with all org standards by that date?</b>	--It is at least once a year, more as appropriate. --Summary of deadlines has been added. --While the policy may be revised as appropriate, this issuance is intended to remain in force indefinitely. --There is currently no required template for compliance plans. Such plans were previously known as "Technical Assistance Plans," with the new term "compliance plan" being introduced to reflect that receipt of technical assistance is not always a component of the plan. --The Scope of Work has been included as Exhibit C. --The goal is to achieve full compliance with all org standards by 9/30/18. While the State recognizes that full compliance may not be within immediate grasp of all CAAs, the expectation is that CAAs strive for the 9/30/18 target to the extent feasible.
22	Section 6.5a: Exemptions from meeting org standards	Western Arizona Council of Governments (WACOG) is considered a public entity. In coordination with WACOG, the State CSBG Office agreed to review standards 8.11 and 8.12 to assist with their private entity requirements. The State CSBG Office will not be requiring Portable Practical Education Preparation to comply with the organizational standards since they are a limited purpose entity.		
23	Section 6.6: Performance Target (% of CAAs meeting all org standards)	<i>Increased target from 50% to 75%</i>	no comments	
24	<b>Section 7: State Use of Funds</b>			
25	Section 7.3: Distribution process	<i>Removed language regarding the SFY 2017 funding formula amendments</i>	no comments	
26	Section 7.4a: Describe State procedures to ensure funds are made available without interruption	<i>Minor wording changes only</i>	no comments	

	A	B	C	D
27	<b>Section 7.5: Performance management adjustment</b>	For SFY 2019 monitoring, the State CSBG Office will utilize updated monitoring and risk assessment tools focused on enhanced fiscal and program reviews. These tools were updated in SFY18 to strengthen the State's fiscal and programmatic oversight to ensure grant funds are managed and used according to the Act, as well as provide an opportunity for the eligible entities to have a better understanding of expectations and ample time to prepare. The risk assessment tools were enhanced to allow the State CSBG Office and the eligible entities the ability to identify additional training and technical assistance that may be needed.	no comments	
28	<b>Section 7.7: Number of partially CSBG-funded State staff</b>	<i>8.2 changed to 6</i>	no comments	
29	<b>Section 7.8: Number of CSBG-funded State FTEs</b>	<i>2 changed to 2.94</i>	no comments	
30	<b>Section 7.9: Use of discretionary funds</b>	<i>No changes</i>	no comments	
31	<b>Section 7.10: Number of CSBG eligible entities participating</b>	<i>Changed from 3 to 12</i>	no comments	
32	<b>Section 7.11: Adjustments relative to last cycle</b>	The discretionary funding priorities for SFY 19 are focused on community initiatives. The State CSBG Office will work with the Community Action Network to help identify priorities. The unused discretionary funds, specific to items F and H, will be redistributed based upon the funding formula.	In the phrase "help identity priorities" - typo: identify	Acknowledged and corrected.
33	<b>Section 8: State Training and Technical Assistance</b>			
34	<b>Section 8.1: TTA plan</b>	<p><i>(Table will be updated with Jutta's plan)</i> The State CSBG Office contracts with ACAA to conduct a needs assessment for and subsequently provide training and technical assistance to the CAAs. Survey results were addressed with CAA Executive Directors, who identified four high-priority issues to focus on:</p> <ul style="list-style-type: none"> <li>• ROMA Next Generation – concepts (for Staff and/or Board Members)</li> <li>• Organizational standards for Board Members</li> <li>• Annual Report Module 3: community level initiatives</li> <li>• Strategic planning and CAP planning</li> </ul> <p>In addition to the survey, the State CSBG Office, along with ACAA, have monthly conference calls with the CAAs to discuss updates and issues including training and technical assistance. Additionally, the State CSBG Office uses monitoring and site visits to identify additional training and technical assistance needs.</p>	What does FY1 mean? (is it FY 19, i.e. the first plan year)? Remove in 12 "possibly" and use the same language as in 3.2: Development of program related training on Community Action and CSBG.	--Yes, FY1 is FY19. --Language amended to "Basic CSBG Training" per ACAA's statement of the topic --Small updates made to table based on most recent communication with ACAA.
35	<b>Section 8.1a: TTA budget</b>	<i>No change</i>		
36	<b>Section 8.2: Does the State have TAPs for entities with unmet org standards?</b>	Training and Technical Assistance will be tracked using the CSBG Organizational Standards software and the existing Report of Findings.	no comments	

