

GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT OF HUMAN SERVICES
FAMILY SERVICES ADMINISTRATION

DRAFT

COMMUNITY SERVICES BLOCK GRANT

**STATE PLAN & APPLICATION
FISCAL YEARS
2017-2018**



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

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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	DC Department Human Services
1.1b	Identify the cabinet or	Family Services Administration
1.1c	Name the division, bureau, or	
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	DC Department of Human Services
1.2b	Point of Contact	Tunde Eboda, PhD, State CSBG
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	(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.

[See Attachment 1 Designation Letter](#)

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. **N/A**
[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 Department of Human Services (DHS), in collaboration with the community, is to provide temporary support and assistance to low-income families and individuals while helping them maximize their potential for economic security and self-sufficiency.

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

Family Services

The Family Services Administration (FSA) provides protection, intervention and social services to meet the needs of vulnerable adults and families to help reduce risk and promote self-sufficiency. FSA administers the following social service programs and grants:

- Adult Protective Services
- American Recovery and Reinvestment Act - Stimulus Funds
- Community Services Block Grant
- DC Fatherhood Initiative
- Emergency Rental Assistance Program
- Emergency Shelter
- Family Violence Prevention Service Grants
- Homelessness Prevention and Rapid Re-housing Program
- Homeless Services
- Hypothermia Program
- Office of Refugee Resettlement
- Parent and Adolescent Support Services (PASS)
- Permanent Supportive Housing Program
- Shelter Monitoring and Quality Assurance
- Social Services Block Grant
- Strong Families
- Teen Parent Assessment Project
- Temporary Shelter
- Transitional Shelter
- Veterans Administration Supportive Housing Program

Economic Security

The Economic Security Administration (ESA) (formerly known as IMA) determines eligibility for benefits under the following programs

- Temporary Cash Assistance for Needy Families (TANF),
- Medical Assistance,
- Supplemental Nutrition Assistance Program (SNAP) (formerly Food Stamps),
- Child Care Subsidy, Burial Assistance, Interim Disability Assistance,

- Parent and Adolescent Support Services (PASS) and
- Refugee Cash Assistance

In addition, ESA’s Food Stamp Employment and Training Program (FSET) provides employment and training services to able-bodied adults without dependents who receive food stamps. ESA also performs monitoring, quality control and reporting functions required by federal law and court orders.

The **Division of Program Operations** delivers services through five Decentralized Service Centers located in low-income neighborhoods throughout the city. Its staff accepts applications and determines or re-certifies the eligibility of low-income DC families and individuals for social service assistance, including Temporary Assistance to Needy Families (TANF), General Public Assistance for Children (GPA), Interim Disability Assistance (IDA), Medicaid, Alliance, Food Stamps, Refugee Services, and Burial Assistance. The Food Stamp Employment and Training Program, which helps find employment for Food Stamp recipients who do not have dependents, and the Office of Work Opportunities, which helps heads of households applying for TANF seek jobs while their applications are under review, are also part of this division.

The **Division of Program Development and Training** provides expert guidance regarding federal and local laws and regulations and compliance with court orders. Its staff develops and documents policy to guide the determination of eligibility, and ensure that Income Maintenance staff acquire and maintain the knowledge and skills required to deliver services according to established policies and procedures.

The **Division of Monitoring and Quality Assurance** monitors ESA’s compliance with federal and local laws and regulations, and court orders addressing the accurate and timely determination of eligibility and administration of benefits. The division coordinates an annual “Food Stamp Payment Accuracy” conference for ESA staff to meet federal requirements for continued training and review of errors in the determination of eligibility for food stamps.

The **Division of Information Systems** plans, develops, oversees and supports the Automated Client Eligibility Determination System (ACEDS) and the TANF Information System. It serves as liaison with federal and local agencies in managing and reporting data on the administration of customer benefits and documentation of the accuracy and timeliness of benefit determination and issuance

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.

The Department of Human Services' CSBG specific goals for State administration of CSBG under this State Plan are as follows:

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) Department of Employment Services – Collaborated in developing the Workforce Innovation and Opportunity Act Combined State Plan. (See 14.5.)
- National organizations (please describe) _____
- 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 provided to the eligible entity an outline of the State Plan. A meeting was held to receive input on the plan from the eligible entity. A draft was also provided to the eligible entity.

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: 95%. In that the District of Columbia has only one CAA, we did not receive direct feedback on the results of the most recent ACSI survey. However the State has set the projected target.

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:

(Narrative)

The State Plan was made available for public inspection and comment June 27, 2016 through August 5, 2016. Hard copies of the state plan were made available for public inspection and comment in several locations including the DC Department of Human Services headquarters, the main public library, the eligible entity's main headquarters and the Department of Human Services Service Center. Electronic copy was made available on the DHS website.

4.2. Public Notice/Hearing

[Narrative]

A notice announcing the availability of the state plan for public inspection and comment was published in the DC Register on June 24, 2016.

4.3. Public and Legislative Hearings:

(Narrative)

A Community Meeting was held in the District at the DC Department of Employment Services on July 6, 2016, from 6:00pm – 8:00pm.

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
July 6, 2016	Department of Employment Services 4058 Minnesota Avenue, NE 1 st Floor, Community Room #1 Washington, DC 20019	Public
Scheduled for September 2016	The John A. Wilson Building 1350 Pennsylvania Avenue, NW Room 120 Washington, DC 20004	Legislative

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

[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

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] 100%**

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

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]

Current operations processes/systems appear to be working well. No adjustments are being made.

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] **5**

- 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] **4**

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 One	Year Two	Brief description of services/activities
	Planned \$	Planned \$	
a. Training/technical assistance to eligible entities			[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	\$550,985	\$550,985	[REQUIRED Narrative, 2500]
g. State charity tax credits		-0-	[Narrative, 2500 characters]
h. Other activities, specify _____			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"> • Ongoing / Multiple Quarters 	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Fiscal <input checked="" type="checkbox"/> Governance/Tripartite Boards <input checked="" type="checkbox"/> Organizational Standards – General <input checked="" type="checkbox"/> Reporting 	

- 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]**

(Narrative)

The eligible entity shall provide hospitality support and comprehensive services for homeless men, women and children using a low-barrier model with meals as an outreach tool to service the neediest, most at-risk clients while also expanding to offer more formal case management services.

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

(Narrative)

The eligible entity will complete an initial self-assessment for the program year FY 2016. A Technical Assistance Plan or Quality Improvement Plan will be implemented as appropriate.

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] See 9.1 above.**

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)

SERVICE DELIVERY LINKAGES

The eligible entity and its citywide network of organizations have maintained a successful approach of working in tandem with and developing linkages with other local organizations in order to increase community service accomplishments. The plan is to continue this approach during fiscal years 2017 and 2018. Following is an extensive list of some of the key organizations with whom the eligible entity partners.

- Academy of Hope
- American Kidney Fund
- American University American University Service Based learning
- Anacostia Community Museum
- Anacostia Coordination Council
- Anacostia Econ. Dev. Corp
- Anacostia High School
- Andrews Federal Credit Union
- Arts & Technology Academy
- Ballou High School
- Ballou Stay
- Behavioral and Educational Solutions, PC
- Books from Birth
- Bowie State University
- Bread for the City
- Bridging Resources In Communities (BRIC)
- Melvin Sharpe Health School
- Central Union Mission
- CentroSync Main Office
- Children Hospital Injury Prevention Burn & Winter Safety
- Children's Hospital
- Christian Tabernacle
- Coalition for the Homeless Transitional Housing Programs
- Code 4 Life
- Communities in Schools
- Community Education Group
- Community of Hope
- Community Tax Aid
- Competitive Innovations, LLC
- Congresswoman Eleanor Holmes Norton
- Contemporary Family Services, Inc
- Court Services and Offender Supervision Agency (CSOSA)
- Covenant House Washington
- Dawn to Dusk Child Development Corporation
- DC Building Industry Association
- DC Children's Trust

- DC Department of Behavioral Health
- DC Department of Insurance, Securities, and Banking
- DC Department of Health and Human Services
- DC Firefighters Association
- DC Health Link
- DC Healthy Families
- DC Healthy Families & Alliance Group
- DC Office on Aging
- DC Public Library
- DC Public Schools
- DC Public Schools Head Start Program
- DC TV
- DCPS Office of Early Childhood Education
- Deborah Browder
- Democracy Prep Academy
- Department of Behavioral Health
- District of Columbia Department of Employment Services
- Eagle Academy PCS
- Early Stages
- Edgewood Brookland Family Support Collaborative
- Edward C Mazique PCC
- Fairlawn Civic Assoc.
- Families Strengthening Families Collaborative
- Family Medical Counseling Service
- First Rock Baptist Church Child
- Fitt Solution
- Ford's Theater
- Freedom Schools
- Friendship Public Charter
- Friendship Southeast Elementary
- Georgetown Lombardi office of Minority Health & Health Disparities Research
- Good Hope Institute
- Government of the District of Columbia - Department of General Services
- Grants Associates
- Greater Washington Urban League
- Grubbs
- Healthy Babies
- Healthy Start
- Hissing Black Theater Company
- Homeland Computer Service.Com LLC
- House of Ruth
- Howard School of Dentistry
- Howard School of Medicine
- Howard University
- Howard University Hospital
- Industrial Bank
- Island Press
- IT Computer Whiz Kids
- J.C. Nalle Elementary School
- JMILCO, LLC
- Joint Educational Facilities
- Jumpstart DC
- Kennedy Institute
- Kesem Technology
- Kiddie Kollege
- Kids Are Us Learning Center
- KIPP DC
- Long and Foster Real Estate
- M & T Bank
- Main Street Congress Heights
- Malcolm X Elementary School
- Martha's Table
- Martin Luther King Elementary School
- Mary Center, Org.
- Mathews Memorial Baptist Church 2616 Martin Luther
- Med Star Family Choice
- MidAtlantic Area Gleaning Network
- Midtown Lion Club
- Miner Elementary School
- Miriam's Kitchen

