

GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT OF HUMAN SERVICES
FAMILY SERVICES ADMINISTRATION
COMMUNITY SERVICES BLOCK GRANT

**SUPPLEMENTAL
STATE PLAN AND APPLICATION
FISCAL YEAR 2016**

DRAFT



**Community Services Block Grant (CSBG)
Model State Plan and Application
Supplemental
Fiscal Year 2016
(DRAFT)**

64 NEW YORK AVENUE, NE
SIXTH FLOOR
WASHINGTON, DC 20002

(DRAFT)

Contents

SECTION 1	Designation of Lead Agency and Official State Designation Letter	3
SECTION 2	State Legislation and Regulation	4
SECTION 3	State Plan Development and Statewide Vision and Goals	5
SECTION 4	CSBG Hearing Requirements	9
SECTION 5	CSBG Eligible Entities	10
SECTION 6	Organizational Standards for Eligible Entities	11
SECTION 7	State Use of Funds	13
SECTION 8	State Training and Technical Assistance Plan	17
SECTION 9	State Linkages and Communication	19
SECTION 10	Monitoring, Corrective Action, and Fiscal Controls	24
SECTION 11	Eligible Entity Tripartite Board	28
SECTION 12	Individual and Community Income Eligibility Requirements	29
SECTION 13	Results Oriented Management and Accountability (ROMA) System	30
SECTION 14	CSBG Programmatic Assurances and Information Narrative	333
SECTION 15	Federal Certifications	39
Attachment 1.	Designation Letter	
Attachment 3.	Linkages	
Attachment 2.	Supporting Documentation for the Public and Legislative Hearings	
Attachment 4.	Memorandum of Agreement (MOA) Workforce Investment	
Attachment 5.	CSBG Monitoring Manual	
Attachment 6.	Results Oriented Management and Accountability	
Attachment 7.	Response to 14.1a	
Attachment 8	Response to 14.1b	
Attachment 9	Innovative Community and Neighborhood-based Initiatives	
Attachment 10	2016 Planned Outcomes	

SECTION 1

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

1.1. Lead Agency designated to administer CSBG in the State, as required by Section 676(a) of the Act. The following information should mirror the information provided in the SF-424M.

1.1a. Agency Name

Government of the District of Columbia

1.1b. Identify the cabinet or administrative department of this Agency

Department Human Services

1.1c. Name the division, bureau, or office of the CSBG Authorized Official

Family Services Administration

1.1d. Authorized Official of Lead Agency

Laura Green Zeilinger, Director

1.1e. Street Address

64 New York Avenue, NE, Sixth Floor

1.1f. City

Washington

1.1g. State

D.C.

1.1h. Zip

20002

1.1i. Telephone Number and Extension

(202) 671-4200

1.1j. Fax Number

(202) 671-4326

1.1k. Email Address

laura.zeilinger@dc.gov

1.1l. Website

www.dhs.dc.gov

1.2. DESIGNATED STATE CSBG CONTACT.

1.2a. Agency Name

Department of Human Services

1.2b. Point of Contact

Tunde Eboda, PhD, State CSBG Administrator

1.2c. Street Address

64 New York Avenue, N.E.

1.2d. City

Washington,

1.2e. State

D.C.

1.2f. Zip

20002

1.2g. Point of Contact Telephone Number

(202) 671-4339

1.2h. Point of Contact Fax Number

(202) 671-4326

1.2i. Point of Contact Email Address

tunde.eboda@dc.gov

1.2j. Point of Contact agency website

www.dhs.dc.gov

- 1.3. Please attach the State's official designation letter. If either the governor or designated agency has changed, please update the letter.

[Attach a document]

See Attachment: Designation Letter (To Be Submitted)

Instructional Note: The letter should be from the chief executive officer of the State and include the designated State CSBG Lead Agency, the designated State CSBG Official who is to receive the CSBG grant award, the CSBG Contact Person, and complete addresses and contact information for the agency and individuals.

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. Attach a copy (or copies) of legislation and/or regulations, as appropriate.
[Attach a document]
- 2.4. **State Authority:** Please 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 Vision and Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

[Narrative]

The mission of the District of Columbia Department of Human Services (DHS), in collaboration with the community, is to assist low-income individuals and families to maximize their potential for economic security and self-sufficiency

The mission of DHS is achieved via the following agency programs:

- **Agency Management**
Provides for administrative and operational support to achieve programmatic results.
- **Family Services Administration**
 - Homeless Services –
Provides a continuum of services to individuals and families who are homeless or at risk of homelessness, so that they can obtain and/or maintain improved housing;
 - Family Services –
Provides social services, case management and crisis intervention to meet the needs of vulnerable adults and families with children;
- **Economic Security Administration**
 - Income Assistance Services –
Administers the Temporary Assistance for Needy Families (TANF) program, which provides temporary income support assistance for low-income families while helping them improve their long-term employability and achieve family-sustaining income; Administers the Food Stamp program, which is designed to provide supplemental nutrition assistance to individuals and families in need, and support their return to long-term employability; and Administers the District of Columbia Interim Disability Assistance program, which provides assistance to Supplemental Security Income (SSI) applicants pending SSI determination.
 - Eligibility Determination Services –
Determines eligibility for the District of Columbia's child care subsidy program and an array of Federal and District medical assistance programs, including Medicaid, Children's Health Insurance Program (CHIP), and the D.C. Healthcare Alliance Program

3.2. State Plan Goals:

[Narrative]

The following goals for individuals, families and community development have been adopted by the local eligible entity and supported by the State CSBG office as necessary to advance the objectives of the CSBG program:

1. Securing and Maintaining Employment;
2. Securing Adequate Education;
3. Better Income Management;
4. Securing Adequate Housing;

5. Providing Emergency Services;
6. Improving Nutrition;
7. Creating Linkages Among Anti-Poverty Programs; and
8. Achieving Self-Sufficiency.

To ensure compliance with federal and District requirements and to promote the effective and efficient operation of the CSBG program, the following goals have been established by the Department of Human Services:

Goal 1. The Community Services Block Grant Program will be administered in compliance with the applicable federal and District statutes, rules and regulations.

Objective 1: Community Services Block Grant funds will be distributed in accordance with applicable federal and state statutes.

Activities:

- Funds will be made available to the CAA within 30 calendar days after Federal and State authority is provided.
- Payments will be made as provided by the contract agreement.

Objective 2: Programs will be monitored in compliance with the requirements of the CSBG Act.

Activities:

- A comprehensive on-site review will be conducted at least every three years to include the newly established organizational standards. Assessment of the organizational standards will be conducted annually per the assessment procedures.
- A written report will be provided to the CAA within 60 days of completion.
- Training and technical assistance will be provided, as needed, to address identified deficiencies/needs.

Goal 2. The Community Services Block Grant office will secure continuation of funds and ensure the delivery of comprehensive services and activities to assist low-income individuals, children and families to move out of poverty.

Objective 1: The Community Services Block Grant office will complete and submit the application for Federal funds, and in the event of the unavailability of Federal funds, will initiate requests for alternative funding to secure the goal of assisting individuals and families living in poverty in the District of Columbia.

Objective 2: The Community Services Block Grant office will perform activities to promote the successful results of Community Services Block Grant funded program.

Activities:

- The State will partner with governmental and public and private organizations to coordinate and promote the effective delivery of services to low-income residence of the District of Columbia.

- The State will provide training and technical assistance to the Community Action Agency, as needed, to support its achievement in meeting 100% of the organizational standards to strengthen its capacity to provide services.

Objective 3: The Community Services Block Grant office will ensure documentation of the use and impact of Community Services Block Grant funds.

Activities:

- The Community Action Agency will prepare and submit an annual report documenting use of funds and the outcomes achieved
- The CSBG State office will prepare and submit to the National Association of State Community Services Programs (NASCSPP) the annual Community Services Block Grant Information Survey.

3.3. State Plan Development: Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that applies and add narrative where applicable]

- State National Performance Indicators (NPIs)
- U.S. Census data
- State performance management data (e.g., accountability measures, other information from annual reports)
- Other data Annual Information Survey Report, Monitoring Reports
- Eligible entity community assessments
- Eligible entity plans
- Other information from eligible entities, e.g., State required reports (please describe) _____

3.3b. Consultation with [Check all that applies and add 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 (please describe) _____
- National organizations (please describe) NASCSPP, CAP
- Federal Office of Community Services
- Other (please describe) _____

3.4. Eligible Entity Involvement

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

[Narrative]

The State conducted meetings and phone consultations to discuss the development of the State Plan, use of funds and the new organizational standards

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate

the State's annual report form.

If this is the first year filling out the automated State Plan, please 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. If the State is not making any adjustments, please explain.

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

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

3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period: _____. **[Numerical, 3 digits]**

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

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

SECTION 4
CSBG Hearing Requirements

4.1. Public Inspection: Describe how the State made this State plan or revision to the State plan available for public inspection, as required under Section 676(e)(2) of the Act.

[Narrative]

A Draft State Plan will be available for public inspection and comment at four locations in the city. A Public Forum will be held on July 20, 2015.

4.2. Public Notice/Hearing Describe how the State ensured there was sufficient time and statewide distribution of notice of the hearing(s) to allow the public to comment.

[Narrative]

A notice announcing the hearing was posted in the District of Columbia Register and on the Agency website 10 days prior to the hearing.

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 676(a)(2)(B) and 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year or a legislative hearing in the last three years, please provide a complete explanation).

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

Date	Location	Type of Hearing [Select an option]
[Select a date]	[Narrative, Insert Address]	<ul style="list-style-type: none"> • Public • Legislative • Combined
09/26/2013 2:00 P.M.	The John A. Wilson Building 1350 Pennsylvania, Avenue, NW, Room 120 Washington, DC 20004	Legislative
07/20/15 2:00 P.M.	Department of Behavioral Health 64 New York Avenue, NE, 2 nd Floor Room 242 Washington, DC 20002	Public

4.4. Attach supporting documentation for the public and legislative hearings.

[Narrative]

[See Attachment 2: Supporting Documentation for the Public and Legislative Hearings](#)

SECTION 5
CSBG Eligible Entities

5.1. CSBG Eligible Entities:

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
The United Planning Organization	Nonprofit	Community Action Agency	City-Wide	

5.2 Total number of CSBG eligible entities: 1

5.3 **Changes to Eligible Entities list:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, please briefly describe the changes.

Yes No

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

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

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:

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

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?

- Yes No

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

6.3. How will/has the State officially adopt(ed) organizational standards for eligible entities in the State? If "Other" is selected, please provide a timeline and additional information, as necessary. **[Check all that apply]**

- 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 applies]**

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

6.4a. Describe the assessment process.

[Narrative]

If the eligible entity is scheduled for triennial monitoring, the assessment will be a component of this exercise. For interim years, an annual assessment will be conducted using one of two approaches, State on-site assessment or eligible entity self-assessment with State or third-party verification.

Reports will be submitted to the eligible entity within 60 days of completion of the assessment. If a standard or standards has/have not been met, the State will clearly communicate the specific deficiency and the requirement for correction action. Where determined appropriate, to support the eligible entity in meeting the standard(s), the State will offer training and technical assistance or require the eligible entity to submit a Quality Improvement Plan (QIP). The State will monitor

the eligible entity's progress toward meeting the standard(s). As long as progress is being made, the State lead agency will continue to monitor and support the eligible entity in meeting the standard(s). Within 30 days of receiving documentation that the standard(s) has/have been met, the State will provide written notification of closure of finding(s).

Where significant deficiencies are not corrected within a designated timeline or there are serious systemic issues, the State will make a determination of the necessity to pursue reduction or termination of funding per 678C of the CSBG Act and guidance provided by CSBG IM 116.

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 the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

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

6.6 Performance Target: What percentage of assessed eligible entities in the State does the State expect will meet the State-adopted organizational standards in the next year? **[Insert a percentage]**

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

DRAFT

SECTION 7
State Use of Funds

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

7.1 Formula: Please select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Dropdown options]**

- Historic
 - Base + Formula
 - Formula Alone
 - Formula with Variables
 - Hold Harmless + Formula
 - Other

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?

Yes No

[Narrative]

(The State complies with the requirements of the CSBG Act.)

7.2. Planned Allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Will be auto-populated from Section 5, Table 5.1, Column 1	Enter either the dollar amount or percentage for each eligible entity for the first year that this plan covers		Enter either the dollar amount or percentage for each eligible entity for the second year that this plan covers (If this is a one-year plan, these columns can be left blank)	
United Planning Organization	90%		90%	
Total	Totals will be auto-populated		Totals will be auto-populated	

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

[Narrative]

The District of Columbia, unlike other states, has only one eligible entity. Therefore, the allocation of funds applies only to this entity.

The eligible entity shall receive payment(s) for its approved budget in accordance with the following payment procedures:

- Upon receipt of the Notice of Grant Award (NOGA) from DHHS and completion of the grant agreement and approval process, CSBG funding is made available to the eligible entity
- Using a monthly payment methodology, financial statements, showing actual expenditures during the billing period are submitted by the eligible entity to the DSH/FSA/CSBG Grant Administrator within thirty (30) days of closing of the said monthly billing period.
- Financial statements and expenditures, other supporting grant agreement performance reports also due as scheduled are reviewed and processed. A completed invoice form (DHS-1713) should be submitted to the DHS Office of the Chief Financial Officer with sufficient time and detail to allow for certification and processing within 3 – 5 days of receipt.
- The eligible entity shall receive payment for services to be rendered in the stated upcoming billing period. Payment will be issued within seven (7) business days of the inception of such billing period.

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 pre-populate the State's annual report form.

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

7.5. Performance Management Adjustment: How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. **[Narrative, 2500 Characters]**

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

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

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

[Numeric response, specify \$ or %] 5%

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** 4

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** **3**

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

7.9. Does the State have remainder/discretionary funds?

Yes No

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

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

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

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

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

Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year Two	Brief description of services/activities
	Planned \$	
a. Training/technical assistance to eligible entities	\$358,656	[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs	-0-	[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities	-0-	[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	-0-	[Narrative, 2500 characters]
e. Asset-building programs	-0-	[Narrative, 2500 characters]
f. Innovative programs/ activities by eligible entities or other neighborhood groups	\$9,829,576	[REQUIRED Narrative, 2500]
g. State charity tax credits	-0-	[Narrative, 2500 characters]
h. Other activities, specify _____	\$636,382	Building Careers Academy - <i>Sweat Equity Program</i>
Totals	Auto-Calculated	

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

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

[Narrative,] The District of Columbia has only one eligible entity.

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

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

SECTION 8

State Training and Technical Assistance Plan

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

Note: This information is associated with State Accountability Measures 3Sc; this response may pre-populate the State’s annual report form.

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown options: <ul style="list-style-type: none"> • FY1 – Q1 • FY1 – Q2 • FY1 – Q3 • FY1 – Q4 • FY2 – Q1 • FY2 – Q2 • FY2 – Q3 • FY2 – Q4 <input type="checkbox"/> Ongoing / Multiple Quarters • All quarters 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance <input type="checkbox"/> Both 	Dropdown Options: <ul style="list-style-type: none"> <input type="checkbox"/> Fiscal <input type="checkbox"/> Governance/Tripartite Boards <input type="checkbox"/> Organizational Standards – General <input type="checkbox"/> Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) <input type="checkbox"/> Correcting Significant Deficiencies Among Eligible Entities <input type="checkbox"/> Reporting <input type="checkbox"/> ROMA <input type="checkbox"/> Community Assessment <input type="checkbox"/> Strategic Planning <input type="checkbox"/> Monitoring <input type="checkbox"/> Communication <input type="checkbox"/> Technology <input type="checkbox"/> Other 	[Narrative, 2500 characters] If “Other” is selected in column 3, describe in this column
<ul style="list-style-type: none"> • FY2 – Q1 	<ul style="list-style-type: none"> • Training 	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Governance/Tripartite Boards 	
<ul style="list-style-type: none"> • FY2 – Q3 	<ul style="list-style-type: none"> • Technical Assistance 	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Technology 	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): _____ **[Prepopulated with the budget allocation for years one and two under 7.9a]**

If this is the first year filling out the automated State Plan, please 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, if appropriate? Yes No

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

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

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)

[Narrative] Board Training

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

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

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-level Linkages and Coordination: Indicate 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 described under 675C(b)(1)(B) and as required by the assurance under Section 676(b)(5) of the CSBG Act. Please attach additional information as needed. (CSBG funding used for this activity is referenced under Item 7.10(b), Use of Remainder/Discretionary Funds). **[Check all that apply]**

Note: This response will pre-populate the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa; this response 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 Department of Employment Services, Department of Disability Services,

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

Note: This response will pre-populate the corresponding CSBG assurance, item 14.5.

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination: Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed

[Narrative]

The eligible entity and its citywide network of organizations have maintained a successful approach of working cooperatively and developing linkages with other local organizations in

order to increase community service accomplishments. The plan is to continue this approach during Fiscal year 2016. [\(See Attachment 3 Linkages\)](#) is an extensive list of some of the organizations with whom The CEE partners.

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

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

[Narrative]

All customers receiving services through the eligible entity's community service programs determined to need assistance to overcome the barriers to self-sufficiency will be offered the opportunity to receive case-management services. Upon accepting the offer, customers will receive assistance in creating self-sufficiency related objectives along with plans to help to help them reach those objectives. Subsequently staff will assist customers to achieve their goals through monitoring and advocacy.

Further, through its extensive network with both private and public organizations, a variety of services are made available to customers. In FY 2016, these partnerships will be expanded to fill identified gaps in services.

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

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

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

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

[Narrative]

[See Attachment 4: Memorandum of Agreement \(MOA\) Workforce Investment](#)

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. **[Narrative, 2500 Characters]**

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

[Narrative]

The Low-Income Heating Assistance Program (LIHEAP) is managed by the District Department of Environment, District Office of Energy, and services are available city-wide. In addition, the eligible entity provides non-emergency LIHEAP energy assistance by connecting low-income customers with opportunities to have their homes weatherized.

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

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

[Narrative,]

As part of the Community Action Plan, the eligible entity is required to submit a list of linkages and partnerships. They have provided an extensive list inclusive of faith-based organizations, charitable groups, and community organizations.

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

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

[Narrative]

Public Sector Involvement - Agency funds are utilized in a variety of ways to accomplish the mission of having a meaningful impact on ameliorating poverty. In addition to its comprehensive network of community-based agencies, the eligible entity funds and administers a number of special emphasis programs. Most of these programs are funded by public agencies. A listing of major grantors and programs follow:

<p><u>Federal:</u> US Department of Health and Human Services Head Start Programs Early Head Start Community Services Block Grant Temporary Assistance to Needy Families US Dept. of Justice US Department of Agriculture US Dept. of Veteran Affairs</p>	<p><u>District of Columbia:</u> DC Department of Employment Services Youth Tech Summer Youth DC Dept. of the Environment Weatherization Assistance Program Low Income Home Energy Assistance Program Sustainable Energy Trust Fund Heating System Repair, Replacement, and Tune-up Program Sustainable Energy Trust Fund Appliances Program Northeast Energy Efficiency Partnerships American Recovery and Reinvestment Act Small Business energy Efficiency Program American Recovery and Reinvestment Act DC Dept. of Housing and Community Dev. DC Housing Finance Agency DC Office of the State Superintendent of Education DC Office of the Deputy Mayor for Planning and</p>
--	---

	Economic Dev. DC Addiction Prevention and Recovery Administration
--	--

In Fiscal Year 2016, the eligible entity and its citywide service network will continue to expand resources in the private sector to augment CSBG service activities. Examples of relationships with the community appear below.