	A	B	C	D
37	<b>Section 8.4: Adjustments relative to last cycle</b>	The State CSBG Office worked in coordination with ACAA on training and technical assistance needs. For FFY19, ACAA conducted a survey to compile the needs and requests of eligible entities, including both their boards and staff. The survey resulted in the training and technical assistance plan that is outlined above. This plan also includes training and technical assistance needs identified by the State CSBG Office during onsite monitoring and policy clarification requests.	no comments	
38	<b>Section 9: State Linkages and Communication</b>			
39	<b>Section 9.2: Linkages at local level</b>	<i>(Preexisting language regarding conversations with WIOA)</i> ...These conversations have resulted in work to develop a statewide referral and reporting process to be used by the Network, along with a strengthened partnership that allows for better collaboration.	no comments	
40	<b>Section 9.3a: State assurance of eligible entity linkages and coordination</b>	<i>(Preexisting language)</i> ...In SFY18, the State CSBG Office contracted with ACAA to provide stronger support in this area. The contracted work included conducting a survey of the eligible entities to help identify priority linkages at a Statewide level. From the survey results, ACAA created a linkages plan which is now in process of implementation.	no comments	
41	<b>Section 9.3b: State assurance of eligible entity linkages to fill service gaps</b>	<i>(Preexisting language)</i> ... In addition, work is being completed by ACAA under State contract to provide a statewide process for linkages, as described in 9.3a.	no comments	
42	<b>Section 9.4b: Coordination with WIOA system</b>	<i>(Preexisting language)</i> ...In addition, in SFY 2017 the State CSBG Office initiated conversations with the State WIOA office to establish a standard referral and reporting process. These efforts continued in SFY 2018 and will result in a statewide agreement to finalize activities.	Please clarify what the State WIOA Office is; is it DES-DERS?	Yes; this clarification has been added parenthetically.
43	<b>Section 9.5: Emergency energy crisis intervention</b>	<i>Minor wording changes only</i>	<b>Note: 9.6/9.7 reference to IS report --&gt; change to AR?</b>	Changed to "CSBG annual reports"
44	<b>Section 9.9: Communication with eligible entities and state association</b>	<i>Quarterly alerts, biannual face-to-face meetings, monthly teleconferences, annual public hearings, triennial legislaive hearings, monthly/ad hoc workgroup meetings, daily ad hoc</i>	no comments	
45	<b>Section 9.10: State feedback to eligible entities and state association</b>	The State CSBG Office will provide regular communications regarding performance on State Accountability Measures to local entities and the State Community Action Association in the form of annual reports (CSBG Annual Report), Monitoring Reports of Findings, written feedback, emails/phone calls and State community engagement activities.	no comments	
46	<b>Section 9.11: Adjustments relative to last cycle</b>	In coordination with the community action network, the State CSBG Office will form a written communication plan <b>for use in the priority tasks of implementing ROMA Next Generation and automating the CSBG Annual Report.</b>	no comments	
47	<b>Section 10: Monitoring, Corrective Action, and Fiscal Controls</b>			