- My Fairy Palace
- My school DC
- Narcotics Anonymous
- National Building Museum
- National Children's Center
- Neighborhood Legal Services
- New Heights
- Nu You Fitness
- Office of the State Superintendent
- Office, Deputy Mayor for Plan/Economic Development
- OLA Office of Latino Affairs
- Operation HOPE
- Other Independent Contractors
- Pathways to Housing
- PC Retro
- PIDARC
- Pinpoints
- Plummer Elementary School
- Potomac Job Corps Center
- Professional Technicians LLC
- Psychiatric Institute of Washington
- Roots Public Charter School
- Safelink
- SNAP/Hunger Solutions
- So Others Might Eat Single Adult Housing
- Stanton Elementary School
- Street Wize Foundation
- Strive DC/Career Gear
- Suited for Change
- Summit Health Institute for Research and Education (SHIRE)
- Sunshine Early Learning Center
- The Brooks Group
- The Downtown Cluster of Congregations
- The HOPE Project
- The HSC Pediatric Center
- The Opportunities Industrialization Center of DC
- Toastmasters International
- Trinity University Nursing School
- Turner Elementary
- UDC Speech and Language Pathology Program
- UMUC
- United States Department of Veterans Affairs Community Resource and Referral Center
- United Way
- Unity Healthcare Homeless Outreach Services
- University of Maryland
- Ward 7 & 8 DC Prevention Center
- Washington Center for Aging Services
- Washington Legal Clinic for the Homeless
- Westlink Career Institute
- Wheatley Education Campus

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

(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 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 2017 and 2018, 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)

The Community Services Block Grant (CSBG): CSBG, through its designated Community Action Agency, United Planning Organization (UPO), has developed Building Careers Academy in a 10,000 sq. ft. training facility 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 labor market. In doing so, UPO now provides training that encompasses Professional Building Maintenance, Broadband and Telecommunications, and Plumbing and Weatherization. The course period has been expanded to 16-weeks for a full array of training that provides for more in-depth education into the subject matter.

The goal of the program is to provide training in construction trades that builds twenty-first century skills and work experience of students/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.

Building Careers Academy program participants enroll in the DC Networks at the American Job Center with the support of a Job Readiness Coach. As the participants acquire new skills during the training, the Job Readiness Coach will assist them with updating their profile thus increasing their employability. The Coach will also assist with connection First Source Employment Agreement employers to the Academy graduates to meet their hiring needs.

Through CSBG, UPO also provided Culinary Arts Training (ServSafe Certifications), Commercial Driver's License (CDL), training and IT Training (Comp TIA Certification) to low-income residents of the District of Columbia.

UPO will utilize their partnership and collaboration with the AJCs to continue activities such as job search and placement assistance, career counseling, job recruitment, providing job vacancy listings, providing information regarding filing of claims for unemployment compensation, assistance in establishing eligibility for programs providing financial aid for training and education programs.

- 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:

(Narrative)

The Low-Income Heating Assistance Program (LIHEAP) is managed by the District of Columbia Department of Environment, District Office of Energy, and services are available city-wide. The eligible entity has an established partnership with the LIHEAP program and uses this to link low-income customers with the LIHEAP provider serving their community. 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, and Community Organizations:

(Narrative)

As part of the Community Action Plan, the eligible entity provides an extensive list of linkages and partnerships which includes faith-based organizations, charitable groups, and community organizations.

During the comprehensive monitoring exercise, the State will test the validity of these linkages and partnerships.

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:

(Narrative)

The eligible entity is multi-funded receiving grants and contracts for more than twenty (20) specific activities and services. CSBG funding represents about a quarter of total agency resources. The balance of the agency's resources include funding for programs such as Head Start, day care, initiatives for homeless individuals and families, energy conservation, welfare to work, substance abuse, and affordable housing initiatives.

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: (Need List).

Private Sector Involvement - In fiscal years 2017 and 2018, the eligible entity and its citywide service network will continue to expand its 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
- 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 years 2017 and 2018. UPO has been able to develop and maintain working relationships with representatives from the private sector, which have proven invaluable.

<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 Economic Dev. DC Addiction Prevention and Recovery Administration</p>
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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.

The District of Columbia does not have a State Community Action Association.

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 held with the eligible entity to provide updates on pertinent information, Training and Technical assistance needs community action planning, strategic planning, community needs assessments,	Quarterly	Meetings,	
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.

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]

No changes are being made at this time. There are regularly scheduled meetings and ongoing contact by telephone/e-mail, etc. is made as needed.

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.

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)

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 nine 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]

Following receipt and review of the audit report, a letter is sent to the eligible entity acknowledging receipt, and where there are findings, requesting that a corrective action plan be submitted to the state office within 30 days. If approved, the eligible entity will be given 60 days to implement the plan and correct the findings. Should the eligible entity require additional time, the state office may grant an extension of up to 30 days. Within 30 days of receiving a report that all the findings have been corrected, the state office will schedule a follow up site visit, if needed, to verify that the deficiencies identified in the original auditor’s report have been satisfactorily addressed. Upon verification that the deficiencies have been resolved, a letter will be issued to the eligible entity.

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]

No changes are being made at this time.

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

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, and Board roster semiannually.
- 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.

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.

For FY 2016, program reporting will be guided by the six (6) CSBG National Goals six (6) National Performance Indicators.

See Attachment 5: 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.

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?

See Attachment 9: 2017 - 2018 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. 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.

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);

(Narrative)

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. Also, UPO will serve customers at the individual and community levels with employment services, education services, asset building, housing services, income management services, health services and civic engagement.

Among the strategies that UPO will adopt are the following:

- Addressing truancy and disconnectedness for high school students
- College and Career readiness for older youth
- Communities of Practice
- Community partnerships
- Comprehensive services for the residents of the Washington Highlands Community
- Evening retention workshops dubbed “Don’t Get Fired”
- Family Strengthening
- Home visits (for no shows and non-compliant customers)
- Increased use of social media to engage customers
- Intensive monitoring and evaluation of programs
- Intensive retention and follow-up
- Interdepartmental collaboration for customer outcomes

- Job Search Development
- Life Skills Training
- Parenting education and counseling
- Professional Development
- Program ingenuity
- Restorative justice program for youth ages 12-18
- STEM Programming
- Wellness
- Work Readiness Skill Training
- Wraparound Case Management
- Year round youth engagement

UPO will also work with a total of eight community services organizations located in the District of Columbia. Seven of these organizations will serve as CSBG sub grantees whose primary focus will be on vocational skills training and on job placements as well as job retention. One of the eight sub grantees will focus on senior services for DC residents. UPO will continue to focus on long-term training in high-demand occupations. In 2017 UPO will continue to revamp 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 2009-2019 are:

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

(ii) to secure and retain meaningful employment;

(Narrative)

The UPO Service Delivery Network is a comprehensive network, both in its array of programs offered and its coverage within and across the neighborhoods in which our client populations reside. During fiscal periods 2015-2016, UPO was extremely focused on

Employment efforts in the Metropolitan area to combat the high unemployment statistics that have plagued local residents.

In 2017 and 2018, the eligible entity and its citywide CSBG supported service network will provide an increased focus on training and employment. This will be addressed through a myriad of UPO-operated programs along with a number of subcontracted agencies operating in areas where the highest numbers of unemployed persons reside. The Workforce Development division is committed to assisting the underemployed and unemployed with Job Readiness training that prepares individuals for in-demand careers in today's highly competitive workplace. Customers will receive on the job training (OJT) and work-based learning opportunities, while strengthening industry and employer connections to ensure that training programs directly align with the skills and credential needed to secure employment.

Further, the Workforce Development division utilizes workforce development strategies derived from the "**Five Workplace Competencies**" developed by the Secretary of Labor's Commission on Achieving Necessary Skills (SCANS). **SCANS** core competencies are integrated into the framework of the program's job readiness/Life Skills curriculums. Therefore ensuring these essential skills are taught to individuals enabling them to develop those high performance abilities needed to succeed in the high performance workplace in the District of Columbia.