- Agreements with home improvement contractors to provide services below their regular established prices;
- Agreements/commitments with wholesale and retail food chains for donations of food;
- Agreements/commitments with private employers and businesses for commitments to hire the untrained;
- Agreements/commitments from rental management companies to provide housing for the homeless;
- Commitments from area banks to provide workshops on how to get loans and/or maintain good credit;
- Commitments from volunteers to donate their time and expertise; and
- Commitments from hospitals, universities, HMOs, and other private health institutions and facilities to conduct workshops focusing on health issues.

Additionally, memberships on various boards and business associations will continue during fiscal year 2016. The eligible entity has been able to develop and maintain working relationships with representatives from the private sector, which have proven invaluable.

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

9.8. Coordination among Eligible Entities and State Community Action Association: Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

[Narrative, 2500 Characters]

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 (drop down)	Brief Description of “Other”
[Narrative, 2500 characters]	Dropdown Options: <ul style="list-style-type: none"> • Daily • Weekly • Twice-Monthly • Monthly • Quarterly • Semi-Annually • Annually • Other 	Dropdown Options: <ul style="list-style-type: none"> • Newsletter • Mailing • Meetings/Presentation • Blog • Email • Website • Social Media • Other 	[Narrative, 2500 characters] If “Other” is selected in columns 2 and/or 3, describe in this column
The quarterly meetings are	Quarterly	Meetings,	

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
held with the eligible entity to provide updates on pertinent information, Training and Technical assistance needs community action planning, strategic planning, community needs assessments,			
General Information on Programs	Daily	Email, Reports, Phone	
State Plan and Hearings	Annually	Meetings/Presentations	

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

[Narrative]

Within 60 days of receiving feedback from OCS on the state accountability measures, the state will prepare and submit a written report to the eligible entity. This report may also be discussed during the quarterly meeting. The State will request the eligible entity to provide a report within 15 days with a plan for addressing any deficiencies and assistance needed from the State office.

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

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

9.11. Performance Management Adjustment: How is the State adjusting the Communication plan in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

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

SECTION 10
Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	Select a date	[Narrative, 2500 characters] If “Other” is selected in column 2, describe in this column
United Planning Organization	Other	• FY1 Q3	July 2014	

10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

[Narrative]

[See Attachment 5: CSBG Monitoring Manual](#)

10.3. Initial Monitoring Reports: According to the State’s procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

[Insert a number from 1 – 100] 60

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

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

10.4. Closing Findings: Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached

above?

[Narrative] Yes

10.4a. If you selected “no,” please describe State procedures for addressing eligible entity deficiencies and documenting closure of findings. **[Narrative Response, 2500 characters]**

10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans?

[Numeric, 3 digits] -0-

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

10.6. Reporting of QIPs: Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

[Narrative]

The State will notify the Office of Community Services by email or other written correspondence.

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

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

[Narrative]

The State follows the requirements of the CSBG Act.

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

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

[Narrative]

The State follows the requirements of the CSBG Act.

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

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

[Narrative]

The State follows the requirements of the CSBG Act.

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[Narrative, 2500 Characters]**

Fiscal Controls and Audits and Cooperation Assurance

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

[Narrative, 2500]

As in the classic grant schema, the sub-grantee, operates under an approved budget and submits documentation of its grant expenditures for approval by the granting agency, D.C. Department of Human Services. Where documentation is unclear, the granting agency, DHS, will provide the sub-grantee, with an opportunity to address the Agency's concerns and support its assertion that the expenditures are allowable under the grant.

To ensure funds have been used appropriately the Eligible Entity must submit financial reports to the DHS FSA CSBG Grant Administrator as follows:

1. Quarterly report of funds passed through to community service centers and other subcontractors. Include the amount and percentage of indirect costs charged on these pass-through funds.
2. Monthly report of expenditures reflecting total budgeted, monthly expenditure, year-to-date expenditure and budget-to-date balance.
3. Two (2) copies of the independent auditor's report, OMB Circular A-133, and Management Letter shall be submitted to DHS FSA CSBG Grant Administrator no later than six months following the end of the fiscal year.
4. Prior year's finding in the independent audit report must be corrected within a reasonable time frame to be approved by the DHS FSA CSBG Grant Administrator. A viable solution shall be presented to the DHS FSA CSBG Grant Administrator within sixty (60) days of the Final Report.

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

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

10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?

Yes No

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

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

10.14. Performance Management Adjustment: How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

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

DRAFT

SECTION 11
Eligible Entity Tripartite Board

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

- Attend Board meetings
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other **[Narrative, 2500 characters]**

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

- Annually
- Semiannually
- Quarterly
- Monthly
- Other **[Narrative]** Bylaws are provided as updated, Board minutes are provided 30 days after board approval, Low-income member selection process annually, Board roster annually]

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

[Narrative]

The State office monitors the eligible entity's Board composition to assure full compliance with this section of the Act. The Board Chair is required to certify annually the composition of the Board on the "Tripartite Board Certification" form. In addition, the current bylaws, amended on January 17, 2014 address the composition of the board members in compliance with Section 676B of the Act. The eligible entity has Democratic Selection Procedures for low-income representatives through which income-eligible individuals can apply to be a candidate or recommend an individual as a candidate for a low-income representative on the board.

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

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act.

Yes No **N/A**

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

SECTION 12
Individual and Community Income Eligibility Requirements

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

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

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

[Narrative]

The eligible entity is required to have written procedures for the documentation of eligibility – income and residency – for services.

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

[Narrative,]

Participants are required to fill out an income eligibility forms and/or to provide verification of residence as documentation that they reside in a community identified as an area of high need.

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

[Narrative]

The Community Needs Assessment serves to identify those communities of greatest need and the demographics of the residents which include income.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

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

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

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

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

[Narrative]

The eligible entity has incorporated the Results Oriented Management and Accountability (ROMA) approach and process into an automated data collection and reporting system, titled Community Action Statistical Access or CASA. The outcome reports generated through this system are used to identify and resolve problems, track client progress, manage staff, develop and revise plans for the future, document accomplishments, and to seek additional funding for successful initiatives. All programs, including those contracted through other agencies, are required to plan, operate and report outcomes using the (ROMA) concept as a condition of funding.

For FY 2016, program reporting will be guided by the six (6) CSBG National Goals six (6) National Performance Indicators. [\(See Attachment 6: Results Oriented Management and Accountability\)](#)

- 13.1b.** If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement.

[Narrative]

The eligible entity is required to participate in a performance management system for measuring performance in meeting established goals. The approach used by the CSBG State office is the Results Oriented Management and Accountability (ROMA). This approach is designed to promote ongoing evaluation and efficiency through assessment of needs, development of a plan to respond to the assessment, implementation of services to carry out the plan and measurement of outcomes to determine effectiveness and to inform future planning.

The eligible entity is required to maintain a data management system for collecting information for tracking and reporting goal achievement, performance outcomes, demographics and other information as needed to complete the annual report or other requested reports.

In compliance with the CSBG Act, every three years, the eligible entity will conduct and submit to the CSBG State office a comprehensive Community Needs Assessment. The data gathered will be used to develop the Community Action Plan. This plan, which covers not less than one fiscal year and not more than two fiscal years, shall describe how the funds will be used to address the

needs of the target population to mobilize resources, provide innovative solutions, and increase their own capacity to achieve results and guide the development and implementation of services.

The CAA shall submit to the CSBG office the required performance data for the CSBG/IS Annual report by the deadline provided.

- 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?

[Narrative]

[See Attachment 10: 2016 Planned Outcomes](#)

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

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

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

[Narrative]

The State has provided discretionary funding for updating the data collection and reporting system. Discretionary funding for training is also available upon request.

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

- 13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery?

{Narrative}

The eligible entity completes a Comprehensive Needs Assessment documenting the source of the information which includes US Census data, assessments from other agencies, focus groups, surveys, etc. The information gathered is then used in the development of the Community Action Plan. In addition, board minutes submitted contain program reports which reflect the use of data to improve service delivery. This is further discussed with the eligible entity at quarterly meetings. In addition during monitoring exercises the system and process for analyzing data to improve services is discussed and reviewed.

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

Community Action Plans and Needs Assessments

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

[Narrative]

The State includes the requirement for the Community Action Plan as part of the grant agreement.

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

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

[Narrative]

The State includes the requirement for the Community Needs Assessment as part of the grant agreement.

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

DRAFT

SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

[Narrative]

[See attachment 7: response to 14.1a](#)

Needs of Youth

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

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

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

[Narrative]

[See Attachment 8: Response to 14.1b](#)

Coordination of Other Programs

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

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

[Narrative]

The eligible entity anticipates expanding opportunities for its customers through 810 partnerships in FY 2016, which will increase its capacity to respond to the needs of the population served.

The CSBG State Office will also partner with the Department of Employment Services and the Economic Security Administration (formerly, Income Maintenance Administration) to coordinate services that remove barriers to self- sufficiency.

In addition, the eligible entity will continue its memberships on various boards and business associations and will continue efforts to expand and sustain working relationships with other programs to positively impact service outcomes.

State Use of Discretionary Funds

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

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

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

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

Eligible Entity Service Delivery System

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

[Narrative]

The eligible entity's Service Delivery Network is comprehensive both in its program activities and its coverage of those communities and neighborhoods in which our client population resides. Following is a listing of the participating agencies and programs with addresses and contact persons: ([See Attachment 3: Linkages](#))

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 followup consultations.”

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

[No response; links to 9.3b.]

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

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

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

[No response; links to 9.7]

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

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

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

[Narrative]

[See Attachment 9: Innovative Community and Neighborhood-based Initiatives](#)

Eligible Entity Emergency Food and Nutrition Services

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

[Narrative]

The eligible entity participates in the gleaning activities through which food is made available to customers and referrals are made for emergency needs. In addition, the eligible entity has been

approved as a site for the Capital Food Bank and will become a provider for emergency food. In addition, the eligible entity will continue to serve customers in dire need of food assistance by issuing Electronic Benefit Transfer (EBT) card to 1,800 new customers referred from the Department of Human Services.

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

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

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

[No response; links to 9.2 and 9.5]

Federal Investigations

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

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

[No response; links to 10.13]

Funding Reduction or Termination

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

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

[No response; links to 10.7]

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

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

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

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

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

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

[No response; links to item 11.3]

Eligible Entity Tripartite Board Representation

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

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

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

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

community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

[No response for this item]

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

SECTION 15
Federal Certifications

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

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.2 Drug-Free Workplace Requirements

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

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

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

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

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

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

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or

involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

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

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant

learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

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

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
 By checking this box, the State CSBG authorized official is providing the certification set out above.

15.4 Environmental Tobacco Smoke

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

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

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

DRAFT

DRAFT

Linkages

(DRAFT) CSBG Supplemental State Plan FY 2016

Clothing

Cintas
Fenton's Uniforms
Macy's
Strive DC/Career Gear
Suited for Change
TJX Companies

Education

"SI" Students Involved--Coppin State University
A DC Tutor, LLC
Academy of Hope
American Poetry Museum
Appletree Institute for Education Innovation
Arts & Technology Academy
Big Brother Big Sister
Bishop John T. Walker School for Boys
Bowie State University
Bright Beginnings
Burke School
C. Melvin Sharpe Health School
Carlos Rosario International Public Charter School
Child plus Software
Children's National Medical Center
Coalition for Non-profit, Housing and Economic Dev.
College Tribe
Community College of the District of Columbia
Community Education Group, Washington, D.C.
Community Empowerment Training Academy
Covenant House Washington
Dawn to Dusk Child Development
DC Children's Trust
DC College Access Program
DC Department of Health
DC Public Libraries
DC Public Schools Head Start Program
DC Scores
DCPS Office of Early Childhood Education
Delaware State University
Democracy Prep
Destination Imagination
Discount School Supply
Dunbar Senior High School
Eagle Academy Public Charter School
Early Stages
Economic Development and Training Institute
Educare of Washington DC
First Rock Baptist Church Child Center
Fortis College
Freedom Schools

Friendship Public Charter
Friendship Southeast Elementary
Fun Fit and Free
George Washington Int'l School
Grounds For Play, Inc.
Harriet Tubman Elementary School
Healthy Babies
Higher Development Academy
Houghton Mifflin Harcourt
House of Ruth-Kidspace
Howard University
Howard University Hospital
Imagine Public Charter School
Interactive Media Package for the Assessment
of Communication and Critical Thinking –
(IMPACCT) - San Diego State University
J.C. Nalle Elementary School
Johns Hopkins
Joint Educational Facilities
Jumpstart DC
Kennedy Institute
Kiddie Kollege
Kids Are Us Learning Center I
Kids Are Us Learning Center II
Knowledge is Power Program DC: Discovery Acad.
Knowledge is Power Program DC: Heights Academy
Lab School of Washington
Language Access
Latin American Youth Center
Life Smarts
Literacy Volunteers and Advocates
Lutheran Church of the Cross Preschool
Malcolm X Elementary School
Martin Luther King Elementary School
Maryland Science Center
McKinley Senior High School
MedTech College
Mid-Atlantic Gleaning Network
Miner Elementary School
Montgomery College School of Nursing
My School DC
National Children's Center
National Financial Education Council
Nations Capitol Childcare
Nu You Fitness
Opportunities Industrialization Center DC
Orr Elementary
Patriots Technology
Pearson Education

Perry School
Plummer Elementary School
Potomac Job Corps Center
Prometric Company
Reach for Success Foundation
Richardetc, LLC
Roots Public Charter School
Rounded Edges
Sanford-Brown Institute
Smithsonian - Anacostia Community Museum
Spingarn High School
St. Urban School
Stanton Elementary School
Stemfinity, LLC
Strayer College
Street wise partnerships
Students Taking Responsibility In Valuing Education
Sunshine Early Learning Center
The DeLoren Foundation
The HSC Pediatric Center
Trinity University
Turner Elementary
University of Maryland
University of the District of Columbia Office of Student Success
University of the District of Columbia Paths Program
US Department of Education
Victor Technology
VMT Education Center
Washington Literacy Center
Washington Parks & People
Wheatley Education Campus
Year Up
Youthbuild Public Charter School
Youthworks

Emergency Services

American Red Cross
Community Connections
Kayla's Village
My Sister's Place
New Beginning
Women's Wing Organization

Employment/Training

AFLAC
All Team Staffing
American Traffic Safety Services Association
Anacostia High School

AVON
AYT Institute
Ballou High School
Bennett Career Institute
Bizconnect, LLC
Byte Back
Capitol View Home Health Agency
Career Gear
CentroSync
CentroSync Main Office
Chris Barry Efficiency Contractors, LLC
Circle of Rights
Citiwide Computer Training Center
Competitive Innovations, LLC
Congress Heights Community Training and Development Corporation
Connect DC
Constellation energy
DC Dept. of Employment Services
DC Jobs Council
DC United
Dear Park Water
District of Columbia Fire/EMS
Donohoe Staffing
Edgewood Brookland Family Support Collaborative
Eguard
Everest Institute
Families Strengthening Families Collaborative
Federal City Recovery Services
FEDEX Ground
Friendship Public Charter School
Going Places Network
Goodwill Greater Washington
Grants Associates
Higher development Academy
Homeland Computer Service.Com LLC
Homeland Technology
IHOP
Island Press
Job Corps Career Transition Service Office
Kesem Technology
Lifestar Response of Maryland
Metropolitan Washington Airports Authority
National Association of Workforce Development Professionals
New Carrollton Hair Academy
Operation HOPE
Our DC
PACT Pro. Security
PC Retro

Prince Georges County Fire/EMS Department
Prince Georges County Public Safety Recruitment
Professional Bartending School
Professional Technicians, LLC
R. Emmanuel Bell Consulting
Right at Home
Roosevelt STAY Alternative High School
Securitas Security USA, Inc.
Spingarn STAY Alternative High School
StreetWise Partners
Strive for Success
Students Taking Responsibility In Valuing
Education D.C. - Career Gear
Suited For Change
Technical Learning Center
The Brooks Group, LLC
The HOPE Project
The Opportunities Industrialization Center of DC
TPM, LLC
U.S. Vets
University of Maryland University College
Veterans Affairs Community Resource and
Referral Center
Volunteers of America Chesapeake
Ward 8 Workforce Development Council
Washington Center for Aging Services
Washington Hospital Center
Westlink Career Institute
Woodland Construction Safety Academy
Workforce Dev. Institute

Environment

Age Friendly DC (Block by Block Walk)
Casey's Trees
District of Columbia Building Industry Association
Government of the District of Columbia –
Department of General Services
Greenscape Environmental
Main Street Congress Heights
Office of Deputy Mayor for Plan/Economic Dev –
Darnetta Tyus
St. Elizabeth West Campus

Families

Behavioral Consulting
Edgewood/Brookland Family Support
Collaborative
Health Services Child/Spec. Needs
Mary Center, Org.
New Heights

Office of Latino Affairs
Supplemental Nutrition Assistance
Program/Hunger Solutions
The National Center for Children and Families
University of Maryland
University of the District of Columbia Speech
and Language
Pathology Program
Vida Seniors Center

Food

Bar Louie
Berean Baptist Church
Bernice Fonteneau Senior Wellness Center
Bethany's Day Program
Busboys and Poets
Capital Food Bank
Capital Wesley Church
Center for Non Profit Advancement
Chipotle
Congresswoman Eleanor Holmes Norton
Court Services and Offender Supervision Agency
DC Central Kitchen
DC Child and Family Services Agency
DC Hunger Solutions
DC Shares
DC Therapeutic Senior Center
Deanwood Recreation Center
Edgewood Farmers Market
Eggspectations Restaurant
Geppetto Catering Inc.
Gist Family Catering Service
Good Food Company
Henry's Soul Café
Legal Seafood
Lockheed Martin
McCormick & Schmidt
MidAtlantic Area Gleaning Network
Miller Farm
New Commandment Baptist Church
Office Catering DC
Panera Bread
Party Time Liquors
Potbelly's
Racheal's Day Program
Red Lobster
Savory Cravins, LLC
Shalom Kosher Market
SHARE Food Network
Silver Diner

Sunshine Early Learning Center
Terrific Inc.
Therapeutic Rec. Ctr.
Thompson Hospitality

Homeless

Covenant House
Capitol Hill Group Ministries
Catholic Charities
Coalition for the Homelessness
Salvation Army - Grate Patrol
Sasha Bruce Youthworks

Housing

A-3 Home Improvement & Inspections, LLC
American Hotel and Lodging
Andrews Federal Credit Union
Bozzuto Property Management
Catholic Charities
Clay Apartments
Coalition for Housing and Economic Development
Community Partnership
DC Housing Finance Authority
Department of Housing and Community

Development

District of Columbia Housing Authority
ForestCity
GoKeyless
Greater Washington Urban League
Greendwell
Habitat For Humanity
Hostel International--Baltimore
Housing Counseling Services
Housing Opportunities Unlimited
Lance Williams Pest Services Company
Leone Tech LLC-DBA Leone Construction
Lydia House
M&T Bank
Maiden & Associates, P.C.
Marriott
PGN Architects, PLLC
RJ Electric Works
Salvation Army
Strickland Fire Protection, Inc.
Taurus Renovation & Construction
Total Construction
Transitional Housing Corporation
University Legal Services
Wells Fargo

Wiebenson & Dorman Architects, P.C.