	A	B	C	D
48	Section 10.1: Schedule	<i>Updated to reflect targets of three years since the last full onsite review.</i>	no comments	
49	Section 10.4: Are procedures for addressing findings included in the attached State monitoring protocols?	<i>Changed "Yes" to "No"</i>	no comments	
50	Section 10.4a: If no, describe State procedures	Currently, the State CSBG Office provides a Report of Findings (ROF) once the monitoring visit is complete. The ROF includes all of the findings and deficiencies. If a finding is noted, the CSBG State Office may implement a Corrective Improvement Plan (CIP) that outlines the action needed for compliance and by when. For serious deficiencies, the State Office of Procurement may issue a demand for assurance letter to the eligible entity for findings related to conditions of the State CSBG Office contract. The State CSBG Office follows up with the agency to assure the completion of the CIP, making follow up visits if necessary and providing technical assistance.	no comments	"Corrective Improvement Plan" changed to "Quality Improvement Plan" to conform with 10.6
51	Section 10.6: Process for reporting Quality Improvement Plans to OCS	The State CSBG Office will notify the Office of Community Services of eligible entities on Corrective Improvement Plans (i.e. QIPs) via email within 30 calendar days.	<b>Can you change QIP to CIP to avoid confusion, or clarify that AZ CIPs are the QIPs. -- Note: In 10.8 - clarify which is correct: yes or no.</b>	CIP has been changed to QIP, the term used by OCS. The erroneous selection of both "Yes" and "No" in 10.8 has been corrected.
52	Section 10.14: Adjustments relative to previous cycle	The State CSBG Office will revise monitoring tools as outlined in section 7.5 above. In SFY18, the State CSBG Office adopted an automated process for assessing compliance with the CSBG Organizational Standards.	no comments	
53	<b>Section 11: Eligible Entity Tripartite Board</b>			
54	Section 11.3: Assurance of tripartite board representation	<i>Minor wording changes only</i>	no comments	
55	<b>Section 12: Individual and Community Income Eligibility Requirements</b>			
56	Section 12.1a: State policy for income eligibility	<i>(Preexisting language)</i> ...In SFY18, the State CSBG Office implemented categorical eligibility for LIHEAP services. This eligibility applies to CSBG recipients, also, and assisted with streamlining the intake process.	Remove "also"	The section has been reworded for greater clarity: "In SFY18, the State CSBG Office enacted a categorical determination of LIHEAP and CSBG eligibility for clients who have already been approved for assistance from the DES Division of Benefits and Medical Eligibility. This categorical determination has reduced duplication of effort and assisted with streamlining the client intake process at eligible entities."
57	<b>Section 13: Results-Oriented Management and Accountability (ROMA) System</b>			
58	Section 13.5: Securing Community Action Plans from agencies	<i>(Preexisting language)</i> ...The State CSBG Office is working with ACAA and the Network to implement a new CAP Plan template as part of the roll-out of the State's new CSBG software that was purchased in SFY18.	Change "roll-out" to implementation	Amended as suggested
59	<b>Section 14: CSBG Programmatic Assurances and Information Narrative</b>			
60	Section 14.1a: Describe how funds will be used for CSBG	<i>No change to language. Input from Network needed to update attachment.</i>	Specify attachment 14.1a and include attachment.	Acknowledged and attached; unchanged from previous State Plan submission.
61	Section 14.1b: Describe how funds will be used for youth	<i>No change to language. Input from Network needed to update attachment.</i>	Please include attachment.	Acknowledged and attached; generally the same as previous State Plan submission but with some updates.

	A	B	C	D
62	<b>Section 14.1c: Describe how funds will be used for coordination</b>	<i>No changes.</i>		
63	<b>Section 14.2: Describe how discretionary funds will be used</b>	The discretionary funding priorities for SFY 19 are focused on community initiatives as addressed in item 14.1. The State CSBG Office will work with the Community Action Network to help identify priorities. The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10.	<b>Change identity to identify (same as earlier).</b>	Corrected

**ATTACHMENT 1.3**

**CSBG STATE PLAN 2019**

**Designation Letter**



STATE OF ARIZONA  
OFFICE OF THE GOVERNOR

DOUGLAS A. DUCEY  
GOVERNOR

EXECUTIVE OFFICE

August 17, 2015

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

Dear Ms. Chaffin,

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

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

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

Sincerely,

Douglas A. Ducey  
Governor  
State of Arizona

**ATTACHMENT 4.4**

**CSBG STATE PLAN 2019**

**Public Hearing Documentation**

*May 15, 2018: Documentation will be attached once public hearings have been held.*