The Competencies are as follows:

1. Resources: Identifies, organizes, plans, and allocates resources
2. Interpersonal: Works with others
3. Information: Acquires and uses Information
4. Systems: Understands complex inter-relationships
5. Technology: Works with a variety of technologies

The Workforce Development Division also partners with UPO's Youth Services, Building Careers Academy and Adult Education and Training Divisions to provide youth ages 17 - 24 with the opportunity to develop marketable employment skills through a series of thoughtfully designed, sequential programmatic components in high demand occupations. UPO offers youth participants training to develop employable skills, to gain work experience while participating in career-focused summer internships, which will aid in the path to gainful and meaningful employment. In partnership with Adult Training programs, the Workforce Development division offers training in "soft skills" and access to industry-recognized certificate programs that puts youth on the path to full-time 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;

(Narrative)

The United Planning Organization is committed to providing high quality, high demand education and training leading to long-term career

development and growth for its customers. The organization will continue to expand its portfolio of training services through the formalization of the UPO Workforce Institute (WFI). The WFI will formally take each customer through a pre-assessment, coursework, certification, job placement and follow-up phase that is standardized across all programs to improve program efficacy and clear pathways out of poverty. Current programmatic offerings through the Building Careers Academy will be modified to increase the number of customers enrolling in evening and weekend coursework opportunities to reduce income loss for those with day jobs or who are enrolled in GED programs during the day. The Building Careers Academy coursework includes Cabling, Plumbing, Electrical and Professional Building Maintenance. UPO will expand its Commercial Driver's License (CDL), Hospitality and Emergency Medical Transport (EMT) trainings to enroll more customers. The CDL training has proven to be a rapid path to employment for customers earning CDL A and/or CDL B certifications. Annual review of high demand occupations will guide the agency in adding to its current portfolio of trainings and UPO will launch an Adult Education and Training Division Advisory Council with membership from individuals from high demand industries. The role of the Advisory Council will be to validate training models and aid in creating pipelines to employers for education and training program graduates. Additionally, UPO will continue through its subgrantee network to provide GED preparation services for customers

- (iv) to make better use of available income;

(Narrative)

The UPO Community Reinvestment (CRI) Division provides a range of services to customers leading to increased financial literacy, short- and long-term financial goal setting, housing support and tax services. In 2017-2018, UPO will continue its IDA program providing an 8:1 match for customers who save \$500 towards education, entrepreneurship or home ownership. Customers in this program will be supported in the development of small businesses, preparing for home-ownership and the exploration of viable higher education options leading to high demand career options. The CRI plans to explore the feasibility of an e-commerce business incubator to teach graduates of literacy programs to build a website and earn revenue through affiliate marketing. UPO will actively seek funding to continue the IDA program into 2018 to add an additional 10 IDA accounts. The CRI will expand its tax preparation services to reach 800 customers and continue to provide tax counseling and avenues to avoid large tax penalties to customers with long-term IRS issues. As part of a bundled services approach, the CRI will deliver financial literacy workshops linked to each agency program to

prepare future wage earners to make sound financial decisions and to address credit and savings issues prior to their entrance into employment

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

(Narrative)

UPO will meet the needs of low-income residents facing housing needs through the rental of properties owned by UPO on Sheriff Road and Montello Avenue, providing 5 units of housing for low-income residents. The Community Reinvestment (CRI) Division will educate customers facing displacement on their rights to work as a collective to purchase their residence. The CRI will also provide mortgage default and foreclosure prevention services and home ownership classes. Partnerships with organizations that specialize in creating home-ownership and identifying affordable homes for low- to moderate-income earners will be expanded. UPO's Advocacy Division will continue to aid residents who desire to develop tenant associations. Assistance articulating tenant needs and working collaboratively with management and city agencies to have their needs heard and addressed will also be provided. UPO will partner with a legal service pro-bono project to provide advising advice to tenants on housing concerns.

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

(Narrative)

Emergency housing assistance needs will be addressed by UPO through the Emergency Rental Assistance Program (ERAP) operated through the Community Reinvestment Division. ERAP provides rental assistance to customers facing the threat of eviction. Emergency clothing and nutrition needs will be addressed through the UPO Advocacy Division. UPO will continue its monthly Grocery Plus program operated at the Petey Greene Community Services Center that provides groceries to senior citizens and those with disabilities. Partnerships with the Mid-Atlantic Gleaning Network will provide food distribution at a minimum of three times per year in food desserts at the end of the month when most low-income families begin to run out of food. Finally, UPO has a healthy network of partners in legal aid, food assistance and shelter transport and temporary shelter to guide customers to needed services and barriers to family stability.

- (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]

UPO will continue its community revitalization effort in the Washington Highlands area of Ward 8 through the Washington Highlands Community Advancement Network (WH CAN) in collaboration with community businesses, local law enforcement, residents, ANCs and other stakeholders. UPO will convene community meetings and coordinate with residents to address concerns related to neighborhood safety, employment and other identified issues. To increase community safety, UPO will expand the current neighborhood watch online application to enroll at least 100 additional WH residents. The application allows smart phone users to learn of where crimes have been committed in the community, report crimes and to send out notices of community meetings and alerts. The app will be used more expansively in 2017 and 2018 to advertise community outreach by law enforcement. Through future funding, UPO anticipates delivering a health and wellness project in the WH community to address family health concerns and to identify needed resources to aid the community in improving access to and use of health facilities and organizations. Community Leadership Academies were developed by UPO to empower residents to be advocates within their communities and to understand how to engage civic and elected leaders to address neighborhood concerns. Fifteen (15) WH residents will participate in the leadership academy and participate in local hearings that address an area of personal or community interest in 2017 and 2018. In the spring of 2017, UPO, in partnership with Winn Management and Kaboom!, will build three new playgrounds in the Washington Highlands community for ages 0-3; 4-12 and 12-17 in spring 2017.

In addition to WH, UPO will begin engaging Ward 7 community members replicating successes and utilizing lessons learned from the WH CAN model. Strategic coordination of UPO resources to address community needs will be employed and measured to effectively contribute to a community revitalization effort. Duplicating its initial entrance into the WH neighborhood as a strategic partner, UPO will provide early learning services in Ward 7 to address the pressing childcare needs and to partner with families to articulate the goals for a thriving community.

See attachment 6: 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]

UPO's Office of Early Learning (OEL) will serve 700 early Head Start children through direct services to provide educational, social-emotional and health needs to ensure school readiness. Another 200 children will be impacted through Hub services. UPO has been designated as a training and technical assistance provider for seven (7) early learning centers throughout the City to ensure quality services for children and families in these centers. The UPO OEL will seek additional financial resources to support families in Ward 7 where there is currently a need for more early learning services. OEL is also poised to introduce a reading literacy program to parents that will provide books and reading circles to increase child and parent literacy.

The UPO Providing Opportunities With Educational Readiness (POWER) program currently operates a Science, Technology, Engineering and Math (STEM) program. Moving forward in FY 2017, plans are underway to enhance this program by incorporating the arts using a Science, Technology, Arts and Math (STEAM) curriculum and engaging additional universities, arts and STEM professionals to support this effort. It will also partner with Destination Imagination to provide youth with year-long critical thinking projects. In its mission, the program states it provides "a fun, hands-on system of learning that fosters students' creativity, courage and curiosity through open-ended academic Challenges in the fields of STEM (science, technology, engineering and mathematics), fine arts and service learning."

POWER students will also receive intensified social-emotional, coping and life skills support. Greater emphasis will also be placed on parent involvement in the POWER program and in the local schools as education advocates for their children. The Beavers Scholarship will be expanded through partnerships with local businesses interested in developing scholarships for local youth. Beavers scholars, along with college enrolled POWER program participants, will receive support from a College Outreach Coordinator to aid students and their families in the college transition process including enrollment and financial aid issues, time management, social-emotional issues and self-advocacy in their educational pursuits.

UPO Freedom Schools participants will continue to be supported with reading literacy through after- school and summer programming. The Youth Services Division will align program services with the Raise DC initiative to reengage disconnected youth with school; coordinate a partnership with the Latin American Youth Center to develop two restorative justice programs for 50 youth ages 12–18; Establish partnerships with Serve DC, Coalition of Black Trade Unionists, Hands-on Greater DC Cares, and the Capital Area Food Bank for the coordination of meaningful initiatives that afford opportunities for youth to give back to their communities ; and establish partnership with the Alliance of Concerned Black Men and the Department of Youth Rehabilitation Services. See Attachment 7: Response to 14.1b

Coordination of Other Programs(Updates needed for FY 17-18)

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 will expand opportunities for its customers in 2017 and 2018 through strategic partnerships with businesses interested in civic engagement and volunteerism to seek new revenue streams, volunteers, and audiences to aid in the diversification of funding to better respond to the varying needs of the customer base. Twenty new active business supporters will be courted. UPO will continue its partnership expansion and add to the nearly 1000 partners including volunteer and intern organizations, emergency services agencies, parent support organizations and literacy partners to name a few.