Income Management/Asset Development

Andrews Federal Credit Union
Capital Area Asset Builders
Community Tax Aid
DC Department of Insurance, Securities, and
Banking
General Printing Office Federal Credit Union
Industrial Bank
Suntrust Bank
TD Bank
United Bank

Independent Living

Anacostia Education Development Corporation
DC Office on Aging
Department of Disability Services
East RIVER Family Strengthening Collaborative
National Hispanic Council on Aging
Social Security Agency DC Office

Legal Services

Bread for the City
Clifton Gunderson LLP
Crowell & Moring
DC Bar Pro Bono Program
Ford & Harrison LLP
Neighborhood Legal Services
Office of People's Counsel
Washington Legal Clinic for the Homeless

Medical/Dental

American Kidney Fund
Assembly at Petworth
Avery Road Treatment Center
Behavioral and Educational Solutions, PC
Biomedical Waste Services, Inc.
Brentwood Unity Health Care
Cardozo Clinic
Children Hospital Injury Prevention Burn &
Winter Safety
Children's Hospital
Children's National Medical Center/Special
Immunology
CVS Pharmacy
DC Health Link
DC Healthy Families
DC Office on Aging

Department of Behavioral Health
Comprehensive Psychiatric Emergency Program
Dialogue on Diversity
Family Medical Counseling
Family Medical Counseling Service
Fitt Solution
Georgetown Lombardi office of Minority Health
& Health Disparities Research
Georgetown University Hospital
Hampden-Sydney College Pediatric Center
Health Families/Thriving Communities Collaborative
Council
Health Foundation of South Florida
Healthlink
HIV Services Mental Health Program
Howard University
Institution of Multidimensional Medicine
Johns Hopkins Hospital
Johns Hopkins University Bloomberg School of
Public Health
La Clinica del Pueblo
Las Americas Dental Health
Latin American Youth Center
MacGill Medical Supplies
Mary Center
Med Star Family Choice
MedStar
Metro TeenAIDS
Midtown Lion Club
National Alliance for Hispanic Health
National Institute of Health
National Kidney Foundation, Inc.
Nueva Vida
Pan-American Health Organization (PAHO)
Prince George's County Health Department
HIV Clinic
Psychiatric Institute of Washington
Sport & Spine Rehab
Street Wize Foundation
Summit Health Institute for Research and
Education (SHIRE)
The Coordinating Center
Trinity University Nursing School
United Healthcare Community Plan
Unity Health Care
Unity Health Clinic
US Department of Health
Ventanilla de Salud
Viva Wellness
Washington Nursing Facility

Westwood College

Neighborhood Centers

Beacon House
Camp Maria
Carecen
Congress Heights Main Streets
Deputy Mayor of Planning and Economic
Development
Manna
Office of Planning
Virginia Williams Family Resource Center

Youth

Bishop John T. Walker School for Boys
Cecil County Public Schools - Congress Heights
Campus
Children's Defense Fund

DC Public Schools

Georgetown University - Center for
Multicultural Equity and Access

Other

Acacia Foundation
DC Children and Youth Investment
Trust Corporation
Citibank
Olender Foundation
Annie E Casey Foundation
Chesapeake Bay Foundation
Mary Graham
Wollenberg Foundation
FIS Global
Community Partnership for the Prevention of
Homelessness
Corporation for National Community Service
Dominion Behavioral Healthcare

Community Services Block Grant

Public Forum/Conversations and Presentations on the FY 2016 Model State Plan to include Eligible Entity Organizational Standards and State Accountability Measures

Monday, July 20, 2015

2:00 – 4:00 pm

(DHS/HQ 64 NY Ave., NE, 2nd Floor)

Agenda

Welcome & Purpose – Tunde Eboda, State CSBG Administrator (Event Facilitator)

Customer & Stakeholder Presentations – Daniel Ofori-Addo, UPO Director of Outcomes Reporting (Time-keeper)

Eligible Entity Organizational Standards: Presentation – Gabriella Teh, CSBG Program Analyst & Andrea Thomas, UPO Executive Vice President

Eligible Entity Organizational Standards: Quick Overview (58 items) – Andrea Thomas

CSBG Reporting Procedures – Gabriella Teh

Statement of Eligible Entity Leadership Commitment – Dana Jones, UPO Chief Executive Officer

Questions & Answers – Open Floor

Summary & Wrap-up – Tunde Eboda

District of Columbia

REGISTER

HIGHLIGHTS

- D.C. Council enacts Act 21-99, Fiscal Year 2016 Budget Request Act of 2015
- D.C. Council enacts Act 21-100, Sale of Synthetic Drugs Emergency Amendment Act of 2015
- Department of Health announces funding availability for Psychosocial Support Services for Transgender Persons Living with HIV/AIDS
- Department of Housing and Community Development announces funding availability for the Affordable Housing Capital Subsidy
- Department of Human Services announces availability of the Community Services Block Grant Program Supplemental State Plan and Application for public review and comment
- Metropolitan Police Department establishes procedures for licensing persons to carry concealed firearms for self-defense
- D.C. Water and Sewer Authority revises rates for water and sewer services

**DISTRICT OF COLUMBIA
DEPARTMENT OF HUMAN SERVICES
FAMILY SERVICES ADMINISTRATION
COMMUNITY SERVICES BLOCK GRANT PROGRAM**

**NOTICE OF AVAILABILITY OF THE COMMUNITY SERVICES BLOCK GRANT
PROGRAM SUPPLEMENTAL STATE PLAN AND APPLICATION
FOR FISCAL YEAR 2016**

The Director of the District of Columbia (District) Department of Human Services (DHS), pursuant to the requirements of the Community Services Block Grant (CSBG) Act of 1998, as amended (42 U.S.C. §9908 (e)) announces the availability of the supplemental CSBG State Plan and Application for Fiscal Year (FY) 2016 (State Plan) for public inspection, review and comment. The State Plan presents an approach to reduce poverty within the District of Columbia through the provision of a wide range of services and activities that assist low-income families and individuals.

The Office of Community Services (OCS) is the federal oversight office for the District's CSBG Program. OCS has revised the requirements for State Plan development by streamlining and automating its content as part of an enhanced system for accountability and performance management across the CSBG Network and in accordance with OCS [Information Memorandum \(IM\) 138](#).

This State Plan has been revised to incorporate organizational standards for the CSBG Eligible Entity (CEE), and the plan for adopting and assessing these standards.

A public forum on the State Plan will be held at 2:00 p.m. on Monday, July 20, 2015 at the District Department of Behavioral Health, 64 New York Avenue, N.E., 2nd Floor, Room 242, DC 20002. Copies of the State Plan will be available for inspection, review and comment from Monday July 27, 2015 to Friday, August 21, 2015, at the locations listed below:

Department of Human Services
Family Services Administration
Community Services Block Grant
64 New York Avenue, N.E., 5th Floor
Washington, DC 20002

United Planning Organization
301 Rhode Island Avenue, N.W.
Washington, DC 20001

Martin Luther King, Jr. Memorial Library
Public Comment Section, 3rd Floor
901 G Street, N.W.
Washington, DC 20001

Department of Human Services
Anacostia Services Center
2100 Martin Luther King, Jr. Avenue, S.E.
Washington, DC 20020

Those who wish to testify in-person should contact Ms. Betty Ervin, Secretary, CSBG Program at (202) 698-4301 or by email at betty.ervin@dc.gov no-later-than Friday, July 17, 2015. Please include the following information in your request to testify: Full Name, Title, Ward (residence), Organizational affiliation or Interest Group. Witnesses should bring three (3) copies of their written testimony to the public forum. Those who testify will be allowed a maximum of three (3) minutes for individual presentations or five (5) minutes for group presentations.

Written comments may be submitted for the record by close of business on Friday, August 21, 2015, by mail to the attention of Tunde Eboda, Ph.D., State CSBG Administrator, Community Services Block Grant Program, Department of Human Services, 64 New York Avenue, NE, 5th Floor, Washington, DC 20002 or email to: csbg.information@dc.gov.

SIGNATURE PAGE

MEMORANDUM OF AGREEMENT

DISTRICT OF COLUMBIA WORKFORCE INVESTMENT COUNCIL

AND

DISTRICT OF COLUMBIA ONE-STOP PARTNERS

August 1, 2012 to July 30, 2017

This agreement shall become effective as of the date of signing and shall terminate on July 30, 2017, unless the parties agree to modify or terminate the agreement at an earlier date. Any party may withdraw from this agreement, without cause, by providing 30 days written notice to the other parties; such withdrawal shall not terminate the agreement with respect to the other parties.

The parties to the agreement may request in writing an amendment to the MOU through the WIC. The WIC may amend the MOU whenever the WIC determines it is appropriate or necessary. Any modifications to this agreement, to be valid, must be in writing, signed and dated by all the parties, and attached to the original agreement. If any provision of the agreement is held invalid, the remainder of the agreement shall not be affected.

Department of Employment Services partner programs covered by this agreement:

- Workforce Investment Act Adults
- Workforce Investment Act Youth
- Workforce Investment Act Dislocated Workers
- Wagner-Peyser Act Programs and Activities
- Local Veterans Outreach Program
- Disabled Veterans Outreach Program
- Trade Adjustment Assistance
- Senior Community Service Employment Program (SCSEP) as authorized under title V of the Older Americans Act of 1965 (42 USC 3056)
- Unemployment Insurance Programs Authorized under District of Columbia Unemployment Compensation Laws (In accordance with Federal Law)

District of Columbia Department on Disability Services

Vocational Rehabilitation Programs as authorized under Parts A and B of the Title I of the Rehabilitation Act (29 USC 720)

District of Columbia Office of the State Superintendent of Education

- Postsecondary career and technical education activities authorized under the Carl D. Perkins Career and Technical Education Act (20 USC 2301) (as available)
- Adult Education and Literacy activities authorized under Title II of the Workforce Investment Act

Department of Human Services

Employment and training activities carried out under the Community Services Block Grant (42 USC 9901)

District of Columbia Housing Authority

Job readiness training and employment placement assistance under Section 3 of the HUD Act of 1968.

Job Corps Washington, DC Outreach and Admissions

Job Corps outreach activities

Signatures



District of Columbia WIC

Executive Director 8/14/12

Title

Date



Department of Employment Services

Director

Title

8/14/12
Date



Department of Human Services

Title

8/20/12

Date

Honana Mahoney
Office of State Superintendent

State Superintendent 08/23/12
Title Date

[Signature]
DC Housing Authority

Exec Director 8/24/12
Title Date

Laura L. Hines
Department on Disability Services

DIRECTOR 8/16/2012
Title Date

Jessie Perry
Job Corps Washington,
DC Outreach and Admissions

Project Director Aug 20, 2012
Title Date

**DISTRICT OF COLUMBIA DEPARTMENT OF HUMAN SERVICES
COMMUNITY SERVICES BLOCK GRANT PROGRAM
COMPREHENSIVE MONITORING GUIDE**

TABLE OF CONTENTS

- **Section I – Overview of Monitoring**
 - **Federal Requirement**
 - **District law appointing DHS to administer CSBG program**
 - **Definition of Monitoring**
 - **Guiding Principles of Monitoring**
 - **Monitoring Methodology**
 - **Introduction to CSBG Monitoring Tools**

- **Section II – Procedures for Scheduling and Preparing for On-Site Programmatic and Fiscal Reviews**
 - **Sample Notification to CAA Executive Director scheduling on-site visit**
 - **Pre-Visit Questionnaire**
 - **Internal Controls Questionnaire**
 - **Agency Self-Assessment**

- **Section III – Program Monitoring**
 - **Desk-top Monitoring**
 - **Interview Executive Director and Board Members**
 - **Community/Partnership Surveys**
 - **Monitoring Tool for Project Manager**

- **Section IV – Fiscal Monitoring**
 - **On-Site Fiscal Monitoring Guide**
 - **Fiscal Interviews**
 - **Internal Control Evaluation**

- **Section V – Concluding the On-Site Review**
 - **The Exit Conference**
 - **Report on Result of Monitoring**
 - **Findings and Corrective Actions**
 - **Observations and Recommendations**
 - **Grantee Response**
 - **Resolution and Follow-up**

SECTION I

OVERVIEW OF MONITORING

SECTION I – OVERVIEW OF MONITORING

Federal Requirement

The CSBG Act of 1998 requires the State CSBG office to monitor designated local Community Action Agencies at least once every three years (42 USC Chapter 106, Sec 9914(a))

State Legislation

The Mayor of the District of Columbia has designated the Department of Human Services as the lead agency to administer the Community Services Block Grant Program. Within DHS, the CSBG Program is located under the Family Services Administration. The State's role is to ensure programmatic and fiscal accountability in compliance with federal and local requirements.

Definition of Monitoring

The State office has responsibility for program monitoring as mandated by 42 U.S.C. 9901 et seq., Section 678B, as amended, each state is required to conduct a full on-site review of each eligible entity at least once during a three-year period. DHS defines monitoring as a comprehensive approach to ensuring compliance with Federal regulations governing the CSBG program. This includes reviewing, assessing, evaluating the use of grant funds to promote self-sufficiency among low-income residents of the District of Columbia.

Guiding Principles to Monitoring

- **Mutual Respect** – In working with local boards, staff, and consultants, the CSBG State office recognizes and values the unique knowledge, ability, and independence of each person. We are committed to treating all persons fairly and maintaining credibility by matching actions with words.
- **Open Communication** – Effective communication is key in facilitating good working relationships amongst partners, and the CSBG State office is committed to keeping lines of communication open. The purpose of our communication is to assist in developing solutions to problems, to share program improvement ideas and to provide information on new developments in the anti-poverty field. We will communicate frequently through a variety of tools and media. The CSBG State office is committed to listening to suggestions and concerns, to gaining an understanding of local operations and to assisting the CAAs in pursuing its priorities.
- **Joint Problem Solving** –The CSBG State office believes that a team approach to problem solving is in the best interest of all parties involved. Our office sincerely believes that collectively, CSBG and the CAA, and other community action partners can arrive at the best solution to any situation. Through a team approach to problem solving, we can identify the best strategies for program development, conflict resolution, and compliance issues. The CSBG State office wants to promote an environment in which our office and all our community action partners will be open to change and will work together in exploring options and developing mutually agreeable solutions. The goal is to have the CAA function independently

but with CSBG State office support in an effort to meet the needs of local communities in compliance with federal and local regulations.

Monitoring Methodology

The Program Manager is the key contact person between the CSBG program office and the CAA. This individual performs ongoing monitoring through desktop reviews of the agency's periodic requests for reimbursement and program performance reports. Any problem encountered by the CAA should be addressed with the Program Manager. In addition to the ongoing desktop reviews, the following tools, checklists, and guides are currently used by the CSBG office to monitor the financial, programmatic and administrative compliance of eligible entities awarded funding under the Community Services Block Grant program.

Introduction to CSBG Monitoring Tools

The ***CSBG Pre-Visit Questionnaire***, ***Internal Control Questionnaire*** and ***Agency Self-Assessment*** are sent or e-mailed to the CAA four weeks in advance of the on-site visit. These documents are completed by the CAA staff and returned to the CSBG program office within ten days prior to the site visit. This allows the Program Manager or Fiscal Auditor an opportunity to review the information before the actual on-site visit and customize the review planning process. An electronic version of these tools has been developed to facilitate the response by the CAA within the context of the documents.

The ***Monitoring Tool for Project Managers*** is used for interim monitoring visits, and focuses on reporting, governance, client eligibility and program operations.

The ***CSBG On-Site Fiscal Monitoring Guide*** is used for the required periodic (at least once every 3 years) full on-site reviews. This tool was designed to help keep the review process focused and methodical. Areas addressed during the on-site fiscal review include internal controls, agency/board face-to-face interviews, financial policies & procedures, cost allocation and time distribution plans, compliance with OMB Circulars, results of prior audits & prior monitoring reviews, automated accounting system and current operating environment, board of directors involvement, and overall financial management of the organization.

The ***Internal Control Evaluation Checklist*** is usually completed after reviewing a sampling of transactions and working through the Fiscal Monitoring Guide. In working with this tool, frequent reference should be made to the information provided by the CAA in the Internal Control Questionnaire obtained prior to the on-site visit. The primary objective of this tool is to determine if the agency is truly operating under the internal controls they "think" they have in place per the information provided in the questionnaire.

The Department of Human Services believes that collectively, these tools provide the framework for a comprehensive review of CAA board governance, planning, evaluation, partnering & collaboration efforts, administrative systems and fiscal procedures.

Section II

PROCEDURES FOR SCHEDULING AND PREPARING FOR AN ON-SITE REVIEW

Section II

PROCEDURES FOR SCHEDULING AND PREPARING FOR AN ON-SITE PROGRAMMATIC AND FISCAL REVIEW

1. Preparing for On-Site Review

Throughout the review, there should be ongoing, open communication with the CAA's staff to allow clarification of facts and prevent misunderstandings, provide the reviewer with a full understanding of the CAA's operations and provide the CAA with a full understanding of the monitoring process.

Contact the agency by telephone/e-mail and confirm 30 days in advance of the planned visit. Solicit input from the agency's Executive Director to identify a specific date and time for the visit and to develop an agenda that serves the needs of all parties.

Prepare the following documents:

Written Notice of On-Site Review with appropriate enclosures:

Project Manager:

- On-site Programmatic Review (On-Site Visit Notification.doc)
- Pre-visit Questionnaire (CSBG Pre-Visit Questionnaire.doc)
- Internal Control Questionnaire (Internal Control Questionnaire.doc)
- Agency Self Assessment (Agency Self Assessment.doc)

Send, fax, or e-mail the Notice and Questionnaires(s) to the agency confirming:

- Date, place & time where the site visit will be conducted;
- The purpose or objective of the visit;
- The agenda;
- Individuals to be interviewed or involved in the visit;
- Documents, data and systems to be reviewed;
- Equipment which may be needed, including meeting room
- Request input from agency on other topics to be covered.

Other Pre-visit Preparatory Tasks:

Review pertinent materials in the agency's contract file including:

- The Grant Agreement
- Scope of Work
- Approved budget by categories
- Progress & financial reports
- Personnel Policy and Procedure Manual
- Financial Policy and Procedure Manual

Note timeliness of agency's submission of required reports, review previous site visit reports including any follow-up documentation, review agency's most recent independent audit report and any other available monitoring reports such as Head Start PRISM.

Gather all forms, instruments and other information needed for the site visit, such as monitoring tools, checklists for programmatic and administrative points and guides.

Entrance Conference – On the day of the meeting the State CSBG Administrator will conduct an entrance interview which will cover the purpose of the visit (legislative mandate for assessment of compliance and performance), how it will be conducted (areas to be covered) and the plan/purpose of the exit interview.

Management Review – Interviews will be conducted with the grantee executive director, board chair, board members and senior staff. This will be followed by a review of documents to verify responses.

Board Leadership – In addition to the questions asked during the management interview, the review team will conduct interviews with board members. This may be done in groups or individual face-to-face interviews. In the event that there is not an adequate representation of the total membership for individual face-to-face interviews, the interview form may be sent to absent members for completion and return. The CSBG State office may also consider conducting a telephone interview.

Fiscal and Internal Controls – Management interviews will be supplemented by interviews with the chief financial officer, board treasurer and other staff as may be necessary. The review team will observe fiscal operations and review documents.

Community Partnerships – At least (list # or %) of the organizations will be selected from the most recent CSBG work Plan or annual program report to be interviewed or surveyed.

Customer Surveys – The grantee will be requested to provide verification of system to collect customer feedback and a sampling of customer surveys.

(SAMPLE NOTIFICATION LETTER FOR COMPREHENSIVE MONITORING EXERCISE)

Date
Name
Title
Agency
Address

Dear _____ :

As you know, the Community Services Block Grant (CSBG) statute requires a full on-site review of CSBG eligible entities to be conducted at-least once every three years. In compliance with this requirement, the Department of Human Services, Community Services Block Grant Program office will be commencing a full on-site monitoring review of the (Agency Name) on (date) with an entrance conference at (time). The purpose of this review is to determine whether (Agency Name) is meeting the performance goals, administrative standards, fiscal management and other provisions of the grant. The monitoring will include a review of agency systems noting the quality of service delivery and program operations throughout the agency.

In preparation for the exercise, you will find attached an Internal Control Questionnaire, and a Pre-Visit Questionnaire. Please complete and return these documents prior to the visit. Additional attachments consist of an itemized list of documents that may be reviewed during the monitoring exercise and an agenda for the upcoming entrance conference.

During the course of the exercise, the CSBG monitoring team will review various documents which will include, but will not be limited to, the following areas of your organization:

- Governance – Bylaws, Board roster/composition, Minutes
- Fiscal – Financial reports, Procurement, Financial systems and controls
- Programmatic – Needs Assessment and Program operations, Outcomes data
- Administration – Policies and Procedures, Employee training, etc.

In addition, interviews will be conducted with the Board of Directors and key members of the organization.

To assist us in carrying out this exercise, we ask that you reserve space where we can review documents or meetings as needed.

The CSBG monitoring team expects that we can conclude the on-site exercise by (date) and complete a report development by (date). This projected time-line is contingent upon the availability of all requested records, Board members and staff.

I look forward to working with you during this exercise, and to our continued collaborative efforts on behalf of the low-income residents of the District of Columbia. As always, I am available to discuss any question or issue that you may have as we embark on this exercise.

Sincerely,

/s/

Attachments

Agenda

Monitoring Checklist

Pre-Visit Questionnaire

Internal Control Questionnaire

DC/DHS/FSA/CSBG FY ----- Program Monitoring Checklist

DOCUMENTS REQUESTED AND REVIEWED

I. Governance

- a. _____ Strategic Plan
- b. _____ Organization Chart
- c. _____ Board Members
- d. _____ Paid Board Members
- e. _____ Executive Oversight System
- f. _____ Governance Structure and Position Descriptions
- g. _____ Agency Policies and Procedures Manuals (Written Internal Controls) Fiscal, Management, Personnel, Staff Development and Training, Travel, Contracts and Procurement, etc.
- h. _____ Documents or Records of Community Meetings
- i. _____ List of Volunteers and Number of Hours Served
- j. _____ Agency Whistle-Blowing Policy
- k. _____ Grant Agreement
- l. _____ Agreements between Grantee and Sub-recipients

II. Programs

- a. _____ Community Needs Assessment
- b. _____ Demographic Summary of Targeted Communities
- c. _____ Participant Recruitment and Referrals Plans
- d. _____ Summary of all Program Activities
- e. _____ Program Marketing Plans
- f. _____ Participant Program Monitoring and Tracking System
- g. _____ FY --- and --- Sub-recipient CSBG Awards
- h. _____ FY --- and --- Sub-recipient Listing
- i. _____ Sources of all Program Funding
- j. _____ Most Recent Program Evaluation Reports

- k. _____ Copy of any Federal Program Desk Review (FY 2012, FY 2013 and Current or Planned)
- l. _____ Client Outcomes
- m. _____ Community Outcomes
- n. _____ Program Development Plan
- o. _____ Evidence-based Practices

III. Fiscal Management

- a. _____ Agency Overall Budget
- b. _____ Sources and Uses of Funds
- c. _____ Schedule of Sub-recipient Funding
- d. _____ FY --- Expenditure Statement (Thru 2nd Quarter)
- e. _____ Cost Allocation Schedule (Program Expense Report thru 2nd Quarter)
- f. _____ Balance Sheet
- g. _____ List of purchases/Procurement of \$5,000 or more.
- h. _____ Source and Amount of income
- i. _____ Copy of Most Current Indirect Cost Agreement/Certification: Indirect Cost Rate
- j. _____ List of any Commitments or Contingencies Relating to any Federal, Local or Private Funding
- k. _____ List of All Employees Paid from CSBG Funds
- l. _____ List of All Unit/Section Managers
- m. _____ All Agreements, if any, Between Grantee and Sub-recipient
- n. _____ FY --- A-133/Single Audit Exercise/Report and External Audit Report
- o. _____ Auditor's Name and Length of Agency Experience
- p. _____ Proportionate Facility Use/Construction/Building Improvement Report
- q. _____ Space Allocation Plan
- r. _____ Review Financial Internal Control System
- s. _____ Allowable Direct, Indirect and Administrative Costs
- t. _____ Depreciation Schedule/Records on Vehicle Fleet and Inventory
- u. _____ Most Recent IRS Filing/990s
- v. _____ Insurance - Facilities, Vehicles and Other Related Certifications
- w. _____ Payroll Test

- x. _____ Consultant and Delegate Agency Contracts
- y. _____ Vendor Contracts and Purchase Notification Orders
- z. _____ Invoices and Invoice Certification Orders
- aa. _____ Training and Travel Expenses
- bb. _____ Petty Cash Accounts (Use of debit and credit cards)
- cc. _____ Telephone Charges and Payments (to include cell phones)
- dd. _____ Line of Credit Statements

**DC Department of Human Services
Community Services Block Grant
Pre-Visit Questionnaire**

Agency: _____
Review Date: _____
Agency Representatives(s): _____
Completed by: _____ **Date:** _____

General Information

Number of Wards being served: _____

Who handles the oversight responsibilities related to the agency’s CSBG program?

Describe the collaboration that occurs to address poverty in the various areas served:

Indicate the federal objectives being met through CSBG funding:

- | | |
|----------------------------|-----------------------------|
| 1. _____ Employment | 5. _____ Emergency Services |
| 2. _____ Education | 6. _____ Linkages |
| 3. _____ Income Management | 7. _____ Self-Sufficiency |
| 4. _____ Housing | 8. _____ Health |

Indicate which National Goals are being met through CSBG program operations:

1. ___ Low-income people become more self-sufficient
2. ___ Conditions in which low-income people live are improved.
3. ___ Low-income people own a stake in their community
4. ___ Partnerships among supporters and providers of services to low-income people are achieved.
5. ___ Agencies increase their capacity to achieve results.
6. ___ Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

Tripartite Board

Provide the following information regarding the agency’s current Board composition:

Sector Represented	# of Seats	# of Vacancies

TRIPARTITE BOARD (continued)

Please have a current roster of members as follows: Name, sector representing, date of appointment and term limit.

Has the board received training on governance and fiduciary responsibilities?

() Yes, training was provided on _____.

() No, training has not been provided.

Have Board members received training on ROMA?

() Yes, training was provided on _____.

() No, training has not been provided.

Sub-Contractors / Sub-Grantees

Does the agency sub-contract for any of the CSBG program services provided? () Y () N

How many sub-contracts has the agency entered into for the current CSBG program? ____

Who handles the oversight responsibilities for the agency's subcontractors?

Name: _____ Title: _____

Briefly describe how CSBG funds are allocated to, and utilized by, the agency's subcontractors:

Is there documentation of participation by low-income and/or homeless individuals in the planning process? () Yes () No

Are contracts with all subcontractors available for review by DHS staff? [] Y [] N

How often does the agency monitor its subcontractors?

Briefly describe the monitoring process for subcontractors:

Does the agency require all subcontractors to submit periodic, detailed reports which provide information necessary for the agency to complete timely and accurate reports as required in its contract with DHS?

Does the agency provide ROMA training for all of its subcontractors? () Yes () No

When was the last ROMA training conducted for subcontractors? _____

Client Files

Are client files complete, on-site, and available for inspection by DHS staff? [] Y [] N

Do client files contain the following documents and information:

- _____ Intake application (including demographic data)
- _____ Household income (including verification at 125% poverty guidelines)
- _____ Type of service or assistance
- _____ Date(s) of service
- _____ A plan for moving the client toward self-sufficiency
- _____ Follow-up information
- _____ Review of service(s) provided and impact on the individual or family
- _____ Referrals and follow-up

Does the agency have a posted grievance process for those denied services? [] Y [] N

What procedures does the agency have in place regarding denial of services to applicants determined ineligible for services?

Has the agency received any grievances regarding the CSBG program? [] Y [] N

Program Operations

Briefly, what is the agency’s current assessment of its progress towards accomplishing the objectives of its CSBG program as stated in the Application and ROMA Plan?

How often does the agency perform a needs assessment to prioritize its programs and ensure that those most in need are being served?

Are all client service locations and meetings accessible to persons with disabilities?

Are there any unresolved findings or compliance issues previously brought to the agency’s attention as a result of contract reviews, audits or other matters?

What Technical Assistance and/or Training do the agency and/or its subcontractors currently need?

What service gaps do the agency and/or its subcontractors encounter?

Internal Control Questionnaire

The internal control structure of an organization is a combination of policies and procedures designed and established to provide the entity's management reasonable assurance that the following objectives are achieved:

1. Transactions are properly recorded and accounted for to permit the preparation of reliable financial statements and other financial reports;
2. That transactions are executed in compliance with applicable laws, regulations, and the provisions of contracts or grant agreements; and
3. That the organization maintains accountability to ensure that funds, property, and other assets are safeguarded against loss from unauthorized use or disposition.

To assist DHS with its fiscal monitoring, please provide the following information:

General Information	Yes	No
Is a specific individual responsible for maintaining the agency's financial records and for posting accounting transactions to them? Name and Title: _____		
Is another individual responsible for monitoring and reviewing the above individual's work? Name and Title: _____		
Who opens incoming mail? Name and Title: _____		
Who receives bills and invoices? Name and Title: _____		
Who approves payments? Name and Title: _____		
Who signs checks? Name(s) and Title(s): _____		
Who prepares monthly bank reconciliations? Name and Title: _____		
Who approves the Request for Funds (RFF) forms submitted to DHS? Name and Title: _____		
Does the agency maintain records for property acquired with funds from awards administered by DHS that indicate the following:	Yes	No
a. Date the asset was acquired?		
b. Description of the asset?		
c. Physical location of the asset?		
d. Cost or valuation of the asset?		
e. Disposition of the asset?		
Is a physical inventory conducted (at least once per year) to verify assets remaining in possession and control of the grantee?		

General Information (continued)	Yes	No
Are identification tags placed on all property and equipment acquired with CSBG funds in accordance with OMB Circular A-110 1999 Section #34?		
If any property acquired with DHS administered funds was damaged, lost or stolen, was it promptly reported to DHS?		
Are there procedures to ensure program income from the sale of real or non-expendable property is properly recorded and reported? If yes, describe: _____		
For expendable personal property, are there adequate records to support the receipt of goods, issuance of goods and the balance of goods on hand? Describe: _____		
Does the agency follow appropriate procurement procedures?		

Financial Reporting	Yes	No
Are the required Single Audit A-133 document submitted to DHS:		
a) Complete?		
b) Submitted on a timely basis?		

Accounting Records	Yes	No
Does the agency's accounting system allow for the identification of revenues and expenditures by specific grant?		
Does the agency identify expenditures in its accounting records according to eligible activity classifications or categories as specified in the budget attached to the grant contract(s)?		
Describe from the following those that are utilized or maintained by the agency (insert alternate descriptions as applicable):		
a) General Ledger		
b) General Journal		
c) Cash Receipts Journal		
d) Cash Disbursements Journal		
e) Payroll Journal		
f) Check Register		
Do the accounting records indicate total revenues and expenditures to date, and the budget balance remaining for each activity? If not, how does the agency maintain budgetary control? _____ _____ _____		
Are expenditures charged to each grant supported by invoices, purchase orders, contracts, etc.?		
Are payroll expenditures supported by time and attendance records?		
Do time and attendance records reflect the percentage of time charged to the program as indicated in the contract budget and Scope of Work?		
Does the agency ensure that charges for travel have documentation that includes the		

justification for the travel?		
-------------------------------	--	--

Eligibility of Costs Reported Monthly Financial Reports	Yes	No
Can a sample of cash disbursements from expenditures reported to DHS on the Financial Report forms be traced from original accounting entries to:		
Canceled checks or their digital images on bank statements?		
Purchase orders or other contracts to purchase goods and services?		
Vendor statements, bills, and invoices?		
Approved activities identified in the contract?		
Would a spot check of a sample of the following items of cost reveal any obvious instances where these expenditures were not necessary and reasonable for proper and efficient administration of the program:		
Salaries and related costs?		
Administrative services contracts (e.g. legal, audit, consulting)?		
Travel expenditures?		
Other administrative costs?		
Would a review of program expenditures reveal the existence of any unallowable costs including, but not limited to:		
Entertainment?		
Contributions and/or donations?		
Fines and/or penalties?		
Have any costs related to political activities been charged to the grant program?		
Are costs charged to the grant program net of any and all applicable discounts, refunds and/or credits?		
Are costs charged to the grant program allocable to or included as a cost of any other program in either the current or a prior period?		
Does the agency have an Indirect Cost Rate approved by their Federal cognizant agency? If yes, please have copy available for review.		
Have all planning and administrative costs subject to the percentage limitations been properly classified?		
Would a review of the personnel roster of staff being paid from program resources reveal any obvious instances of personnel being paid from, but not working on, program activities?		
If the contract(s) selected for review contain any special conditions limiting the obligation or expenditure of DHS funds, did the agency comply with those special conditions?		

Cash Management	Yes	No
Are payments received from DHS traceable to the agency's Cash Receipts Journal or other accounting records and to the General Ledger?		
Does the agency deposit all cash receipts within number of business day required in its policy manual?		
Did the agency make periodic and timely payments for required payroll deductions and payroll taxes?		

Program Income	Yes	No
If revenue generating or potential revenue generating activities are being undertaken (e.g., loan repayments, property disposition, etc.), does the agency's system for recording program income provide for current, accurate and complete recording of program income into a revenue account? If not, identify any deficiencies: _____		
Is the agency undertaking activities generating or likely to result in program income? If yes, list activities: _____		
And complete the following:		
a) Does the agency have a plan for use of program income that has been approved by DHS?		
b) Describe the steps the agency is taking to account for program income: _____		
c) Will the agency generate program income after project closeout?		
If yes, how will the agency ensure that program income is spent on eligible activities? _____		

Grantee/Sub-recipient: _____

Agency Representative **Title** **Date**

SECTION III

PROGRAM MONITORING

**DC DEPARTMENT OF HUMAN SERVICES
Community Services Block Grant**

Monitoring Tool for Programmatic Review

Agency: _____

Project manager: _____ **Date of Visit:** _____

Agency Staff involved in review: _____

Were CSBG Pre-Visit and Internal Control Questionnaires mailed out to the agency at least four weeks in advance of the scheduled on-site visit? Did the agency complete and return the questionnaire?

In preparation for the on-site visit, review the agency's current contract file including log notes and correspondence to determine the following:

REPORTING REQUIREMENTS	Yes	No	Comments
Is the agency submitting the FFR forms on a timely basis?			
Is sufficient documentation submitted with each Financial Report to support the expenditures reported?			
Are expenditures reported by the agency to date within the budgeted amounts by category per the contract?			
If reported expenditures exceed budgeted amounts by line item, has the agency requested an amendment to the original budget and/or provided adequate explanation for any significant variances?			
Is the agency on track to draw down the remaining balance of the award within the contract period?			
Is the agency participating in the ROMA system for measuring performance and results?			
Based on the reports submitted to DHS, does the agency demonstrate that they understand National Indicators?			

Review the agency's Board roster, information provided by the agency on the CSBG pre-visit questionnaire, and interview appropriate agency staff to complete the following:

BOARD GOVERNANCE SYSTEM	Yes	No	Comments
Does the agency have a Tripartite Board in place to oversee its CSBG programs?			
Does DHS have a copy of the most recent Board roster?			
Does the Board roster include the name, title, address, sector represented, date appointed or elected, and term expiration date for all Board members?			
Do representatives of low-income persons reside in the			

neighborhood from which they were elected?			
--	--	--	--

BOARD GOVERNANCE SYSTEM (continued)	Yes	No	Comments
Have 25% of either public or low-income sector Board seats remained vacant for more than 90 days?			
Does DHS have a copy of the most current By-laws?			
Is there a Code of Ethics for the Board?			
Is the Mission Statement in the agency's Board Manual?			
Does the Board approve the agency's annual budget?			
Does the Board approve the agency's policies?			
Do Board members receive ROMA training?			
What is the date of the last ROMA training meeting conducted for the Board? _____			
Does the Board have committees structured to fully address its fiduciary and governance responsibilities?			
Does the Board have an adequate system for the orientation of new Board members?			