UPO will continue its membership on various boards and will establish neighborhood liaisons who will work with the Advocacy Division to provide support with outreach to

the community and neighborhood partners, business associations, other CBOs and community stakeholders.

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: Service Delivery Network)

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 8: Innovative Community and Neighborhood-based Initiatives

Eligible Entity Emergency Food and Nutrition Services(Updates needed for FY 17-18)

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 eligible entity 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 eligible entity 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 eligible entities other than individuals, Alternate I applies.
- (4) For eligible entities who are individuals, Alternate II applies.
- (5) Workplaces under grants, for eligible entities other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the eligible entity does not identify the workplaces at the time of application, or upon award, if there is no application, the eligible entity 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 eligible entity'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 eligible entity 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. Eligible entities' 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 eligible entity 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 eligible entity's payroll. This definition does not include workers not on the payroll of the eligible entity (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the eligible entity's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Eligible entities Other Than Individuals)

The eligible entity 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 eligible entity'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 eligible entity'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 eligible entity 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. (Eligible entities Who Are Individuals)

- (a) The eligible entity 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/eligible entity certifies that it will comply with the requirements of the Act.

The applicant/eligible entity 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 subeligible entities shall certify accordingly.

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



MURIEL BOWSER
MAYOR

August 15, 2015

Jeannie Chaffin
Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W., Room 509
Washington, DC 20447

Dear Ms. Chaffin:

I am writing to advise the Office of Community Services that, for purposes of state activities under the Community Services Block Grant (CSBG) program, I hereby re-designate the DC Department of Human Services (DHS) as the appropriate District agency that will comply with and carry out the requirements of the related sections of the CSBG Act in the District of Columbia.

DHS will be responsible for planning and providing direction for the implementation of CSBG activities in the District. All financial assistance awards should be forwarded to:

Laura Green Zeilinger
Director
Department of Human Services
64 New York Avenue, N.E.
Washington, DC 20002
Phone: (202) 671-4200
Fax: (202) 671-4326
Email address: laura.zeilinger@dc.gov

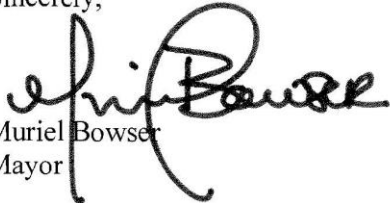
As the designated agency, DHS will be responsible for:

- The development of the State Plan and Application to be submitted to the Secretary, U.S. Department of Health and Human Services, for funding;
- Conducting monitoring, evaluation and other oversight reviews of the eligible entity and its network of sub-grantee service providers; and

- Holding at least one (1) legislative hearing in the District every three (3) years to allow an opportunity to receive testimonies from interested individuals and groups on the administration and use of CSBG funds in the District.

Should you have any questions, or require additional information, please do not hesitate to contact Laura Green Zeilinger, Director, Department of Human Services, by telephone at (202) 671-4200.

Sincerely,

A handwritten signature in black ink, appearing to read "Muriel Bowser". The signature is fluid and cursive, with the first name "Muriel" written in a larger, more prominent script than the last name "Bowser".

Muriel Bowser
Mayor

cc: Laura Green Zeilinger, Director, DHS

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

NOTICE OF AVAILABILITY OF
COMMUNITY SERVICES BLOCK GRANT STATE PLAN AND APPLICATION FOR
FISCAL YEARS 2017 AND 2018

The Director of the District of Columbia (District) Department of Human Services (DHS), pursuant to the requirement of the Community Services Block Grant (CSBG) Act of 1998, as amended (42 U.S.C. §9908 (e)) announces the availability of the CSBG State Plan and Application for Fiscal Years (FY) 2017 and 2018 (State Plan) for public inspection, review and comment. The state plan presents an approach to reduce poverty within the District through the provision of a wide range of services and activities that assist low-income families and individuals to:

- Remove obstacles and solve problems which inhibit the attainment of self-sufficiency;
- Secure and retain meaningful employment;
- Attain an adequate education;
- Make better use of available income;
- Obtain and maintain adequate housing and a suitable living environment;
- Obtain emergency assistance to meet immediate or urgent needs; and
- Achieve greater participation in the affairs of the communities in which they live.

A community meeting on the State Plan will be held at 6:00 p.m. on Wednesday, July 6, 2016 at the Department of Employment Services, 4058 Minnesota Avenue, N.E., Community Room #1, Washington, DC 20019. Copies of the State Plan will be available for inspection, review and comment from Monday, June 27, through Friday, August 5, 2016, at the locations listed below:

Department of Human Services
Family Services Administration
Community Services Block Grant
64 New York Avenue, N.E., 6th Floor
Washington, DC 20002
www.dhs.dc.gov

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

Martin Luther King, Jr. Memorial Library
Public Comments 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

Persons requesting special accommodations and those who wish to speak at the community meeting should contact Betty Ervin, CSBG Secretary, DHS via e-mail: betty.ervin@dc.gov or by telephone at (202) 698-4301 by Wednesday, June 29, 2016. Please include the following information: Full Name, Title, Residential ward, and Organizational affiliation or Interest group (if any). Witnesses should bring three (3) copies of their written statement to the community meeting. Speaking times will be limited to a maximum of three (3) minutes per person or five (5) minutes for two or more persons.

Written statements may also be submitted for the record by close of business on Friday, August 12, 2016, and should be submitted by mail to the attention of Betty Ervin, CSBG Secretary, DC Department of Human Services, 64 New York Avenue, NE, 6th Floor, Washington, DC 20002 or by email to: betty.ervin@dc.gov.

CSBG Service Delivery Network Listing

DIVISION: Adult Education and Training

Program/Center/Site Name	Adult Education & Training
Address	1649 Good Hope Rd SE, Washington, DC, 20020
Contact	Natasha Gilmore
Phone	202 610-5874
Fax	202 889-1312
Email	ngilmore@upo.org
Purpose of Program	Training
Ward(s) / Service Area(s)	Ward 8, and citywide

Program/Center/Site Name	YouthTech
Address	1649 Good Hope Rd SE, Washington, DC, 20020
Contact	Reginald Glenn
Phone	202 610-5837
Fax	202 889-1312
Email	rglenn@upo.org
Purpose of Program	Youth IT Training
Ward(s) / Service Area(s)	Ward 8, and citywide

DIVISION: Workforce Development

Program/Center/Site Name	UPO/Employment Center
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Robin Coates
Phone	202 231-7947
Fax	202 562-3802
Email	rcoates@upo.org
Purpose of Program	Employment Services
Ward(s) / Service Area(s)	Ward 8

Area(s)	
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Program/Center/Site Name	UPO/DC Clean Team
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Robin Coates
Phone	202 231-7925
Fax	202 562-3802
Email	rcoates@upo.org
Purpose of Program	Commercial Cleaning Team
Ward(s) / Service Area(s)	Ward 8

ROGRAM: Foster Grandparents

Program/Center/Site Name	UPO/Foster Grandparent Program
Address	1649 Good Hope Rd SE, Washington, DC, 20020
Contact	Cheryl Christmas
Phone	202-610-5826
Fax	202-610-5902
Email	cchristmas@upo.org
Purpose of Program	Provide volunteer opportunities for low-income persons 55 and older to provide mentoring and tutoring to social-economically disadvantaged students from birth to twenty one years of age in a variety of educational settings.
Ward(s) / Service Area(s)	Ward 8, Ward 7, Ward 6, Ward 5, Ward 4, Ward 3 and Ward 2.

DIVISION: Advocacy

Program/Center/Site Name	UPO/Advocacy Services
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Ayana Bias
Phone	202 231-7946
Fax	202 562-3801
Email	abias@upo.org

Purpose of Program	Promote people's rights, social inclusion, and raise awareness of the obstacles faced by low income residents. To support and empower individuals and groups to be involved of issues impacting their day to day living.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Volunteer Services
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Ayana Bias
Phone	202 231-7946
Fax	202 562-3801
Email	abias@upo.org
Purpose of Program	Manages Volunteer Recruitment, placement, & reporting for all non-UPO employees (Community Service, Internships, Fellowships, NCBA, Summer Youth Employment, etc.)
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO Community Leaders Toastmasters Club
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Ayana Bias
Phone	202 231-7946
Fax	202 562-3801
Email	abias@upo.org
Purpose of Program	To help community members improve their communication, public speaking, and leadership skills to gain confidence in advocating, testifying, and presenting their needs and wants to decision makers. A friendly atmosphere to gain speaking experience.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Community Leadership Academy
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Ayana Bias
Phone	202 231-7946
Fax	202 562-3801
Email	abias@upo.org
Purpose of Program	Train and develop community residents into civic minded leaders to be empowered and engaged in community decision making, and involved in community advocacy efforts.
Ward(s) / Service Area(s)	ALL WARDS
Program/Center/Site Name	UPO/Healthy Living Initiative
Address	1649 Good Hope Rd SE, Washington, DC, 20020
Contact	Janie Boyd
Phone	202 610-5900
Email	jboyd@upo.org
Purpose of Program	To promote and encourage a healthy living lifestyle through fresh produce drops, gleaning activities, and growing edible gardens.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Opportunities Ambassadors
Address	1649 Good Hope Rd SE, Washington, DC, 20020
Contact	Shirley Price
Phone	202 610-5900
Email	sprice@upo.org
Purpose of Program	Serves as a liaison for community members, and advocates on their behalf to address the needs of their communities.
Ward(s) / Service Area(s)	ALL WARDS