On-Site Review the Minutes of the agency's Board meetings to determine the following:

BOARD MEETINGS AND MINUTES	Yes	No	Comments
How often does the Tripartite Board meet?			
Are regular Board meetings open to the public?			
Has DHS been provided with a schedule of Board meetings?			
What is date of the most recent Board meeting attended by the Project manager? _____			
Have all Board Minutes been submitted to DHS?			
Do Minutes list Board members in attendance & absent?			
Is there a quorum present at all meetings?			
Do Minutes indicate that Board members are aware of their roles and responsibilities in regards to the CSBG program?			
Are financial reports communicated regularly to the agency's Board and policy groups?			
Is the Board provided with <u>current</u> financial information?			
Is there evidence in the Minutes that the Board uses community needs and service gap analysis to establish service priorities and adopt program objectives?			
Do the Minutes indicate that the agency's Board fully participates in the development, planning, implementation, and evaluation of the CSBG program?			
Does the Board monitor staff development/training needs, plans and outcomes?			
Does the Board monitor program performance by comparing outcome goals to outcomes achieved?			

Does the Board formally evaluate major programs every three to five years, including regulatory compliance and outcome analysis?			
--	--	--	--

(Done in the field) Based on previous knowledge of the agency's operations and the updated information gathered during the current review, assess the agency staff assigned to CSBG program:

PERSONNEL	Yes	No	Comments
Does the agency have adequate staff assigned to administer the CSBG program activities effectively and efficiently?			
Did agency staff involved in the on-site review demonstrate knowledge of CSBG program guidelines and procedures?			
Has the agency experienced recent turnover in staff assigned to administer the CSBG program?			
Are all staff positions identified in the CSBG Contract application, and any amendments thereto, filled?			
Are all staff members performing the duties described in the job descriptions submitted when the CSBG contract was negotiated?			

Review a sampling of client files to determine the following:

CLIENT FILES/ELIGIBILITY	Yes	No	Comments
Is a client file maintained for each person served?			
Does the form used for determining client eligibility identify all eligibility criteria and the documentation used in making the determination?			
For clients receiving direct services, is income documented for all members of the household 18 years and older?			
Is there evidence in the client files reviewed that the agency has procedures in place to verify income amounts and family size as stated in the application?			
Is the agency using the appropriate HHS poverty guidelines to determine eligibility?			
Does the agency limit eligibility to clients at or below 125% of the HHS poverty guidelines?			
Do intake forms include client characteristics necessary for the agency to file accurate demographic reports?			
Does the client signature section of the intake form include a self-declaration statement that the information provided is true and correct, to the best of the applicant's knowledge?			
Do client files contain information regarding types of assistance and dates of services provided?			
Do client files contain a log describing the nature of the service(s) provided, including the date and amount of such services?			
Are proper procedures in place for case management, and is adequate client information and follow-up documented?			

Does the agency have in place an effective system for tracking and reporting the number of clients transferring out of poverty as a result of the services provided by the agency?			
Are referrals documented/logged in the client files?			
Did the agency document follow-up activities?			
Is there evidence that applicants were apprised of grievance procedures if services were denied?			
Does the agency link with other programs in the community when services required are beyond the agency's scope?			

Review current year budget for direct services line item(s). If the agency has set aside monies for direct services, review a sample of client files served with direct CSBG program funds to address the following (skip this section if no direct services are provided):

CLIENT FILES – DIRECT SERVICES	Yes	No	Comments
Does the agency take a new program application once each contract year? If not, how does the agency ensure on-going eligibility?			
Is documentation such as a bill, voucher, and/or copy of the check retained in the client file for services provided?			
Are persons first-time served and service units being counted correctly?			
Were detailed case management activities thoroughly documented in the client files?			
Were client goals mutually agreed to and documented?			
Were efforts to achieve goals documented?			
Were goals oriented toward self-sufficiency?			
Are the services provided consistent with the program narrative and Scope of Work?			
Does the agency link with other programs in the community or area when services are beyond the agency's scope?			
Is the agency taking appropriate steps to ensure privacy and confidentiality of client information, such as secure files, confidentiality policies, private consultation space, etc.?			
Are client records maintained for at least three years?			

Address the following questions after reviewing a sampling of client files:

SUMMARY OF REVIEW OF CLIENT FILES	Yes	No	N/A	Comments
Did the review of the client files sampled indicate that all clients provided services were eligible? If not, indicate the number of clients determined ineligible and/or unverifiable in each service category.				
Did the review of the documentation indicate that the services have impacted on client self-sufficiency?				

PROGRAM PERFORMANCE REVIEW

As part of the exit interview, and based on information obtained during the monitoring visit, discuss the following with the agency's Executive Director or other responsible staff:

PROGRAM OBJECTIVES	Yes	No	Comments
Are all of the Wards in the agency's service area served equitably?			
Is the agency gathering and tracking all information needed to complete the CSBG program reports?			
Are program outcomes sufficiently documented?			
Is the agency on track to meet the goals and objectives stated in the application and Scope of Work by the end of the contract period?			
Is the agency utilizing all of its current year Performance Measures in its service delivery area to measure outcomes?			
Is the agency fulfilling its responsibility to establish and maintain an effective internal control system to ensure that: Appropriate goals and outcome measures are met; Resources are safeguarded; Rules and regulations are followed; and Reliable data are obtained, maintained and fairly disclosed.			
Is the agency fulfilling its responsibility to use resources efficiently, economically, and effectively to achieve the purposes for which the CSBG funding was provided?			
Is the agency able to verify the number of unduplicated persons served as reported on the monthly report.			

ROMA REPORTING	Yes	No	Comments
Has the sub-recipient received outcome/ROMA training from DHS and/or CAP?			
Has the agency developed a system, or does the agency use the existing ROMA system, to provide a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability, and community revitalization?			

GENERAL OPERATIONAL ISSUES	Yes	No	Comments
Are all client service locations, services provided, and hours of operation accessible to persons with disabilities (to the extent feasible)?			
Has the agency taken appropriate steps to address language barriers with the clientele in their service area?			

AGENCY MANAGEMENT

Interview the Executive Director and or Board Representative(s)

A. Mission and Vision

1. Briefly Describe the mission and vision of the Agency:
2. When was the mission statement updated?
3. How is the public made aware of the mission of the Agency?
4. Is the mission statement posted in public area of the Agency?
5. Is the mission statement posted on the Agency's website?
6. Is the mission statement consistent with the current practices of the Agency?

B. Strategic Plan

1. Is there a strategic plan Yes ___ No ___
2. How often is the strategic plan updated?
3. What is the timeframe of the most recent plan?

- 4. In developing the strategic plan, was information used from a community assessment and customer surveys? Yes ____ No ____
- 5. In developing the strategic plan, which of the following was involved:
 - Customers/recipient of services Yes ____ No ____
 - Community forums of focus groups Yes ____ No ____
 - The board of directors Yes ____ No ____
 - Agency staff Yes ____ No ____
 - Community Partners Yes ____ No ____
 - Funding sources Yes ____ No ____

Others:

- 6. To whom was the strategic plan distributed?
- 7. How is the strategic plan used to guide services and activities of the agency? Also, is it evident in the ROMA plan? Yes ____ No ____
- 8. Is the CSBG ROMA plan consistent with the agency strategic plan?
- 9. Briefly describe agency long-range plans.
- 10. Describe how CSBG funds are used toward implementation of long-range plans and the strategic plan.

C. Board Composition

- 1. Is the composition of the board consistent with CSBG federal statute as described in IM# 87? Yes ____ No ____
- 2. In addition to CSBG, are there other required regulations regarding board composition? Yes ____ No ____

If yes, describe:

3. Do the agency by-laws fully describe the process to be used to ensure compliance with the CSBG federal statute? Yes _____ No _____
4. Who is responsible for the selection of members to fill vacancies on the board of directors?
5. What is the board size as stated in the agency by-laws?
6. How many seats are currently filled? _____
7. Are there term limits? Yes _____ No _____

If no, explain:

8. What are the terms of membership? _____ years
9. What efforts are made to ensure full participation of the Head Start Policy Council (if applicable)?

(a) How many members are representatives of the Policy council?

10. Describe the process used to ensure the democratic selection of representatives of low-income individuals, families and neighborhoods served by the agency.

a. Of those representing this sector, how many meet the federal poverty guidelines?

b. How many represent a specific neighborhood? _____

11. Describe the process for selecting members from the private sector:

a. Of those representing this sector, how many are current members of officers of the categories represented?

Business _____

Industry _____

Labor _____

Law Enforcement _____

Education _____

Religious _____

Other _____

12. Describe the process used to select public officials to serve on the board.

- a. Of those representing this sector, how many currently hold office _____
- b. How many elected public officials personally have a seat on the board? _____
- c. How many have a seat, but selected a representative to attend meetings? _____
- d. How many did not accept the seat, but recommended another person to take the seat? _____

13. What is the date of the last amendment of the bylaws? _____

14. Is the agency's Article of Incorporation on file and current as to the address and functions of the agency? Yes _____ No _____

15. On average, how much time is spent at each meeting reviewing financial statements?

16. Is the agency operating a deficit or a surplus?

17. Do board members actively advocate on behalf of the agency?

Yes _____ No _____

18. Do board members understand that they can act on the Agency's behalf only with the consent and authority of the board?

19. Has the board adopted a code of ethics or code of conduct? Yes _____ No _____

Program Volunteer Services

1. What procedures are in place for the recruitment and retention of volunteers?

 2. Do the Personnel Policies and Procedures include information on the use of volunteers?
(examples: restrictions, duties, screening, etc.)

Yes _____ No _____

 3. Who is responsible for training and supervision of volunteers? (Title)

 4. How are volunteers compensated and recognized?

 5. What process is used to assess the value of time contributed by volunteers?

 6. Describe the process used to check references and background of volunteers who work with children.

 7. Do board members volunteer in the programs operated by the agency? Yes No
-

Which federal notices are posted?

Title 7	<i>Yes</i>	<i>No</i>
OIG Fraud Hotline Poster (oig.hhs.gov/fraud/hotline/OIG_hotline_poster.pdf)	<i>Yes</i>	<i>No</i>
Equal Pay Act	<i>Yes</i>	<i>No</i>
Age Discrimination in Employment Act	<i>Yes</i>	<i>No</i>
ADA	<i>Yes</i>	<i>No</i>
501 Rehabilitation Act of 1973	<i>Yes</i>	<i>No</i>
Civil Rights Act of 1991	<i>Yes</i>	<i>No</i>
Other:		

8. What procedures are in place to respond to a crisis or emergency within the agency?

9. How frequently are fire drills conducted?

10. Are any employees certified in CPR or other first aid measures? *Yes* *No*

Supplemental Questions for Program Directors and Department Heads

Note: Responses will be summarized to collectively respond to each question without specific reference to the individual. Information shared in confidence will not be included, but will be forwarded to the CSBG Director for appropriate action.

1. Describe your area of responsibility.
2. How many staff are in your unit?
3. Is there a budget for your unit? *Yes* *No*
 If yes:
 - a) What process is used to develop the budget?
 - b)
 - c) What is the source of funding?

 - d) How are expenditures monitored?
4. How is the work of your unit monitored?
5. Who is responsible for conducting staff meetings for your unit?
 How frequently are meetings held? _____
6. What reports are required to document the following:
 - a) expenditure of funds?
 - b) program progress?

 - c) customer satisfaction?
7. Do you have a copy of the Personnel Policies and Procedures? *Yes* *No*

Supplemental Questions for Program Directors and Department Heads (continued)

8. How frequently are you evaluated?

9. Are the evaluation processes and procedures consistent with the PPP? *Yes* *No*

10. Describe opportunities for staff development.

11. What suggestions would you make for improvements in the areas of :

_Service Delivery

_Marketing

_Management

_Programs

_Communication

12. Other comments:

Supplemental Questions for Board Treasurer/Finance Committee Chair

(If not available during the on-site monitoring request to be completed within two weeks of receipt and submitted to: _____.

1. Is there a finance committee of the board? *Yes* *No*
If yes, how many members?
2. How often does the committee meet?
3. Are the minutes of the committee meetings provided to the board? *Yes* *No*
4. What items are routinely covered by the finance committee?
5. Does the finance committee analyze expenditure reports and provide a report to the board? *Yes* *No*
6. When expenses exceed budgets, how is this dealt with?
7. Does the finance committee periodically review cash receipts or disbursements? *Yes* *No*
8. Does the finance committee review the salary structures for all positions? *Yes* *No*
9. Does the finance committee use the agency's fiscal manual during meetings? *Yes* *No*
10. How are the costs allocated to programs?
11. How many bank accounts does the agency have? _____
Does the finance committee receive regular reports on the status of the accounts? *Yes* *No*
Who has access to the bank accounts?
12. Is there a periodic review of financial operation of the agency? *Yes* *No*
If yes, what is the role of the treasurer or the chair of the finance committee?
13. What process is used to ensure that required fiscal reports and tax documents are submitted?
14. Does the finance committee play a role in the development of fiscal policies? *Yes* *No*
If yes, how?

Obtain and review a copy of the agency's By-laws to address the following:

BY-LAWS	Yes	No	N/A	Comments
How many Board members do the By-laws specify?				
How often is the Board required to meet?				
What is the date the Board last reviewed the By-laws?				
Does DHS have a copy of the sub-recipient's most recent By-laws?				
Do By-laws specify a method for selection that is appropriate for each Board sector?				
Do By-laws contain an acceptable limitation on board service for representatives of the private and poverty sectors?				
Do By-laws address non-discrimination policies?				
Do By-laws state that decisions made in closed session must be finalized in a meeting open to the public?				
Do By-laws state that written minutes of all open meetings shall be kept?				
Do By-laws state how far in advance Board members are to receive notice of Board meetings?				

Obtain the most current roster of the agency's Board of Directors and extract the following information:

BOARD COMPOSITION	Yes	No	N/A	Comments
Is the composition of the Board appropriate, e.g., at least 1/3 democratically elected representatives of low-income individuals and at least 1/3 elected officials or their representatives?				
Are election/selection procedures in accordance with agency Bylaws and CSBG policy issuance?				

Elected Public Officials	Low-Income Representatives	Private Sector Representatives
# of Seats _____	# of Seats _____	# of Seats _____
# of Vacancies _____	# of Vacancies _____	# of Vacancies _____

Review the current Board Roster and Board minutes from at least the previous four meetings to determine the following:

BOARD GOVERNANCE SYSTEM	Yes	No	N/A	Comments
Are private and poverty sector Board members within the limitations on Board service?				
Has agency ensured there are no vacancies in Board membership, both overall and by sector?				
Are Board meetings conducted as required by the bylaws.				
Do the Minutes list Board members in attendance at Board meetings and other guests present?				
Is there evidence in the Minutes that the Board receives programmatic and financial information relating to CSBG and all other programs?				
Did the review of the Minutes support that the Board fully participates in the development, planning, implementation, and evaluation of the CSBG program?				
Do the Minutes accurately reflect the actions taken at Board meetings, including the exact wording of motions?				
Do the Minutes state who second a motion?				
Does the Board follow the By-laws for such issues as Board membership, removing Board members for lack of attendance, etc.?				
Is the Board active and engaged in fulfilling the Mission of the agency?				
Is the Board a true policy-making body, or does the Board wander into operational or procedural matters (micro-managing the agency)?				
Does the Board serve primarily as a “rubber stamp” for the agency’s Executive Director?				

NOTES:

SUMMARY OF PROGRAM REVIEW

Based on information obtained from completing foregoing checklist, a review of information provided in the questionnaire, and interviews with various agency personnel, briefly describe any training or technical assistance needs identified during the monitoring process:

Briefly describe any instance(s) of noncompliance and/or areas that require improvement:

Notes regarding recommendations for corrective actions and follow-up activities, including time frame and expected results:

CSBG Program Staff

(Date)

(Sub-recipient Representative and Title)

(Date)

SECTION IV

MONITORING TOOL FOR FISCAL REVIEW

DC DEPARTMENT OF HUMAN SERVICES
CSBG ON-SITE FISCAL MONITORING GUIDE

FINANCIAL REVIEW

GENERAL FINANCIAL SYSTEM ISSUES	Yes	No	N/A	Comments
Does the agency have formal, written accounting procedures to determine whether costs are allowable, allocable, and reasonable, and that costs are charged during the appropriate funding period?				
Do the written procedures reflect current practice?				
Does the agency have an Operational Budget?				
Has the CSBG budget been amended or modified since the original encumbrance?				
Does the agency frequently compare actual versus budgeted costs?				
Were expenditures claimed on the initial FSR incurred by the sub-recipient within the term of the contract?				
Did the agency submit a final FSR form within 30 days after termination of the contract as required? Reference: CSBG Contract. <i>Submission of reports past the due date will be a finding.</i>				
For the term of the contract, were expenditures claimed within the CSBG Contract budget?				
Can the amount of funds released by CSBG be traced to amounts posted in the Cash Receipts Journal?				
Can the amounts posted to the Cash Receipts Journal be traced to bank deposit receipts and/or deposits listed on the sub-recipient's bank statement(s)?				

Randomly select at least three Financial Report forms from those submitted to the CSBG office and compare with copies from the agency's files. Review the agency's general ledger, work papers and/or other reports used to compile the amounts reported on the Financial Report forms to address the following:

REVIEW OF Financial Report Form	Yes	No	N/A	Comments
Do the amounts on the Financial Report forms from the agency's files agree with amounts on the Financial Report Forms from CSBG files?				
Can the amounts entered on the Monthly Memorandum for Disbursement be reconciled to the agency's General Ledger or other financial reports used to compile the amounts reported on the Financial Report form.				
Can General Ledger postings be traced to the original books of entry?				
Were all amounts reported on the selected Financial Report forms free of errors?				

FINANCIAL REVIEW (Continued)

Select a random sample of disbursements included in the expenditures reported on the **Financial Report forms** above and review supporting documentation such as vendor invoices, statements, purchase orders, canceled checks (or digital images thereof), vouchers, receipts, etc. to address the following questions:

CASH DISBURSEMENT TESTS	Yes	No	N/A	Comments
Is the supporting documentation adequate?				
Is there evidence of proper authorization by appropriate agency staff for purchase orders and requisitions?				
Are all general ledger entries traceable to source documentation?				
Do any of the expenditures examined appear to be non-allowable under CSBG rules and regulations?				
Can the amounts posted to the Cash Disbursements Journal be traced to canceled checks/digital images or debits posted to the agency's account by the bank?				
Are the amounts and dates of checks processed by the bank consistent with the postings to the agency's Cash Disbursements Journal?				
Were any checks written payable to "Cash" as payee?				
Are at least two signatures required on all checks?				
Were all checks properly co-signed by authorized personnel?				

Interview the agency's fiscal officer and other staff responsible for maintaining the accounting system and review appropriate accounting records to determine the following:

ACCOUNTING SYSTEM REVIEW	Yes	No	N/A	Comments
Are bank statements reconciled monthly to the General Ledger?				
Are there any checks outstanding for more than 90 days?				
Is a separate bank account maintained for CSBG funds received from DHS?				
If CSBG funds are in an interest bearing account, is interest earned allocated back to the program?				
Has the agency assured that no CSBG funds have been used to pay late fees to IRS or other penalties?				
Does the agency have a Cost Allocation Plan?				
Do written procedures ensure items of cost such as rent, utilities and other shared costs are equitably charged and allowable?				
Do administrative and indirect costs charged to the program have supporting documentation to form the basis for amounts charged to the program?				
Are allocated administrative costs and indirect costs posted to the general ledger on a timely basis?				