DIVISION: Community Health

Program/Center/Site Name	UPO/Comprehensive Treatment Center
Address	900 Massachusetts Avenue, SE, Building #13, Washington, DC 20003

Contact	Agnes Venson
Phone	202 682-6599
Email	avenson@upo.org
Purpose of Program	Outpatient medically managed opioid treatment program
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Shelter Hotline
Address	301 Rhode Island Avenue, NW, Washington, DC 20001-1826
Contact	Allison Smith
Phone	800 535-7252
Email	asmith@upo.org
Purpose of Program	Focus on preventing homelessness and providing emergency assistance to single adults and families that have become homeless.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	EBT
Address	1649 Good Hope Rd SE, WDC, 20020 and 611 H St NE, Washington, DC, 20002
Contact	Sherolyn Holmes
Phone	202 543-6680
Fax	202 543-7360
Email	sholmes@upo.org
Purpose of Program	Electronic Benefits
Ward(s) / Service Area(s)	ALL WARDS

DIVISION: Youth Services

Program/Center/Site Name	UPO/Providing Opportunities with Educational Readiness (P.O.W.E.R.)
Address	1649 Good Hope Rd., SE Washington, DC 20020
Contact	Kenneth Carroll, Program Coordinator
Phone	202 610-0466, x127
Fax	202 610-2666
Email	kcarroll@upo.org
Purpose of Program	College/Career Readiness
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Freedom Schools
Address	3640 MLK Jr. Avenue, SE Washington, DC 20032
Contact	Jhonna Abraham, Site Coordinator
Phone	202 610-0466, x129
Fax	202 610-2666
Email	jabraham@upo.org
Purpose of Program	Academic Enrichment
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Annual College Tour Initiative
Address	1649 Good Hope Rd, SE Washington, DC 20020
Contact	De Angelo Rorie, YSD Director
Phone	202 610-0466, x127
Fax	202 610-2666
Email	drorie@upo.org
Purpose of Program	College/Career Readiness
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Annual Back to School Initiative
Address	1649 Good Hope Rd, SE Washington, DC 20020
Contact	De Angelo Rorie, YSD Director
Phone	202 610-0466, x127
Fax	202 610-2666
Email	drorie@upo.org
Purpose of Program	School Year Start Up Support
Ward(s) / Service Area(s)	Ward 7 and Ward 8

Program/Center/Site Name	UPO/Joseph A. Beavers Scholarship
Address	1649 Good Hope Rd, SE Washington, DC 20020
Contact	De Angelo Rorie, YSD Director
Phone	202 610-0166, x127
Fax	202 610-2666
Email	drorie@upo.org
Purpose of Program	College Readiness and Support

Ward(s) / Service Area(s)	ALL WARDS
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DIVISION: Community Reinvestment

Program/Center/Site Name	UPO/Financial Literacy
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Kathryn Pierson, Director
Phone	202 231-7926
Fax	202 562-3801
Email	kpierson@upo.org
Purpose of Program	Teach the importance of good credit, budgeting and goal setting.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Housing Counseling Services
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Kathryn Pierson, Director
Phone	202 231-7926
Fax	202 562-3801
Email	kpierson@upo.org
Purpose of Program	Provide comprehensive assistance to persons who want to rent, buy or already own a home, and who seek to be responsible renters, buyers and owners.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Individual Development Account
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Kathryn Pierson, Director
Phone	202 231-7926
Fax	202 562-3801
Email	kpierson@upo.org
Purpose of Program	Help individuals build savings related to their goals for homeownership, higher education, and small business ownership.

Ward(s) / Service Area(s)	ALL WARDS
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Program/Center/Site Name	UPO/Income Tax Assistance
Address	2907 Martin Luther King, Jr. Avenue, SE, Washington, DC 20032
Contact	Kathryn Pierson, Director
Phone	202 231-7926
Fax	202 562-3801
Email	kpierson@upo.org
Purpose of Program	Free tax preparation services to DC residents who meet income eligibility criteria.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Shelter Plus Care
Address	3640 MLK Jr. Avenue, SE Washington, DC 20032
Contact	Carlton Brown, Coordinator
Phone	202 231-7926
Fax	202 562-3801
Email	cbrown@upo.org
Purpose of Program	Provides supportive services to families recovering from substance abuse and families with a diagnosis of HIV/AIDS.
Ward(s) / Service Area(s)	ALL WARDS

DIVISION: Green Technology

Program/Center/Site Name	UPO/Building Careers Academy
Address	915 Girard Street, NE, Washington, DC, 20017
Contact	Steven Johnson. PhD
Phone	202 526-2646
Fax	202 526-2643
Email	sjohnson@upo.org
Purpose of Program	Offers a full range of fee-based and free training courses, designed for individuals interested in developing the technical skills necessary to secure employment in the growing fields of weatherization and "green"

	construction.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Weatherization Services
Address	915 Girard Street, NE, Washington, DC, 20017
Contact	Steven Johnson, PhD
Phone	202 526-2646
Fax	202 526-2643
Email	sjohnson@upo.org
Purpose of Program	Offers low-cost home improvements to income eligible customers with the goal of saving energy.
Ward(s) / Service Area(s)	ALL WARDS

Program/Center/Site Name	UPO/Green Capital
Address	915 Girard Street, NE, Washington, DC, 20017
Contact	Steven Johnson, PhD
Phone	202 526-2646
Fax	202 526-2643
Email	sjohnson@upo.org
Purpose of Program	Offers low-cost home improvements to fee paying customers with the goal of saving energy.
Ward(s) / Service Area(s)	ALL WARDS

DIVISION: Office of Early Learning

Program/Center/Site Name	UPO/Anacostia High School
Address	1601 16th Street, SE, Washington, D.C., 20020

Contact	Shirleeta Williams
Phone	202 724-7470
Email	swilliams@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 8

Program/Center/Site Name	UPO/Edgewood Center
Address	601 Edgewood Terrace, NE, Washington, D.C. 20017
Contact	Anita White
Phone	202 529-1582
Fax	202 529-1610
Email	awhite@upo.org
Purpose of Program	Early Head Start, Pre-K Program and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 5

Program/Center/Site Name	UPO/Azeeze Bates
Address	444 16th Street, NE, Washington, D.C., 20002
Contact	Shanika Hickman
Phone	202 388-7960
Email	slipscomb@upo.org
Purpose of Program	Early Head Start, Pre-K Program and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 6

Program/Center/Site Name	UPO/Marie Reed
Address	2200 Champlain Street, NW, Washington, D.C., 20009
Contact	Joyce Koskey
Phone	202 234-5852
Fax	202 234-9564
Email	jkoskey@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 1

Program/Center/Site Name	UPO/C.W. Harris Elementary School
Address	301 53rd Street, NW, Washington, D.C., 20019
Contact	Sandra Yates
Phone	202 645-3188
Email	syates@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 7

Program/Center/Site Name	UPO/Frederick Douglas
Address	3420 Stanton Road, SE, Washington, D.C., 20020
Contact	Natasha Terry
Phone	202 889-2080
Email	sterry@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 8

Program/Center/Site Name	UPO/Luke C. Moore
Address	1001 Monroe Ave., NE, Washington, D.C., 20017
Contact	Charmie Salas
Phone	202 671-6313
Fax	202 526-5913
Email	csalas@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 5

Program/Center/Site Name	UPO/Dunbar Senior High School
Address	101 N Street, NW, Washington, D.C., 20001
Contact	Victorine Fonge
Phone	202 238-0748
Email	vfonge@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 5

Program/Center/Site Name	UPO/Ballou Senior High School
Address	3401 4th Street, SE, Washington, D.C., 20032
Contact	Royace Hagler
Phone	202 645-6689
Email	rhagler@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 8

Program/Center/Site Name	UPO/H. D. Woodson High School
Address	540 55th Street, NE, Washington, D.C., 20019
Contact	Lisa Greene
Phone	202 939-2030
Email	lgreene@upo.org
Purpose of Program	Early Head Start and OSSE Subsidy
Ward(s) / Service Area(s)	Ward 7

Program/Center/Site Name	UPO/Apple Tree at Douglas Knolls
Contact	Linda Marshall
Phone	202 629-2545
Fax	lmarshall@upo.org
Email	Head Start
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 8

Program/Center/Site Name	UPO/Apple Tree@ Parklands
Address	Lawren Baltimore202-506-1890
Fax	lbaltimore@upo.org
Email	Head Start
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 8