Does the agency maintain blanket fidelity bond coverage for programs supported by the contract? <i>Methodology: Review documentation to support the current policy.</i>				
Is there a system of control for the accounting of gas vouchers, motel vouchers, bus tickets and other direct services provided with CSBG funds? <i>Methodology: If yes, document procedure.</i>				
Does the agency pay all payroll taxes, Workers' Compensation premiums, and other insurance premiums on a timely basis?				
Can payroll tax payments be verified?				
Can Workers' Compensation premium payments be verified?				
Overall, is there a clear audit trail for all expenditures charged to the CSBG grant?				
Does the agency have procedures in effect regarding the number of years required for the retention of records.				

Other considerations:

How healthy is the agency's cash balances? Is the agency surviving month to month, or is there an ample cushion of funds available to sustain operations in the event DHS, or other funding, is interrupted or terminated?

Review the agency's most recent Accounts Receivable (A/R) Aging Report. Are there any questionable amounts listed for programs funded through DHS?

Review the agency's most recent Accounts Payable (A/P) Detail Report. Is the agency paying its bills on time, thus avoiding late charges and fees? Are there any questionable items or old unpaid bills on the A/P aging report?

Examples of non-allowable costs: Bad debts, entertainment, fines and/or penalties, certain interest or other financial costs, loan processing costs, ineligible acquisition or construction of shelter, costs to renovate, rehabilitate, or convert buildings owned by religious organizations, inspections, preparation of work spec, activities that would result in displacement of a place of business, lobbying or other political activities.

PROCUREMENT

GENERAL PROCUREMENT POLICIES	Yes	No	N/A	Comments
Does the agency have written procurement policies and procedures for small purchases, sealed bid, competitive negotiations, non-competitive negotiations and alternative procedures?				
Did the agency obtain advanced written approval from DHS for the purchase of any property with a unit acquisition cost of \$5,000 or more?				

<i>Methodology: Review any cumulative expenditures under the Equipment line item. Ask Fiscal Officer to provide list of all equipment purchases greater than \$5,000. Review procurement process followed.</i>				
Has the agency assured that a competitive bid process was used to procure services, e.g., Insurance? Lease agreements? Rental agreements? Contractual agreements? Any other items requiring procurement? <i>Methodology: Refer to the current budget and review the actual supporting documentation.</i>				
If other than small purchase method was used, did the agency enter into written contract with sub-contractor(s)? <i>Methodology: Review a sampling of procurement contracts. Does the contract contain the following provisions:</i>				

Review a sampling of procurement contracts to determine if the standard contract used by the agency contains the following provisions:

PROCUREMENT CONTRACTS	Yes	No	N/A	Comments
a. Administrative, contractual or legal remedies				
b. Early termination				
c. Hold harmless				
d. Conflict of interest and nepotism				
e. Prohibit political activity				
f. Fraud and abuse				
g. Amend contract				
h. Legal authority to sign contract				
i. Access to records				
j. Four year record retention				
k. Non-discrimination provision				

NOTES:

SUBCONTRACTS & SUB-GRANTEES

SUBCONTRACTORS/SUBGRANTEES	Yes	No	N/A	Comments
Does the agency sub-contract for any of the services provided under the CSBG award?				
Total # of sub-grantees during the grant period _____				
# of Wards served _____				
If the agency has sub-grantees, were all sub-contracts identified in the contract available for review?				
Was a fully executed contract in place for all of the agency's sub-grantees?				
Do contracts for sub-contracted services include a provision that the sub-grantee must follow District of Columbia				

procurement requirements and the fiscal requirements of agency's contract with DHS? Reference: CSBG Contract				
Are the amounts and activities of the sub-grantees consistent with the descriptions in the contract?				
Is there evidence the agency monitors its sub-grantees for contract compliance? How often are sub-grantees monitored? _____ Reference: CSBG Contract				
Were sub-grantees conducting their contracted activities and maintaining adequate supporting documentation?				
Were funds used only for allowable expenses?				
If the agency utilized a sub-grantee in the previous year, did the sub-grantee meet its goals? If not, was corrective action taken?				
Did a sub-grantee identify any concerns that could not be satisfactorily addressed by the Community Action Partnership (CAP)?				
If any services were sub-contracted in addition to those identified in the contract, was prior approval given by DHS?				
Does the agency's method of selecting service providers for sub-contracts ensure fair competition to all interested parties?				
Is there evidence that women and minority sub-grantees were actively recruited?				
Does the agency have procedures in place to ensure that sub-grantees have current insurance policies for blanket fidelity bond coverage; comprehensive general liability; directors and officers liability; umbrella excess liability; professional liability?				
Is there proof that sub-grantees have insurance?				
If client/participant interviews were conducted, were the clients/participants satisfied with the sub-grantee's service?				

AUDIT

REVIEW OF AUDITED FINANCIAL STATEMENTS	Yes	No	N/A	Comments
Is the agency subject to the single-audit provisions of OMB Circular A-133?				
Was CSBG selected as a major program?				
Have audit findings, if any, been discussed with the Board of Directors and with sub-recipient's staff? Methodology: Discuss finding(s) and note in monitoring report.				
Has the audit certification letter, if required, been submitted to DHS?				
Has the agency submitted the most current audit report to DHS? If not, when is/was the due date? Methodology: Contact OCP compliance division. Reference: OMB Circular A-133				
Are there any unresolved audit findings?				

If yes, what is the status of these findings? Methodology: Contact OCP compliance division.				
Have funds from the CSBG contract been allocated to pay for an audit? Methodology: Review fiscal records.				
Has the audit expense been contractually charged to administration for CSBG? Methodology: Review fiscal records				
Has the sub-recipient used a competitive solicitation process in the last four (4) years to procure audit services? Methodology: Review most recent audit package including type of solicitation of bids, bids from audit firms which responded, scoring criteria, and justification used to choose the firm.				

PRIOR MONITORING

For the following, review previous monitoring reports and findings. If not satisfactorily resolved, list any unresolved findings in the current monitoring report.

REVIEW OF PRIOR MONITORING REPORTS	Yes	No	N/A	Comments
Have all financial corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Have all programmatic corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Have all administrative corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Other than the annual independent audit, has the agency had any of its programs reviewed by representatives of other funding sources, such as Head Start Prism?				

PERSONNEL POLICIES AND PRACTICES

Obtain and review a copy of the agency’s personnel policies and procedure and interview the agency’s fiscal officer to determine the following:

GENERAL PERSONNEL POLICIES & PROCEDURES	Yes	No	N/A	Comments
Does the agency have written personnel policies and procedures?				
Is there a provision in the personnel policies to prohibit conflict of interest and nepotism?				
Do personnel policies correctly address sectarian activities? (Sectarian: religious , political, class discrimination/bigotry)				
Is there a provision to provide equal opportunity and prohibit discrimination on the basis of race, color, religion, sex, national origin, age, handicap, political affiliation or belief?				
Do personnel and EEO policies address a system by which				

discrimination complaints will be resolved?				
Is there a provision to prohibit political activity or lobbying?				
Is there a provision insuring that any person reporting a violation by the sub-recipient shall not be discriminated against? (Whistle-Blower Policy)				
Do personnel policies state that the sub-recipient may employ no board member during his/her service on the board, or for a period of twelve months thereafter?				
Are time and attendance records maintained for all staff charged to the CSBG contract?				
Does the agency use hourly distribution time sheets for employees paid from multiple funding sources?				

If the agency does use hourly distribution time sheets, obtain a roster of program support staff from the agency. Select a sample of employees and review a sample of timesheets for employees whose time is charged to multiple sources to determine the following:

TIME AND ATTENDANCE RECORDS	Yes	No	N/A	Comments
Do the timesheets substantiate expenditures charged to CSBG program?				
Do time and attendance records reflect the percentage of time charged to the program as indicated in the contract?				
Are positions charged to the correct categories? (<i>Case Management, Direct Services Support and Admin.</i>)				
Are timesheets signed by an appropriate supervisor or designated authority?				

Review a random sample of disbursements identified as travel and/or reimbursements and related employees' reconciled travel vouchers and other supporting documentation to determine the following:

TRAVEL POLICIES	Yes	No	N/A	Comments
Does the agency follow either a Board approved travel policy or DHS travel policy?				
Are travel reconciliations (specifically advances) submitted in a timely manner in accordance with the sub-recipient's policy?				
Are the travel expenditures allowable?				
Is the supporting documentation adequate, including appropriate justification for travel costs incurred?				
Does the agency maintain documentation on employee mileage reimbursements?				
Are travel expenses charged to the correct categories? (<i>Case Management, Direct Services Support, Administration</i>)				

RELATED PARTIES AND CONFLICTS OF INTEREST

RELATED PARTY TRANSACTIONS	Yes	No	N/A	Comments
Did the agency declare any related party transactions in the				

CSBG Contract?				
<p>During the on-site monitoring review, were there any instances noted where the agency made any payments for goods, services, facilities, salaries/wages, professional fees, leases, etc., to related parties for expenditures charged to the CSBG Contract without the prior written consent of DHS?</p> <p><i>Reference: CSBG Contract, Item 10. Related Parties, for the purposes of the CSGB Contract, shall mean organizations/persons related to the Contractor by any of the following: blood, marriage, one or more partners in common with the Contractor, one or more directors or officers in common with the Contractor, and/or more than 10% common ownership, direct or indirect, with the Contractor.</i></p>				

Briefly describe any related party transactions and/or conflict of interest situations noted during on-site fiscal review:

ADMINISTRATIVE

GENERAL	Yes	No	N/A	Comments
Does the agency maintain all issuances and memoranda regarding CSBG funding in a centralized file or notebook?				
Does agency staff have access to CSBG guidelines?				

Internal Control Evaluation Checklist

Grantee _____ Contact Person _____

Contract Number: _____

Contract Period: _____

CASH RECEIPTS	Yes	No
Have procedures been established to notify the program director and other appropriate personnel when funds are deposited directly into the grantee’s bank account?		
Is there a policy requiring that all cash receipts should be recorded promptly and deposited intact daily or at appropriate intervals?		
Are duplicate deposit slips prepared so that the bank can process one copy and return the other for checking against the cash receipts record?		
Is the person responsible for receiving cash without authority to sign checks and reconcile bank accounts?		
Was all staff handling cash covered by a Fidelity Bond?		

CASH DISBURSEMENTS	Yes	No
Are checks controlled and accounted for with safeguards over unused, returned, and voided checks?		
Is the drawing of checks payable to “cash” or “bearer” prohibited?		
Are unused checks kept in a secure area?		
Is there an enforced rule against signing checks in advance?		

If check-signing plates are used, are they adequately controlled and maintained by a responsible official who reviews and accounts for prepared checks?		
Are two signatures required on all checks over a stated amount? If yes, what amount has been established? \$ _____		
Are check signers responsible officials or employees of the organization?		
Is there sufficient separation of duties to ensure effective control over preparation, authorization/certification, and distribution of checks?		

PETTY CASH	Yes	No
Is petty cash reimbursed by check, and are disbursements reviewed and reconciled at that time?		
Are petty cash receipts cancelled upon reimbursement of the fund to prevent reuse?		

PURCHASING	Yes	No
Do supporting documents, such as invoices, purchase orders, and receiving reports, accompany checks when presented for check signers' review?		
Are extensions on invoices and applicable freight and other charges checked by appropriate personnel?		
Are vouchers and supporting documents appropriately cancelled (stamped or perforated) to prevent duplicate payments?		
Are checks adequately cross-referenced to vouchers?		
Are all disbursements, except those made from petty cash, made by check?		

PAYROLL AND PERSONNEL	Yes	No
Are personnel policies in writing?		
Are duties for key employees of the grantee defined?		
Is there an organization chart setting forth the actual lines of responsibility?		
Are there procedures to control time and attendance reporting?		
Are time cards and/or attendance sheets used?		
Is supervisory approval of time and/or attendance reports required?		
Are there procedures to ensure that employees are paid in accordance with approved wage and salary rates?		
Is the distribution of payroll charges checked, and are aggregate amounts compared to the approved budget?		
Are authorizations on file to support the rates of pay, withholdings, and deductions for each employee?		
Are payroll checks distributed by persons not responsible for preparing the checks?		
Has the grantee obtained fidelity bond coverage for responsible officials and employees? (Indicate those covered and the amount of coverage).		

BANK STATEMENTS	Yes	No
Are bank statements received, and reconciliations prepared monthly, by someone other than the fiscal officer?		
Are old outstanding checks followed up on?		
Are deposits-in-transit reviewed for reasonableness?		

ACCOUNTING POLICIES & PROCEDURES	Yes	No
Are written procedures maintained covering the recording of transactions, an accounting manual, and a chart of accounts?		
Does the grantee maintain a policy manual covering approval authority for financial transactions?		

Does the policy manual include guidelines for controlling expenditures, such as purchasing requirements and travel authorizations?		
Are duties separated so that no one individual has complete authority over an entire financial transaction?		
Are the grantee's financial records computerized?		
Are the accounting records kept up-to-date, and is a trial balance prepared at least monthly?		
Are financial statements prepared and distributed to management periodically (monthly or quarterly)?		
Are general journal entries approved prior to posting?		
Are general journal entries supported by adequate explanations and/or supporting documentation?		
Do the procedures, chart of accounts, etc., provide for the identification and recording of all receipts and expenditures for the entire project as shown in the project budget?		
Have all non-cash transactions been properly explained/documentated and recorded in the accounting records?		
Are accounting records and valuables secured in limited-access areas?		
Are individual contract registers or subsidiary schedules maintained for each contract awarded?		
Are subsidiary records for assets, accounts receivable, accounts payable and contract registers reconciled with control accounts on a regular basis?		
Does the grantee have a cost allocation plan?		
Did administrative and indirect costs charged to the program have supporting documentation to form the basis for amounts allocated?		

Were allocated costs posted to the general ledger on a timely basis?		
--	--	--

INDEPENDENT FINANCIAL AUDIT	Yes	No
What is the expected date the audit requirement for this contract will be completed by? _____		
Does the grantee have a competitive procurement process to select an auditor? If no, explain the selection process: _____		
What is the time period of the most recent audit report? From: _____ To: _____		
	Yes	No
Was the audit report completed and submitted to the Department of Human Services no later than nine (9) months from the last date of the organization's fiscal year?		
Were accounting records and financial statements auditable based on the auditor's opinion and the cover letter?		
Were internal controls found to be adequate to properly account for revenues, expenditures and project assets?		
Were there any findings or concerns expressed regarding the expenditures of CSBG funds or any compliance issue identified? If yes, briefly list findings: _____ _____		
If there were any audit findings, has DHS staff prepared a written inquiry to the grantee requesting a written response to the auditor's findings or concerns?		
Has the grantee responded to the audit findings?		
If yes, was the grantee's response acceptable?		

If no, explain: _____		
Has the grantee taken corrective action, or will corrective action be taken within six (6) months of the receipt of the audit report by the grantee?		
If appropriate officials were not promptly informed, explain:		
If yes, were appropriate local, state and/or federal officials informed promptly? (Obtain copies of correspondence).		
Did the auditor identify any illegal acts and/or irregularities?		
If yes, list the illegal acts and/or irregularities identified by the auditor: _____		
If yes, were appropriate local, state and/or federal officials informed promptly?		

SUMMARY AND CONCLUSIONS	Yes	No
Based on the financial management monitoring, does the grantee:		
a. Have a financial management system that provides for accurate, current and complete disclosure of the financial results of the contract?		
b. Have records that adequately identify the source and use of funds for each activity?		
c. Have effective control over and accountability for all funds and assets?		
d. Have adequate control over property purchased with CSBG funds?		
e. Have source documentation to support accounting records?		
f. Meet the requirements of bank accounts and interest?		
g. Meet grant agreement special conditions relative to the obligations or expenditure of CSBG funds?		
Based on the available evidence, has the grantee complied with the audit requirements?		
Based on the audit report, has the grantee complied with all appropriate financial and program requirements pertaining to DHS program(s)?		

Briefly describe the monitoring visit including information regarding the date(s) of the visit, other program(s) reviewed, agency staff interviewed, agency activities observed, subcontractors visited, and noted exemplary parts of the program:

SUMMARY OF ON-SITE FISCAL REVIEW

Based on information obtained from completing the forgoing checklist, a review of information provided in the Internal Control Questionnaire, and interviews with various agency personnel, briefly describe any training or technical assistance needs identified during the monitoring process:

Briefly describe any instance(s) of noncompliance and/or areas that require improvement:

Notes regarding recommendations for corrective actions and/or follow-up activities, including time frame and expected results:

(DHS Team Member)/Title

(Date)

(Sub-recipient Representative and Title)

(Date)

SECTION V

CONCLUDING THE ON-SITE VISIT

AND

ISSUING THE REPORT

Exit Conference – At the conclusion of the monitoring activity, an exit conference will be held with CAA’s Executive Director and/or designated staff to provide feedback on the strengths of the agency and preliminary areas of noncompliance. Discussion of strengths and/or findings should be supported by references to the various documents reviewed or observations made, i.e. data collection system. This conference also provides the grantee the opportunity to comment and present additional information regarding a specific finding before it is included in the report. It is important to note that the findings discussed at this conference are not final and that follow up communication and additional visits may be necessary to obtain or confirm information. The CAA should be advised that the official findings will be provided in the written report after it has been reviewed and approved by the State CSBG Administrator.

This outline serves as a guide for summarizing findings at the Exit Conference

Preliminary Summary of Findings and Need for Corrective Action(s):

As a result of the monitoring visit, the following need(s) for technical assistance have been identified:

If appropriate, indicate a scheduled date for a follow-up, on-site visit to assess the implementation of corrective actions: _____

(Agency Representative)

(Title)

(Date)

(DHS Fiscal Auditor)

(Date)

Preparing Report

- **Findings and Required Corrective Action** – Each deficiency and/or area of noncompliance should be identified by a topic line, include a brief statement of how the grantee is out of compliance with a program requirement and cite the source of the requirement. A general narrative description should be provided for each finding. Each noted problem or deficiency should be presented in a logical manner, with reference to supporting evidence and without ambiguity of meaning or confusion of terminology. The specific program requirement, OMB Circular reference, or other regulation should be cited, along with a clear explanation as to why the evidence gathered leads the State CSBG program reviewer to conclude that the agency is not in compliance.
- **Observations and Recommendations** – The monitoring process includes reviewing, assessing and evaluation the CAA’s performance relative to the CSBG program. An underlying objective is to improve the quality and types of services provided to low-income individuals and families.

State CSBG staff should be cognizant throughout the review process of any policy, procedure, or other activity that, although it may not meet the criteria for designation as a reportable finding of noncompliance, presents the opportunity for potential improvement in the CAA’s effectiveness and/or efficiency. Any such situation should be included in the report as an “Observation,” and should be presented in a cause-and-effect format along with specific suggestions or recommendations for change.