Program/Center/Site Name	UPO/Educare
Contact	Jamal Berry
Fax	202 741-8665
Email	jberry@educaredc.org

Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 7

Program/Center/Site Name	UPO/Luke C. Moore
Contact	Charmie Salas
Fax	202 671-6313
Email	csalas@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 5

Program/Center/Site Name	Atlantic Gardens
Contact	Tanisha Chase
Fax	202 238-4624
Email	tchase@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 7

Program/Center/Site Name	Paradise
Contact	Rebecca Hines
Fax	202 396-1508
Email	rhines@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 7

Program/Center/Site Name	SED
Contact	Maria Diaz
Fax	202 722-4404
Email	mdiaz@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 4

Program/Center/Site Name	Christian Tabernacle
Contact	Cynthia Duvall

Fax	202 265-9040
Email	cduvall@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 1

Program/Center/Site Name	Healthy Babies
Contact	Gisela Hurtado
Fax	202 238-4600
Email	ghurtado@upo.org
Purpose of Program	Head Start and Early Head Start
Ward(s) / Service Area(s)	Ward 7

UPO SUB GRANTEES

Program/Center/Site Name	VIDA Senior Centers
Address	1842 Calvert Street, NW, Washington, DC 20009
Contact	Rosa Pizzi
Phone	202 483-6141
Fax	202 483-5801
Email	rpizzi@vidaseniorcenters.org
Purpose of Program	Serves as a multi-service center for Latino and other elders. Its Safety Net for Latino Seniors and Other Elders in the District of Columbia Program helps to improve the quality of life and promote independence for its target population. Among its services are: recreation and socialization; health promotion; counseling; nutrition education; commodity food distribution; meals; medication monitoring; and senior companions.
Ward(s) / Service Area(s)	Wards 1 and 4.

Program/Center/Site Name	Collaborative Solutions for Communities
Address	1816 12th Street N.W., Suite 201, Washington, D.C. 20009

Contact	Penelope Griffith
Phone	202 518-6737
Fax	202 518-6742
Email	pgriffith@wearecsc.org
Purpose of Program	Mission is to build strong sustainable family and neighborhood systems through family support services, training, advocacy, community capacity building and economic development. Although geographically located in the Columbia Heights/Shaw community, it will provide workforce development services to persons residing throughout the District.
Ward(s) / Service Area(s)	Wards 1, 2, 4 and 5.

Program/Center/Site Name	Community Services Agency of Metropolitan Washington AFL/CIO
Address	888 16th Street NW, Suite 520, Washington, DC 20006
Contact	Kathleen McKirchy
Phone	202 974-8221
Fax	202 974-8152
Email	kmckirchy@dclabor.org
Purpose of Program	Coordinates workforce development initiatives to help move low-income persons into family-sustaining jobs. CSA's Building Futures Construction Pre-Apprenticeship Training and Placement Program has operated since 2006.
Ward(s) / Service Area(s)	Wards 1, 5, 6, 7 and 8.

Program/Center/Site Name	Edgewood/Brookland Family Support Collaborative
Address	200 K Street, NW, Washington DC 20001
Contact	Sharon Crytzer
Phone	202 832-9400
Fax	202 216-9263
Email	scrytzer@ebfsc.org

Purpose of Program	Is one of the District's five Health Families/Thriving Communities Collaboratives. Founded in 1996, its mission to strengthen families and build vibrant communities. RISE uP (Readiness Individualized Support Employment Program) provides comprehensive case management, job readiness training and job placement assistance. Activities to help youth avoid risk-taking behavior are also provided.
Ward(s) / Service Area(s)	Wards 5 and 6.

Program/Center/Site Name	DC Central Kitchen
Address	2625 Evarts Street, NE, Washington, DC 20018
Contact	Michael Curtin
Phone	202 234-0707
Fax	202 269-0663
Email	mcurtin@dcentralkitchen.org
Purpose of Program	Provides healthy food, vocational training and nutritional education to low-income persons in the District. DCCK's culinary job training program prepares unemployed men and women for jobs in the food industry.
Ward(s) / Service Area(s)	Wards 5, 7 and 8.

Program/Center/Site Name	Southeast Ministry
Address	3111 Martin Luther King Jr. Avenue, SE, Washington, DC 20032
Contact	Valarie Ashley

Phone	(202) 562-2636
Fax	
Email	vashley@southeastministrydc.org
Purpose of Program	SEM provides: (1) adult basic education classes; (2) GED preparation classes; and (3) job readiness activities
Ward(s) / Service Area(s)	Wards 7 & 8

Program/Center/Site Name	Thrive DC
Address	1525 Newton Street, NW, Suite G-1, Washington, DC 20010
Contact	Alicia Horton
Phone	(202) 503-1522
E-mail	Alicia@thrivedc.org
Purpose of Program	Its mission is to prevent and end homelessness by providing services to stabilize individuals' lives. The target population includes homeless persons throughout the city, although Thrive DC is located in Ward 1, it also operates at Skyland Workforce Center in Ward 8. Thrive DC provides vocational training in culinary arts and job placement assistance.
Ward(s) / Service Area(s)	Wards 1 & 8
Program/Center/Site Name	Thrive DC
Address	1525 Newton Street, NW, Suite G-1, Washington, DC 20010
Contact	Alicia Horton
Phone	(202) 503-1522

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

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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:		
a. Date the asset was acquired?	es	o
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?		
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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
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	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 or 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?

- | | | |
|-----------|---|------------|
| <i>No</i> | 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

<i>receipt and submitted to:</i> – _____.			
1.	Is there a finance committee of the board? If yes, how many members?	<i>Yes</i>	<i>No</i>
2.	How often does the committee meet?		
3.	Are the minutes of the committee meetings provided to the board?	<i>Yes</i>	<i>No</i>
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? <i>No</i>	<i>Yes</i>	
6.	When expenses exceed budgets, how is this dealt with?		
7.	Does the finance committee periodically review cash receipts or disbursements?	<i>Yes</i>	<i>No</i>
8.	Does the finance committee review the salary structures for all positions?		
9.	Does the finance committee use the agency's fiscal manual during meetings?	<i>Yes</i>	<i>No</i>
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? <i>Yes</i> <i>No</i> Who has access to the bank accounts?		
12.	Is there a periodic review of financial operation of the agency? <i>Yes</i> <i>No</i> 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? <i>Yes</i> <i>No</i> 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. Submission of reports past the due date will be a finding.				
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	es	o	/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? <i>Reference: CSBG Contract</i>				
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? _____ <i>Reference: CSBG Contract</i>				
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? <i>Methodology: Discuss finding(s) and note in monitoring report.</i>				
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? <i>Methodology: Contact OCP compliance division. Reference: OMB Circular A-133</i>				
Are there any unresolved audit findings? If yes, what is the status of these findings? <i>Methodology: Contact OCP compliance division.</i>				
Have funds from the CSBG contract been allocated to pay for an audit? <i>Methodology: Review fiscal records.</i>				
Has the audit expense been contractually charged to administration for CSBG? <i>Methodology: Review fiscal records</i>				
Has the sub-recipient used a competitive solicitation process in the last four (4) years to procure audit services? <i>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.</i>				

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 <i>Prism</i> ?				

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? (Case Management, Direct Services Support and Admin.)				
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? (Case Management, Direct Services Support, Administration)				

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?				
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? <i>Reference: CSBG Contract, Item 10. Related Parties, for the purposes of the CSBG 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>				
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Briefly describe any related party transactions and/or conflict of interest situations noted during on-site fiscal review:

ADMINISTRATIVE

GENERAL	Yes	No	/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?		
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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: _____

(Date) (Agency Representative) (Title)

(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.

Attachment 5 Response to 13. 1a Results Oriented Management and Accountability (ROMA)

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.

All CSBG-funded programs are required to plan and report using the ROMA format, measuring the impact of services in attaining one or more National CSBG Goals. In fiscal years 2017 and 2018, the eligible entity's programs will all work towards the achievement of the following goals:

Goal 1: Individuals and families with low income are stable and achieve economic security;

Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity; and

Goal 3: People with low incomes are engaged and active in building opportunities in communities.

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 fiscal year 2017, the eligible entity will begin to incorporate the ROMA Next Generation approach and processes into its automated data collection and reporting system titled **Community Action Statistical Access** or **CASA** while also developing long-term capability to handle the requirements of reporting consistent with emerging changes to ROMA. This system will be used to collect and report client and service information within the next generation of ROMA. Applying the CASA system as well as the long-term solution identified, each goal will have corresponding direct measures for use in tracking client and community results and accomplishments.