Topics discussed in the observations and recommendations section may include elements of “best practices” noted from other CAAs through the CSBG network. The CSBG State Office encourages open communication and sharing of information as an integral component for addressing the various needs of the State’s low-income residents.

- **Draft Report** – A draft report including findings, observations and recommendations, where indicated, will be submitted to the CAA within 60 days of the review. The CAA board and staff participating in the review will have the opportunity to comment on the factual content of the draft report and provide comments to the State CSBG office within **15 work days** from initial receipt.
- **Final Report** – Upon receipt of agency comments, a final report will be prepared and issued. The final report will re-state relevant information from the discussion draft and include comments received from the CAA.
- **Grantee Response** – The CAA is required to respond in writing to each of the findings and observations stated in the report, including a detailed plan for corrective action and implementing required changes. The initial response is due within 60 days from the date of the final report. Within 30 days of receipt of the CAA’s quality improvement plan the State CSBG Administrator will review and either approve the plan or state why the plan cannot be approved. If not approved, the CAA may be requested to resubmit addressing identified requirements or the CSBG State office may pursue termination following the legislative procedures.

Follow-Up Review

If the corrective action plan is approved, the State CSBG program staff will monitor the CAA's progress towards compliance. If deemed necessary, an on-site follow-up review may be conducted. During the follow-up review, each finding listed in the original report will be addressed and documented as being "corrected," "not corrected," or "corrective action in progress." Any findings not corrected will continue to be documented in subsequent site visit reports until satisfactorily corrected or closed as a result of providing verification of compliance. Training and technical assistance will be provided by the CSBG State Office as requested to assist the CAA in ensuring resolution of all findings in a timely manner. Within 30 days of receiving documentation that the finding(s) have been met, the State will provide written notification of closure of finding(s).

If the State CSBG office determines that findings have not been addressed and the CAA is deemed to be at "high risk," the State office may take steps to terminate or reduce funding in compliance with the procedures outlined in the CSBG Act, (42 USC 9915.Sec.678C) as guidance provided by CSBG IM 116.

Conclusion

The monitoring process is a means of evaluating the overall health and functioning of an agency. This assesses the accountability of an agency in meeting the legislative mandates and its impact on reducing poverty and promoting self-sufficiency. It is a means of evaluating whether CSBG funds are being maximized to improve the quality of life and promote economic stability for the low-income residents of the District of Columbia. Through this process, the oversight agency aims to determine the strengths and weaknesses of the agency – identifying those examples of "Best Practices" and offering technical assistance to improve those areas where weaknesses have been identified. Overall, the ultimate goal is to ensure that the Community Action Agency is in full compliance with local, state and federal legislation in carrying out its mandate efficiently and effectively delivering services to assist low-income residents in becoming self-sufficient.

Results Oriented Management and Accountability

UPO has incorporated the Results Oriented Management and Accountability (ROMA) approach and process into an automated data collection and reporting system, titled Community Action Statistical Access or CASA. The outcome reports generated through this system are used to identify and resolve problems, track client progress, manage staff, develop and revise plans for the future, document accomplishments, and to seek additional funding for successful initiatives. All programs, including those contracted through other agencies, are required to plan, operate and report outcomes using the (ROMA) concept as a condition of funding.

For FY 2015 and 2016, program reporting will be guided by the six (6) CSBG National Goals six (6) National Performance Indicators as follows:

1. Family Goal: Low-Income People Become More-Self Sufficient

NPI 1.1 Employment

- The number of participants in employment initiatives who get a job

NPI 1.2 Employment Supports

- The number of participants for whom barriers to initiate or continue employment are reduced or eliminated
- The number of employment participants progressing toward literacy/obtained a GED
- The number of employment participants obtaining housing or with stabilized housing
- The number of employment participants receiving food assistance
- The number of employment participants in comprehensive case management.

NPI 1.3 Economic Asset Enhancement and Utilization

- The number of low-income households that achieve an increase in financial assets and/or financial skills

2. Community Goal: The Conditions in Which Low-Income People Live are Improved

NPI 2.1 Community Improvements and Revitalization

- Increase in, or preservation of, opportunities and community resources for low-income people in the community as a result of project initiatives or advocacy with other public and private agencies
- The number of participants receiving weatherization services
- The number of participants receiving health care services
- Initiatives and special programs to increase educational, training and health opportunities for low-income people

- The quality of life and assets in low-income neighborhoods are improved

NPI 2.2 Community Quality of Life and Assets

- The number of low-income participants whose quality of life and neighborhoods assets are improved as a result of a change in law, regulation or policy
- The number of low-income participants whose neighborhoods are improved by increases in the availability or preservation of community facilities
- The number of low-income participants whose neighborhood are improved by increases in the availability or preservation of community services to improve public health and safety
- The number of low-income participants whose neighborhood are improved by increases in the availability or preservation of commercial services within low-income neighborhoods
- The number of low-income participants whose neighborhoods are improved by increases in or preservation of neighborhood quality-of-life resources

NPI 2.3 Community Engagement

- The number of community members who will work with our programs to improve conditions in the community
- The number of community members mobilized to participate in community revitalization and anti-poverty initiatives
- The number of volunteer hours donated

3. Community Goal: Low-Income People Own a Stake in Their Community

NPI 3.1 Civic Investment

- The number of volunteer hours donated

NPI 3.1 Emergency Assistance

- The number low-income people mobilized as a direct result of Community Action initiatives to engage in activities that support and promote their own well-being and that of their community.

4. Agency Goal: Partnerships Among Supporters and Providers of Services To Low-Income People are Achieved

NPI 4.1 Expanding Opportunities through Community-Wide Partnerships

- The number of organizations both public and private in the UPO network to expand resources and opportunities in order to achieve family and community

outcomes.

5. Agency Goal: Agencies Increase Their Capacity to Achieve Results

NPI 5.1 Agency Development

- The number of human capital resources that increase the agency's capacity to achieve family and community outcomes.

6. Family Goal: Low-Income People, Especially Vulnerable Populations, Achieve Their Potential By Strengthening Family and Other Supportive Systems

NPI 6.1 Independent Living

- The number of vulnerable individuals who maintain an independent living situation

NPI 6.2 Emergency Assistance

- The number of low-income individuals or families receiving emergency assistance.

NPI 6.3 Child and Family Development

- The number of youth increasing academic, athletic, and social skills
- The number of children participating in Early Childhood Development/Head Start And Early Head Start Programs
- The number of parents learning and exhibiting improved parenting skills

NPI 6.4 Family supports (Seniors, Disable and Caregivers)

- The number of low-income people who are unable to work, especially seniors, adults with disabilities, caregivers, for who barriers to family stability will be reduced or eliminated.

NPI 6.5 Services Counts

- The number of food, clothing, rides and referral services provided to low-income individuals and/or families.

Response to 14.1a

(a) Assurances '676(b) (1)(A):

Funds made available through the grant allotment will be used:

(1) To support activities that are designed to assist low-income families and individuals receiving assistance under part A of Title IV of the social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable families and individuals to:

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

To meet the goals outlined in the CSBG statute, UPO and its CSBG Service Delivery Network will continue offering a variety of programs that serve low-income children, families and seniors. The network will provide job and educational training, coordinate emergency assistance, provide weatherization services, sponsor youth programs, operate senior programs and provide transportation to increase access to community services and resources by low-income people.

UPO will provide linkages to job training opportunities, GED preparation courses and vocational training programs. It will offer a range of services addressing poverty-related problems – from income management and credit counseling to entrepreneurial development and small incubators; from domestic violence assistance to family development programs and parenting classes; from food pantries and emergency shelters to low-income housing development and community revitalization projects. Also, UPO will expand services for youth, offer and advocate for affordable housing, continue to expand services to strengthen families and offer services to prisoners and their families while incarcerated in DC Jail and upon re-entry into the community.

Linkage to other programs is the single largest category of CSBG expenditures for services. UPO's Southeast DC Anacostia Community Services Center and Ralph Waldo "Petey" Greene Community Services Center are each strategically located to establish and maintain an effective community linkage. Each of these community-based centers offers primary Community Engagement, Case Management, Adult Education and Training, Financial Literacy, and Employment/Job Development services. Supplemented by smaller special purpose grants, i.e. emergency rental assistance, family strengthening, fatherhood initiative, etc., community-based competitively selected sub-grant agencies, and citywide service network, effective services are delivered that facilitate a better quality of life for CSBG eligible customers.

- (ii) Secure and retain meaningful employment;

Through Workforce Development programming, two UPO programs and nine UPO CSBG sub-grant programs in the CSBG network propose to place 1,151 adults in jobs in 2015 and 1,218 in 2016. Workforce development activities will include, but will not be limited to assessment; career counseling; job search and readiness training; job placement and retention; and adult education.

UPO's Workforce Development program will provide job-retention focused workshops aimed at helping customers who have been out of the workforce for a considerable period to develop, or to redevelop, the skills required to retain employment, and to perform at a high level on the job. This initiative is in response to the increasing observation that, after being out of the workforce for a considerable period of time, customers often lose familiarity with work place etiquette and the willingness to do more than the minimum required as a means of securing one's place in the work environment or as a means to position one's self for upward mobility on the job.

By reducing barriers that impede employment, two UPO programs and nine UPO CSBG sub-grant programs in the CSBG network will assist over 963 adults in 2015 and 1,076 adults in 2016 to acquire employment skills that are needed to compete in an employment market that calls for the possession of technical skills, apprenticeship, skilled labor training, high school diplomas and advanced training. Training opportunities that will lead to jobs will include training as Health Service Assistance, Computer Training, Weatherization Tactics, Medical Billing; Heating, Ventilation and Air Conditioning, Construction Flagger and Pharmacy Technician. In 2015, 814 customers will be successful and 913 in 2016 will be successful.

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

UPO and its CSBG network are committed to providing DC residents with the basic knowledge and skills need to pursue education, vocational training and employment opportunities that increase self-sufficiency and sustainability. Our customers are offered no cost access to GED preparatory classes; and Pre-GED preparation classes; tutoring; and life skills training. UPO's nine CSBG sub-grant programs will collectively provide educational development either on-site or through public or private partnerships. Several providers will use CSBG funding to supplement funding for GED programs funded by the District. CSBG funding allows for the expansion of the educational programs in the community. Of the 385 customers expected to enroll in GED programs in 2015 and the 405 customers in 2016, 50% are expected to advance at least one grade level over the course of the two fiscal years. Most will advance more than one grade level and the programs are designed to give customers every incentive to attain the end result: the GED. Of the 385 customers in 2015 and 405 in 2016 who are expected to enroll in GED programs, 62 are expected to succeed in earning their GED in 2015 and 65 are expected to earn their GED in 2016.

- (iv) make better use of available income;

Through its Community Reinvestment Program, UPO will provide a wide

variety of services to assist individuals and families to meet basic needs with emphasis on the importance of savings. Plans include classes and/or counseling for money management; consumer education; benefits of food cooperatives; energy conservation measures; eligibility for utility discounts (telephone, gas, and electricity); eligibility for tax credits and empowering individuals to become homeowners. Tax preparation assistance will be provided to 840 low-income customers in fiscal year 2015, and 110 customers will be trained on how to create and maintain a budget. Individual Development Accounts (IDA) and other savings accounts will be opened by at least 161 low-income customers. With recent financial hurdles faced by low-income customers as a result of improper understanding of the ramification of certain financial actions or inactions on their credit, several customers will be provided with credit counseling. In fiscal year 2016, tax preparation assistance will be provided to 825 low-income customers.

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

Through its HUD approved housing counseling program will assists low- and moderate-income renters to find and maintain safe and affordable rental housing by providing free group training, individual counseling, and referrals that address a variety of tenant concerns. In fiscal year 2015, the 270 customers to be served will receive referrals for rental assistance or direct rental assistance through a grant from D.C. Emergency Assistance Fund (DCEAF). In fiscal year 2016, 285 customers will receive the services. Several customers will be counseled on landlord/tenant issues, several customers will have their landlord/tenant issues resolved, several customers will have their housing stabilized for 90 days or more and still other customers will receive household budget counseling. Also, UPO will rent the properties on Sheriff Road and Montello Avenue to low-income customers, thus making 5 units of affordable housing available in DC. In addition to housing placements, staff will also work to stabilize families facing eviction. Support will be provided to customers through vouchers to pay rent, mortgages, and/or utility bills. Additional programs will be added to the Housing Services Unit starting FY-15. Financial Literacy, IDA, EITI, Business incubator, the unit will also shift its focus to Homeownership, Foreclosure Prevention and tenancy. Out of the 270 customers to be served in 2015, 192 are expected to successfully have their housing stabilized. In 2016, 205 customers are expected to achieve stabilized housing.

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

Nine UPO sub-grantee programs and two UPO programs will address customer needs for food; clothing; emergency payments to vendors, including rent, fuel and energy bills; transportation to temporary shelters, emergency medical care; protection from violence; legal assistance and transportation.

- (vii) 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 –

- a) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
- b) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Community residents and others volunteering in day care centers, health centers, public schools, neighborhood centers are expected to clock about 200,000 hours. The UPO Foster Grandparent Program provides volunteer service opportunities for approximately 300 persons 55 and older each year to volunteer at 18 Public and Public Charter Elementary Schools, 13 Early Education /Head Start / Jump Start Programs, 5 youth service programs and 3 children's hospital settings. The proposed project will provide several more hours of volunteer service. 90% of volunteers will be placed in impact-based assignment and supported by outcome work / assignment plans and evaluations at the following volunteer worksites: Adelaide Davis Elementary School; Arts & Technology Academy; C. Melvin Sharpe Health School; Children's National Medical Center; Covenant House Washington; Dawn to Dusk Child Development Center; DC Superior Court; Eagle Academy PCS; ECDC #12 Dance Institute of WashECDC #8 Juanita Thorton; First Rock Baptist Church Child Friendship Public Charter - Chamberlin Friendship Public Charter -Blow; House of Ruth-Kidspace Child & F; Howard University Hospital; Ionia R. Whipper Home, Inc.; J.C. Nalle Elementary School; Kennedy Institute; KIPP DC: AIM Academy; KIPP DC: Discovery Academy; Malcolm X Elementary School; Martin Luther King Elementary Sc; MC Terrell Elementary School; Miner Elementary School; National Children's Center; Northwest Settlement House -7th; Northwest Settlement House Ridge; Potomac Job Corps Center; Roots Public Charter School; Sasha Bruce Teen Moms; Stanton Elementary School; Sunshine Early Learning Center; The HSC Pediatric Center; Turner at Green Elementary; Wheatley Education Campus. Additionally the program will work with DC Serve, National Association of Foster Grandparent Programs, National Association of Senior Corps, Jump Start Program and the regional association of Senior Corps Programs.

Response to 14.1b

- (1) 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 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) after-school child care programs; and

UPO's Head Start and Early Head Start programs will assist 700 infants and children, and 376 youth in after-school and summer programs to increase academic/athletic/artistic and social skills for school success. It is projected that over 1,100 children and parents will participate in one or more activities associated with Early Head Start, Head Start, Pre-School Day Care and Child Care Food Programs. Two (2) programs will involve parents in learning and exhibiting improved parenting skills – the Fatherhood Initiative and the Pre-School Day Care Programs. UPO continue to offer its P.O.W.E.R. program to provide academic enrichment as well as college counseling and preparation to DC youth. Back to School Family events will be planned for low-income families in the District. The back to school family events bring communities together to celebrate the opening of the school year by providing much needed supplies for low-income youth. Backpacks will be filled with school supplies and distributed. Beauticians and barbers will also be on site to assist youth to get ready for the start of the school year. The Joseph A. Beaver's Scholarship Fund will continue annually, awarding five (5) \$10,000 scholarships to low-income youth desiring to pursue higher education. For FY 15 and 16, the P.O.W.E.R. program plans to expand its partnership outreach to establish a larger network of community based organizations, faith-based agencies, local government, and the federal government (e.g., National Institute of Health) to help achieve its goal of providing youth and families with the additional resources to become self-sufficient, improve family relations, and to become me engaged in more school/community activities. Specific partners will play an integral role in the inclusion of the POWER Science, Technology, Engineering, and Math (STEM) curriculum, while others will support career exploration, college readiness, financial literacy, drug prevention, civic engagement, juvenile justice advocacy, socio-emotional development, and parent engagement.

Innovative Community and Neighborhood-based Initiatives

In recent years the Eligible Entity revamped its training programs, implementing new training initiatives in high-demand occupations, to more closely align with the DC Dept. of Employment Services. The focus of this move is to better prepare participants for high-demand careers and occupations. According to the DC Department of Employment Services, the top twenty-five (25) high-demand occupations for the period 2008-2018 are:

Lawyers	Cashiers
General and Operations Managers	Paralegal and Legal Assistants
Security Guards	Registered Nurses
Janitors and Cleaners	Legal Secretaries
Management Analysts	Food Preparation and Service Worker
Waiters and Waitresses	Network and Computer Administrators
Accountant and Auditors	Network and Computer Analysts
Public Relations Specialists	Retail Sales Workers
Executive Secretaries and Administrative Assistants	Computer System Analysts
Customer Services Representatives	Computer Software Engineers, Applications
General Office Clerks	Computer Support Specialists
Receptionists and Information Clerks	Financial Managers
Maids and Housekeeping Cleaners	

Building Careers Academy

The Eligible Entity has developed a Building Careers Academy in a 10,000 sq. ft. training space that trains participants in the area of Building Careers/Green Technology, with the purpose of preparing individuals for occupations that meet the needs of employers in today's marketplace. In doing so, the Eligible Entity now provides training that encompasses Professional Building Maintenance, Broadband & Telecommunications, Plumbing and Weatherization. The program has been expanded with programmatic instruction extended to 16-weeks for a full array of training that provides for more in-depth education delving deeper into the subject matter. All of the courses are approved by the Office of the State Superintendent of Education.

Courses Include:

Diagnostic Approaches to Weatherization
Advanced Diagnostics
Basic Residential Electricity
Introduction to Residential Heating Systems
Combustion Analysis and Retrofit (Gas)
Combustion Analysis and Retrofit (Oil)
Lead Safe Work Practices
OSHA 10
Introduction to Weatherization 101
Home Energy Auditing
Building Performance Institute Certification-Building Analyst
Building Performance Institute Certification-Envelope

Traffic Flagger Training
Introduction to Telecommunications
Introduction to Network Cabling
Plumbing I
Plumbing II
Carpentry, Framing and Finishing
Carpentry Fundamentals
Basic Lock Skills and Replacement Processes
Basic Wall and Floor Tile Installation and Repair
Air Sealing
Core Curriculum, Introduction to Craft Skills

The goal of the program is to provide training in construction trades that builds 21st century skills and work experience of student/trainees to enable them to obtain higher wages, sustainable employment and enhanced skills for higher degrees of self-sufficiency and independence. Students now learn, in addition to trade skills, effective jobsite communication, problem solving, professional behavior, and organizational skills necessary for successful careers.