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

For FY 2017 and 2018 program reporting will be guided by the proposed CSBG National Goals and Performance Indicators:

CSBG National Goals and Performance Indicators

The proposed National Goals and the accompanying performance indicators follow:

Services Employment

Individual and Family

Employment Services
Apprenticeships/Internships
Youth Summer Work Placements
Skills Training
Vocational Training Classes
On-the-Job Skills Training Sessions
Self-Employment Skills Training Sessions
Soft-skills Training Classes (Communication, Problem-solving, Teamwork, etc.)
Dress-for-Success Classes
Career Counseling
Workshops
Coaching Sessions
Transitional Employment Placements
Job Search
Resume Development Sessions
Interview Skills Training Sessions
Job Referrals
Job Placements
Employment Supplies
Employment Supplies

Community

Employment - CREATION
1. The number of jobs created to increase opportunities for people with low incomes.
2. The number of "living wage" jobs created in the community.

Employment - MAINTENANCE
3. The number of jobs maintained for people with low incomes.
4. The number of "living wage" jobs maintained in the community.

Employment
5. Decreased rate of unemployment benefit applications.

Services Education

Individual and Family

Education Service
Child/Young Adult Education Programs
Early Head Start Program Sessions
Other Early-Childhood (0-5 yr. old) Education Program Sessions
Head Start Program Sessions
K-12 Education Program Sessions
0-5 Literacy Classes
K-12 Literacy Classes
College-Readiness Classes
School Supplies
School Supplies
Extra-curricular School Programs
Before and After School Activities
Summer Youth Recreational Activities
Summer Education Programs
Safety Class for Schools and Agencies
Dress-for-Success Classes
Adult Education Programs

Basic Education Classes
Adult Literacy Classes
GED Classes
English Language Classes
Post-Secondary Education Supports (College applications, text books, computers, etc.)
Leadership Training Sessions
Financial Aid Assistance
Scholarships
Home Visits
Home Visits

Community

Education and Cognitive Development
1. Percent increase of children in the community who are kindergarten ready.
2. Percent increase of youth attending post-secondary education.
3. Percent decrease of children in Grades 3-12 more than one grade level behind in reading.
4. Percent decrease of children in Grades 3-12 more than one grade level behind in math.

Education and Cognitive Development
5. Increased adult literacy rate in the community.
6. Percent increase in high school graduation or high school equivalency rates.

Services Income and Asset Build

Individual and Family

Income and Asset Building Services
Training and Counseling Services
Financial Capability Skills Training
Financial Coaching/Counseling Sessions
Budgeting Classes

Credit Counseling Sessions
Credit Repair Counseling
First-time Homebuyer Counseling Sessions/Classes
Foreclosure Prevention Counseling Sessions/Classes
Small Business Start-Up and Development Counseling Sessions/Classes
Benefit Coordination and Advocacy
Child Support Payments
Social Security/SSI Payments
Veteran's Benefits
TANF Benefits
SNAP Benefits
Asset Building
Saving Accounts
IDAs
Other financial products (IRA accounts, MyRA, other retirement account, etc.)
VITA, EITC, or Other Tax Preparations
Loans And Grants
Micro-loans
Business incubator/business development loans

Community (Infrastructure and Asset Building)

1. The number and percent increase in assets/resources built in communities with a low-income population. NEW ASSETS/ RESOURCES
<i>1a. Commercial</i>
<i>1b. Financial</i>
<i>1c. Education</i>
<i>1d. Technological/ Communications (e.g. broadband)</i>
<i>1e. Transportation</i>
<i>1f. Health (e.g. access to nutritious and healthy food)</i>

1g. Recreational (e.g. parks, gardens, libraries)

1h. Other Public Assets/Physical Improvements

2. The number and percent increase of assets/resources made accessible to low-income communities.

2a. NEW ASSETS/RESOURCES made accessible to low-income communities.

2a.i. Commercial

2a.ii. Financial

2a.iii. Education

2a.iv. Technological/ Communications (e.g. broadband)

2a.v. Transportation

2a.vi. Health (e.g. access to nutritious and healthy food)

2a.vii. Recreational (e.g. parks, gardens, libraries)

2a.viii. Other Public Assets/Physical Improvements

2b. EXISTING ASSETS/RESOURCES made accessible to low-income communities.

2b.i. Commercial

2b.ii. Financial

2b.iii. Education

2b.iv. Technological/ Communications (e.g. broadband)

2b.v. Transportation

2b.vi. Health (e.g. access to nutritious and healthy food)

2b.vii. Recreational (e.g. parks, gardens, libraries)

2b.viii. Other Public Assets/Physical Improvements

3. The number and percent decrease in barriers/negative conditions to having a healthy community.

3a. Decreased number and percent of abandoned or neglected buildings

3b. Improved positive relations between police and community

3c. Decrease in emergency response time (EMT, Police, Fire, etc.) in minutes

3d. Decreased number and percent of payday lenders

Infrastructure and Asset Building
4. Increase in the rate of home ownership of people with low incomes.

Services Housing

Individual and Family

Housing Services
Housing Payment Assistance
Financial Capability Skill Training
Financial Coaching/Counseling Sessions
Rent Payments (includes Emergency Rent Payments)
Deposit Payments
Mortgage Payments (includes Emergency Mortgage Payments)
Eviction Prevention Services
Eviction Counseling Sessions
Landlord/Tenant Mediations
Landlord/Tenant Rights Education Sessions
Utility Payment Assistance
Utility Payments (LIHEAP) (includes Emergency Utility Payments)
Utility Deposits
Utility Arrears Payments
Level Billing Assistance
Housing Placement/Rapid Re-housing
Temporary Housing Placement (includes Emergency Shelters)
Transitional Housing Placements
Permanent Housing Placement
Rental Counseling Sessions
Housing Maintenance & Improvements
Home Repairs (i.e. structural, appliance, heating systems. Etc.) (Includes Emergency Home Repairs)
Weatherization Services

Independent-living Home Improvements (e.g. ramps, tub and shower grab bars, handicap accessible modifications, etc.)
Healthy Homes Services

Community

Housing
1. The number of safe and affordable housing units developed (e.g. built or units set aside for people with low incomes).
2. The number of safe and affordable housing units maintained.
3. The number of safe and affordable housing units whose value and quality was improved.
4. The number of shelter beds established in the community by the agency.
5. The number of shelter beds maintained in the community by the agency.
6. Decrease in the rate of homelessness (in a specific community or for a specific population, e.g. veterans).
7. Decrease in the foreclosure rate.

Services Health and Social

Individual and Family

Health and Social/Behavioral Development Services
Health Services, Screening and Assessments
Immunizations
Physicals
Developments Delay Screening
Prescription Payments
Doctor Visit Payments
Maternal/Child Health
Nursing Care Sessions
In-Home Affordable Seniors/Disabled Care Sessions
Reproductive Health Services
Coaching Sessions
Family Planning Classes
Contraceptives
STI/HIV Prevention Counseling Sessions

STI/HIV Screenings
Health Insurance Options Counseling
Wellness Education
Wellness Classes (stress reduction, medication management, mindfulness, etc.)
Exercise/Fitness Classes
Mental/Behavioral Health
Detoxification Sessions
Substance Abuse Screenings
Substance Abuse Counseling Sessions
Mental Health Assessments
Mental Health Counseling Sessions
Crisis Response/Call-In Responses
Support Groups
Alcoholics Anonymous Meetings
Substance Abuse Support Group Meetings
Domestic Violence Support Group Meetings
Mental Health Support Group Meeting
Dental Services, Screenings and Exams
Adult Dental Screening/Exams
Adult Dental Services (includes Emergency Dental Procedures)
Child Dental Screenings/Exams
Child Dental Services (includes Emergency Dental Procedures)
Nutrition and Food/Meals
Classes (Gardening, Cooking, Nutrition)
Community Gardening Plot Allotments
Incentives (i.e., gift card for food preparation, rewards for participation, etc.)
Prepared Meals
Food Distribution (food bags/boxes, Food Share Program, Bags of Groceries)

Family Skills Development Programs
Family Mentoring Sessions
Life Skills Coaching Sessions
Parenting Classes
Emergency Hygiene Assistance
Kits/boxes
Facilities such as showers, toilets, sinks

Community

1. Health Services.
1a. Number of health services added within one mile of a low-income urban community.
1b. Number of health services made accessible within one mile of a low-income urban community.
1c. Number of health services added within ten miles of a low-income rural community.
1d. Number of health services made accessible within ten miles of a low-income rural community.

2. Physical health, wellbeing, and development.
2a. Decrease in infant mortality rate in the community.
2b. Decrease in childhood obesity rate in the community.
2c. Increase in child immunization rate in the community.
2d. Percent decrease in uninsured families in the community.

3. Mental and behavioral health, emotional wellbeing, and development.
3a. Decrease in teen pregnancy rate in the community.
3b. Percent decrease in unplanned pregnancies in the community.
3c. Decrease in rate of substance use in the community (e.g. cigarettes, prescription drugs, narcotics, alcohol).
3d. Percent decrease in domestic violence occurrences in the community.
3e. Percent decrease in child and elder abuse and neglect cases in the community.