IT Help Desk and Desktop Support Training

The Eligible Entity has partnered with The H.O.P.E. Project (THP) to provide rigorous and demanding Information Technology (IT) Help Desk training to disadvantaged youth in the District of Columbia, most of whom are unemployed or underemployed, thereby providing them with marketable skills and helping them create a pathway to self-sufficiency.

The custom designed IT training program, includes help desk training, CompTIA A+ certification training, technical professional development, and career and social coaching. The training is conducted in three phases. During Phase I, each trainee spends 10 weeks learning occupational skills, and preparing for the CompTIA A+ certification and Windows Administration. In Phase II, trainees spend 4 days each week in Work Readiness workshops and the remaining day at a structured career exploration activity including guest lectures and site visits. Finally, Phase III provides trainees with invaluable on-the-job training at Help Desk internships prior to graduating and earning full time employment in the IT industry.

Program participants are mentored by successful graduates of the Help Desk program who work for the Federal and District government and major corporations throughout the region. Additionally, participants are introduced to the Help Desk Institute (HDI), the professional association and certification body for the technical service and support industry. HDI advances the technical service and support industry by providing high-quality professional development opportunities for individuals and support centers. The Eligible Entity in partnership with The HOPE Project has become the official supported career training program of the HDI National Capital Region Chapter. Program participants attend HDI monthly meetings to learn from industry experts, Help Desk managers and to network with IT professionals.

The program has attracted more than 500 youth and young adults to information sessions to educate and enlighten potential applicants about the unique training. Over 74% of graduates are employed full-time and earning an average of \$38,000 annually. Forty percent (40%) of the graduates have successfully passed the CompTIA exam. To address the low rate of CompTIA certificate holders, the Help Desk training program has instituted a new policy requiring graduates to complete the certification exam. In the past, students were obtaining employment offers prior to graduation and forgoing the certification exam to instead take full-time employment opportunities. The Help Desk training program has produced graduates with salaries as high as \$53,000. A testament to the rigorous training and emphasis on reliability and accountability the training provides is the astounding employment retention rate (96%). Nearly all of training graduates have continued to advance in the IT field after their initial job placement.

This program has garnered local and national attention and has been profiled by CompTIA, BET News, *National Journal*, *The Washington Post*, WJLA News Channel 7, WUSA News Channel 9, and many other media outlets.

Hospitality Training

The Eligible Entity began its training in hospitality in 2014 to meet the expanding needs of the Hospitality/Tourism arena in the District of Columbia. In doing so, the Eligible Entity has partnered with the Brooks Group, LLC to provide premier Hospitality training. The training is taught by an instructional team with combined experience in excess of 25 years in the employ of leading hospitality organizations. The training encompasses a six-week Hospitality Boot Camp that includes 180 hours of Hospitality & Soft Skills instruction. Students successfully passing this training will receive the American Hotel Lodging Association, START Certification. Through the training process, students will gain the fundamentals to complete the program and enter into the hospitality industry. The curriculum includes:

- Hospitality Orientation
- Hospitality and Careers
- Guest Service
- Professionalism
- Safety and Security
- Rooms Orientation:
 - Rooms Division Overview
 - Front Desk Representative
 - Reservationist
 - PBX Operator
 - Bell Services Attendant
 - Guestroom Attendant
 - Maintenance Attendant
 - Laundry Attendant
 - Public Space Cleaner
- Food & Beverage Orientation:
 - Food & Beverage Division Overview
 - Restaurant Server
 - Banquet Setup Employee
 - Banquet Server
 - Bus Person

The Brooks Group LLC provides information in a contextualized format whereby students are able to participate in reality classroom settings and create networks to connect with other professional industry experts

2016 PLANNED OUTCOMES

The United Planning Organization (UPO) planned outcomes have for the 2016 fiscal year have been modestly modified since the submission of the 2015 and 2016 two year plan. The numbers below reflect the updated planned outcomes for the 2016 fiscal year. The actual figures that have changed since the two-year submission are highlighted in red.

A. Unemployed and obtain a job		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Workforce Development Division	520	442
Subgrantees of UPO	605	495
UPO - Adult Education & Training Division	100	85
UPO - Office of Early Learning	175	175
TOTAL	1,400	1,197

B. Get employed and maintain a job for at least 90 days		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Workforce Development Division	442	376
Subgrantees of UPO	495	248
UPO - Office of Early Learning	175	148
TOTAL	1,112	772

C. Get employed and obtain an increase in employment income and/or benefits		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Workforce Development Division	158	134
Subgrantees of UPO	248	50

TOTAL	406	184
D. Achieve "living wage" employment and/or benefits		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Workforce Development Division	444	376
Subgrantees of UPO	400	200
TOTAL	844	576

A. Obtain skills/competencies required for employment		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	15	12
Subgrantees of UPO	506	396
UPO - Green Technology Division	200	190
UPO - Adult Education & Training Division	240	204
TOTAL	961	802

B. Complete ABE/GED and received certificate or diploma		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	0	0
Subgrantees of UPO	60	6
UPO - Office of Early Learning	30	3
TOTAL	90	9

C. Complete post-secondary education program and obtain certificate or diploma		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	5	4
UPO - Office of Early Learning	2	2
TOTAL	7	6

D. Enroll children in before or after school programs		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	220	187
UPO - Office of Early Learning	100	100
TOTAL	320	287

E. Obtain care for child or other dependent		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	330	281
Subgrantees of UPO	6	3
UPO - Adult Education & Training Division	6	5
TOTAL	342	289

F. Obtain access to reliable transportation and/or driver's license		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	100	85
UPO - Workforce Development Division	520	442
Subgrantees of UPO	1,917	1,630
UPO - Adult Education & Training Division	165	140
UPO - Community Reinvestment Division	15	15
TOTAL	2,717	2,312

G. Obtain health care services for themselves or family member		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Health Division	500	425
Subgrantees of UPO	107	107
UPO - Office of Early Learning	700	686
UPO - Community Reinvestment Division	30	26
TOTAL	1,337	1,244

H. Obtain safe and affordable housing		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	285	205
TOTAL	285	205

I. Obtain food assistance		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	220	220
UPO – EBT Program	1,800	1600
UPO - Office of Early Learning	595	595
TOTAL	2,615	2,415

J. Obtain non-emergency LIHEAP energy assistance		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Green Technology Division	30	30
TOTAL	30	30

NPI 1.3 Economic Asset Enhancement

1. Number of participants in tax preparation programs who will qualify for any type of Federal or State tax credit and the expected aggregated dollar amount of credits		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	825	725
TOTAL	825	725

2. Number of participants who will obtain court-ordered child support payments and the expected annual aggregated dollar amount of payments

	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	20	25
TOTAL	20	25

NPI 1.3 Economic Utilization

1. Number of participants who will demonstrate the ability to complete and maintain a budget for over 90 days

	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	190	170
TOTAL	190	170

2. Number of participants who will open an Individual Development Account (IDA) or other savings account

	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
Subgrantees of UPO	66	56
UPO - Community Reinvestment Div.	190	170
TOTAL	256	226

3. Number of participants who will increase their savings through IDA or other savings accounts and the aggregated amount of savings		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	190	170
TOTAL	190	170

Outcome 1.3 Economic Utilization - 4		
a. Number of participants who will capitalize a small business with accumulated savings		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	10	3
TOTAL	10	3

Outcome 1.3 Economic Utilization - 4		
b. Number of participants who will pursue post-secondary education with accumulated savings		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Div.	15	10
TOTAL	15	10

Outcome 1.3 Economic Utilization - 4		
d. Number of participants who will purchase other assets with accumulated savings		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	60	45
TOTAL	60	45

GOAL 2. Community Goal: The Conditions in Which Low-Income People Live are Improved

Outcome 2.1 Community Improvement and Revitalization		
A. Jobs created, or saved, from reduction or elimination in the community		
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased
Program	FY 16	FY 16
UPO - Workforce Development Division	4	30
UPO - Green Technology Division	1	15
TOTAL	5	45

Outcome 2.1 Community Improvement and Revitalization			
B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community			
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased	
Program	FY 16	FY 16	
UPO - Green Technology Division	0	0	
TOTAL	0	0	

Outcome 2.1 Community Improvement and Revitalization			
G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination			
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased	
Program	FY 16	FY 16	
UPO - Youth Services Division	1	50	
TOTAL	1	50	

Outcome 2.1 Community Improvement and Revitalization			
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post-secondary education			
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased	
Program	FY 16	FY 16	
UPO - Green Technology Division	1	15	
TOTAL	1	15	

NPI 2.2 Community Quality of Life and Assets

Outcome 2.2			
A. Increases in community assets as a result of a change in law, regulation or policy, which will result in improvements in quality of life and assets			
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased	
Program	FY 16	FY 16	
UPO - Community Reinvestment Division	5	3	
TOTAL	5	3	

Outcome 2.2 Community Quality of Life and Assets		
B. Increase in the availability or preservation of community facilities		
	Number of Projects or Initiatives or Advocacy Efforts	Number of Opportunities or Community Resources or Community Assets or Facilities Preserved or Increased
Program	FY 16	FY 16
UPO - Advocacy Division	2	500
UPO - Community Reinvestment Division	3	2
TOTAL	5	502

NPI 2.3 Community Quality of Life and Assets

Outcome 2.3	
A. Number of community members mobilized by that participate in community revitalization and anti-poverty initiatives	
	No. People
Program	FY 16
UPO - Youth Services Division	3
UPO - Advocacy Division	300
UPO - Foster Grandparents Program	213
Subgrantees of UPO	675
UPO - BOARD	39
UPO - ADMIN	10
UPO - Office of Early Learning	25
TOTAL	1,265

Outcome 2.3	
B. Number of volunteer hours donated to the agency (This will be ALL volunteer hours)	
	No. Hours
Program	FY 16
UPO - Youth Services Division	200
UPO - Advocacy Division	15,000
UPO - Foster Grandparents Program	175,000
Subgrantees of UPO	9,500
UPO - Office of Early Learning	500
TOTAL	200,200

GOAL 3.

Outcome 3.1		
Total number of volunteer hours to be donated by low-income individuals to the Agency		
	No. People	No. Hours to Be Donated by Volunteers
Program	FY 16	FY 16
UPO - Youth Services Division	10	135
UPO - Advocacy Division	30	2,000
UPO - Foster Grandparents Program	213	174,378
UPO - Workforce Development Division	5	22
Subgrantees of UPO	100	1,200
UPO - Green Technology Division	5	50
UPO - Adult Education & Training Division	5	50
UPO - ADMIN	10	100
UPO - Office of Early Learning	25	500
UPO - Community Reinvestment Division	10	120
TOTAL	413	178,555

Outcome 3.2		
A. Number of low-income people to participate in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts		
	No. People	No. People
Program	FY 16	FY 16
UPO - Advocacy Division	8	8
UPO - Office of Early Learning	18	18
TOTAL	26	26

Outcome 3.2		
D. Number of low-income people who will be engaged in non-governance community activities or groups created or supported by your program		
	No. People	No. People
Program	FY 16	FY 16
UPO - Advocacy Division	60	60
UPO - Foster Grandparents Program	300	250
TOTAL	360	310

GOAL 4.

NPI 4.1 Expanding Opportunities through Community-Wide Partnerships

Outcome 4.1		
Partnerships		
	No. Organizations	No. Partnerships
Program	FY 16	FY 16
UPO - Advocacy Division	200	200
UPO - Community Health Division	22	22
UPO - Foster Grandparents Program	43	43
UPO - Workforce Development Division	147	147
Subgrantees of UPO	225	225
UPO - Green Technology Division	20	20
UPO - Adult Education & Training Division	10	10
UPO - ADMIN	90	90
UPO - Office of Early Learning	23	23
UPO - Community Reinvestment Division	15	15
TOTAL	795	795

GOAL 5. Agency Goal: Agencies Increase Their Capacity to Achieve Results

Outcome 5.1		
Number of C-CAPs		
	No. Resources in Agency	No. Resources in Agency
Program	FY 16	FY 16
UPO - Foster Grandparents Program	1	1
UPO - ADMIN	2	2
TOTAL	3	3

Outcome 5.1		
Number of ROMA Trainers		

	No. Resources in Agency
Program	FY 16
UPO - ADMIN	1
TOTAL	1

Outcome 5.1		
Number of Family Development Trainers		
	No. Resources in Agency	No. Resources in Agency
Program	FY 16	FY 16
UPO - Office of Early Learning	1	1
TOTAL	1	1

Outcome 5.1		
Number of Child Development Trainers		
	No. Resources in Agency	No. Resources in Agency
Program	FY 16	FY 16
UPO - Foster Grandparents Program	1	1
UPO - Office of Early Learning	8	8
TOTAL	9	9

Outcome 5.1	
Number of staff attending trainings	
	No. Resources in Agency
Program	FY 16
UPO - Youth Services Division	12
UPO - Advocacy Division	3
UPO - Community Health Division	47
UPO - Foster Grandparents Program	4
UPO - Workforce Development Division	12
UPO - Green Technology Division	8
UPO - Adult Education & Training Division	6
UPO - ADMIN	30
UPO - Office of Early Learning	125
UPO - Community Reinvestment Division	4
TOTAL	251

Outcome 5.1		
Number of board members attending trainings		
	No. Resources in Agency	No. Resources in Agency
Program	FY 16	FY 16
UPO - BOARD	21	21
TOTAL	21	21

Outcome 5.1	
Hours of staff in trainings	
	No. Hours
Program	FY 16
UPO - Youth Services Division	230
UPO - Advocacy Division	24
UPO - Community Health Division	754
UPO - Foster Grandparents Program	40
UPO - Workforce Development Division	630
Subgrantees of UPO	234
UPO - Green Technology Division	379
UPO - Adult Education & Training Division	100
UPO - ADMIN	120
UPO - Office of Early Learning	1,875
UPO - Community Reinvestment Division	300
TOTAL	4,686

Outcome 5.1		
Hours of board members in trainings		
	No. Resources in Agency	No. Resources in Agency
Program	FY 16	FY 16
UPO - BOARD	252	252
TOTAL	252	252

Goal 6. Family Goal: Low-Income People, Especially Vulnerable Populations, Achieve Their Potential By Strengthening Family and Other Supportive Systems

NPI 6.1 Individuals With Disabilities

Outcome 6.1		
A. Senior Citizens		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Foster Grandparents Program	300	250
Subgrantees of UPO	323	320
TOTAL	623	570

Outcome 6.1 Individuals with Disabilities		
Ages: 0-17		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Office of Early Learning	80	70
TOTAL	80	70

Outcome 6.1 Individuals with Disabilities		
Ages: 18-54		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Community Health Division	123	123
UPO - Workforce Development Division	123	123
UPO - Adult Education & Training Division	10	10
TOTAL	256	254

Outcome 6.1 Individuals with Disabilities		
Ages: 55-over		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Health Division	27	25
UPO - Foster Grandparents Program	10	10
TOTAL	37	35

Outcome 6.2		
C. Emergency Rent or Mortgage Assistance		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	250	175
TOTAL	250	175

Outcome 6.2		
H. Emergency Legal Assistance		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Advocacy Division	30	15
TOTAL	30	15

Outcome 6.2		
I. Emergency Transportation		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Health Division	5,892	5,892
TOTAL	5,892	5,892

Outcome 6.2		
K. Emergency Clothing		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Health Division	4,285	4,285
Subgrantees of UPO	15	15
TOTAL	4,300	4,300

NPI 6.3 Child and Family Development

Outcome 6.3 Infants and Children		
1. Infants and children obtain age-appropriate immunizations, medical, and dental care		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Office of Early Learning	700	686
TOTAL	700	686

Outcome 6.3 Infants and Children		
2. Infant and child health and physical development are improved as a result of adequate nutrition		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Office of Early Learning	700	686
TOTAL	700	686

Outcome 6.3 Infants and Children		
3. Children participate in pre-school activities to develop school readiness skills		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Office of Early Learning	46	46
TOTAL	46	46

Outcome 6.3 Infants and Children		
4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Office of Early Learning	200	170
TOTAL	200	170

Outcome 6.3 Youth		
1. Youth improve health and physical development		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	175	140
TOTAL	175	140

Outcome 6.3 Youth		
2. Youth improve social/emotional development		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	470	376
TOTAL	470	376

Outcome 6.3 Youth		
3. Youth avoid risk-taking behavior for a defined period of time		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	180	144
TOTAL	180	144

Outcome 6.3 Youth		
4. Youth have reduced involvement with criminal justice system		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	180	144
TOTAL	180	144

Outcome 6.3 Youth		
5. Youth increase academic, athletic, or social skills for school success		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	470	376
UPO - Foster Grandparents Program	4,070	3,460
TOTAL	4,540	3,836
Outcome 6.3 Adults		
1. Parents and other adults learn and exhibit improved parenting skills		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	45	34
UPO - Advocacy Division	20	10
Subgrantees of UPO	40	27
UPO - Office of Early Learning	175	148
TOTAL	280	219

Outcome 6.3 Adults		
1. Parents and other adults learn and exhibit improved parenting skills		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	45	34
UPO - Advocacy Division	20	10
Subgrantees of UPO	40	27
UPO - Office of Early Learning	175	148
TOTAL	280	219

Outcome 6.4		
A. Enrolled children in before or after school programs		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	330	281
UPO - Office of Early Learning	175	148
TOTAL	505	429

Outcome 6.4		
D. Obtained health care services for themselves or family member		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Health Division	520	390
UPO - Office of Early Learning	700	686
TOTAL	1,220	1,076

Outcome 6.4		
E. Obtained safe and affordable housing		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Community Reinvestment Division	45	25
TOTAL	45	25

Outcome 6.4		
F. Obtained food assistance		
	No. Customers Expected to Enroll	No. Customers Expected to Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	75	75
Subgrantees of UPO	322	258
UPO – EBT Program	1,800	1,800
TOTAL	2,197	2,133

NPI 6.5 Service Counts

Outcome 6.5 Service Counts		
A. Food Boxes		
	Number of Services	Number of Services
Program	FY 16	FY 16
UPO - Youth Services Division	3,480	3,480
UPO - Office of Early Learning	168,000	168,000
TOTAL	171,480	171,480

Outcome 6.5 Service Counts		
C. Units of Clothing		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Community Health Division	56,900	56,900
TOTAL	56,900	56,900

Outcome 6.5 Service Counts		
D. Rides Provided		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Community Health Division	144,100	144,100
TOTAL	144,100	144,100

Outcome 6.5 Service Counts		
E. Information and Referral Calls		
	No. Enroll	No. Achieve
Program	FY 16	FY 16
UPO - Youth Services Division	660	660
UPO - Community Health Division	31,300	31,300
UPO - Foster Grandparents Program	300	250
UPO - Office of Early Learning	3,500	3,500
TOTAL	35,760	35,710