4. Public Safety.
4a. Decrease in recidivism rate in the community.
4b. Decrease in non-violent crime rate.
4c. Decrease in violent crime rate.
4d. Reduced rates of environmental threats to households (toxic soil, radon, lead paint, air quality, quality of drinking water, etc.).
4e. Creation and/or enhancement of emergency management plans (earthquake, hurricane, tornado proofing, flood measures, other strategies against natural disasters).
4f. Percent decrease in teens involved with the juvenile court system.

Services Support Services

Individual and Family

Support Services
Case Management
Case Management
Eligibility Determinations
Eligibility Determinations
Referrals
Referrals
Transportation Services
Transportation Services (includes emergency services)
Childcare
Child Care subsidies
Child Care payments
Eldercare
Day Centers
Identification Documents
Birth Certificate Assistance
Social Security Card Assistance
Driver's License Assistance
Re-Entry Services
Criminal Record Expungements
Immigration Support Services
Immigration Support Services (relocation, food, clothing)
Legal Assistance (includes emergency legal assistance)

Legal Assistance Interventions (Restraining orders, eviction or mortgage deferment)
Emergency Clothing Assistance
Emergency Clothing Assistance
Mediation/Customer Advocacy Interventions
Mediation/Customer Advocacy Interventions

Services Civic Engagement and Community Involvement

Individual

Civic Engagement and Community Involvement Services
Voter Education and Access
Voter Education and Access
Leadership Training
Leadership Training
Tri-partite Board Membership
Tri-partite Board Membership
Citizenship Classes
Citizenship Classes
Getting Ahead Classes
Getting Ahead Classes

Community

Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.
1. The number of people who donate time to support Community Action efforts.
2. The number of people who donate resources to support Community Action efforts.
3. The number of people who participate in public hearings, policy forums, or other advisory boards related to Community Action efforts.

Goal 3: People with low incomes are engaged and active in building opportunities in communities
1. The number of people with low incomes who participate with Community Action to improve the delivery of service and/or conditions in the community.
2. The number of people with low incomes who acquire and maintain leadership roles with community action or other organizations within the community.

PROGRAMS OF COMMUNITY SERVICES

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. Also, UPO will serve customers at the individual and community levels with employment services, education services, asset building, housing services, income management services, health services and civic engagement.

Among the strategies that UPO will adopt are the following:

- Addressing truancy and disconnectedness for high school students
- College and Career readiness for older youth
- Communities of Practice
- Community partnerships
- Comprehensive services for the residents of the Washington Highlands Community
- Evening retention workshops dubbed “Don’t Get Fired”
- Family Strengthening
- Home visits (for no shows and non-compliant customers)
- Increased use of social media to engage customers
- Intensive monitoring and evaluation of programs
- Intensive retention and follow-up
- Interdepartmental collaboration for customer outcomes
- Job Search Development
- Life Skills Training
- Parenting education and counseling
- Professional Development
- Program ingenuity
- Restorative justice program for youth ages 12-18
- STEM Programming
- Wellness
- Work Readiness Skill Training
- Wraparound Case Management
- Year round youth engagement

UPO will also work with a total of eight community services organizations located in the District of Columbia. Seven of these organizations will serve as CSBG sub grantees whose primary focus will be on vocational skills training and on job placements as well as job retention. One of the

eight sub grantees will focus on senior services for DC residents. UPO will continue to focus on long-term training in high-demand occupations. In 2017 UPO will continue to revamp 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 2009-2019 are:

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

The UPO Service Delivery Network is a comprehensive network, both in its array of programs offered and its coverage within and across the neighborhoods in which our client populations reside. During fiscal periods 2015-2016, UPO was extremely focused on Employment efforts in the Metropolitan area to combat the high unemployment statistics that have plagued local residents.

In 2017 and 2018, the eligible entity and its citywide CSBG supported service network will provide an increased focus on training and employment. This will be addressed through a myriad of UPO-operated programs along with a number of subcontracted agencies operating in areas where the highest numbers of unemployed persons reside. The Workforce Development division is committed to assisting the underemployed and unemployed with Job Readiness training that prepares individuals for in-demand careers in today's highly competitive workplace. Customers will receive on the job training (OJT) and work-based learning opportunities, while strengthening industry and employer connections to ensure that training programs directly align with the skills and credential needed to secure employment.

Further, the Workforce Development division utilizes workforce development strategies derived from the "**Five Workplace Competencies**" developed by the Secretary of Labor's Commission on Achieving Necessary Skills (SCANS). **SCANS** core competencies are integrated into the framework of the program's job readiness/Life Skills curriculums. Therefore ensuring these essential skills are taught to individuals enabling them to develop those high performance abilities needed to succeed in the high performance workplace in the District of Columbia.

The Competencies are as follows:

6. Resources: Identifies, organizes, plans, and allocates resources
7. Interpersonal: Works with others
8. Information: Acquires and uses Information
9. Systems: Understands complex inter-relationships
10. Technology: Works with a variety of technologies

Attachment 8 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

Attachment 9 Expected Outcomes

EXPECTED PERFORMANCE

The following table provides projected performance in terms of the number of customers expected to achieve a particular measure under one or more of the three National CSBG Goals and the associated National Performance Indicators (NPI).

GOAL 1:

Goal 1: Individuals and Families with low incomes are stable and achieve economic security.		
Employment Services	Unduplicated Number of Individuals Served	
Skills Training	FY 2017	FY 2018
Vocational Training Classes	720	720
On-the-Job Skills Training Sessions	60	60
Self-Employment Skills Training Sessions	6	6
Soft-skills Training Classes (Communication, Problem-solving, Teamwork, etc.)	540	540

Dress-for-Success Classes	120	120
Career Counseling	FY 2017	FY 2018
Workshops	540	540
Coaching Sessions	120	120
Transitional Employment Placements	300	300
Job Search	FY 2017	FY 2018
Resume Development Sessions	540	540
Interview Skills Training Sessions	540	540
Job Referrals	1200	1200
Job Placements	900	900
Employment Supplies	FY 2017	FY 2018
Employment Supplies	240	240

Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.		
Education Service	Unduplicated Number of Individuals Served	
Child/Young Adult Education Programs	FY 2017	FY 2018
Early Head Start Program Sessions	475	475
Other Early-Childhood (0-5 yr. old) Education Program Sessions	225	225
Head Start Program Sessions	700	700
K-12 Education Program Sessions	4800	4800
0-5 Literacy Classes	50	50
K-12 Literacy Classes	36	36
College-Readiness Classes	24	24
School Supplies	FY 2017	FY 2018
School Supplies	720	720
Extra-curricular School Programs	FY 2017	FY 2018
Before and After School Activities		
Summer Youth Recreational Activities	96	96
Summer Education Programs	96	96
Dress-for-Success Classes	24	24

Adult Education Programs	FY 2017	FY 2018
GED Classes	12	12
Post-Secondary Education Supports (College applications, text books, computers, etc.)	24	24
Leadership Training Sessions	20	20
Financial Aid Assistance	FY 2017	FY 2018
Scholarships	12	12
Home Visits	FY 2017	FY 2018
Home Visits	60	60

Goal 1: Individuals and Families with low-incomes are stable and achieve economic security.		
Income and Asset Building Services	Unduplicated Number of Individuals Served	
Training and Counseling Services	FY 2017	FY 2018
Financial Capability Skills Training	60	60
Financial Coaching/Counseling Sessions	60	60
Budgeting Classes	300	300
Credit Counseling Sessions	24	24
First-time Homebuyer Counseling Sessions/Classes	6	6
Foreclosure Prevention Counseling Sessions/Classes	6	6
Benefit Coordination and Advocacy	FY 2017	FY 2018
SNAP Benefits	18000	18000
Asset Building	FY 2017	FY 2018
Saving Accounts	48	48
IDAs	6	6
VITA, EITC, or Other Tax Preparations	600	600

Goal 1: Individuals and Families with low incomes are stable and achieve economic security.		
Civic Engagement and Community Involvement Services	Unduplicated Number of Individuals Served	
	FY 2017	FY 2018
Voter Education and Access		
Voter Education and Access	300	24
Leadership Training	FY 2017	FY 2018
Leadership Training	60	60
Tri-partite Board Membership	FY 2017	FY 2018
Tri-partite Board Membership	21	21

Goal 1: Individuals and Families with low incomes are stable and achieve economic security.		
Housing Services	Unduplicated Number of Individuals Served	
	FY 2017	FY 2018
Housing Payment Assistance		
Financial Capability Skill Training	60	60
Financial Coaching/Counseling Sessions	60	60
Rent Payments (includes Emergency Rent Payments)	72	72
Eviction Prevention Services	FY 2017	FY 2018
Eviction Counseling Sessions	36	36
Landlord/Tenant Mediations	300	300
Landlord/Tenant Rights Education Sessions	120	120
Housing Placement/Rapid Re-housing	FY 2017	FY 2018
Transitional Housing Placements	6	6
Permanent Housing Placement	12	12
Rental Counseling Sessions	48	48
Housing Maintenance &	FY 2017	FY 2018

Improvements		
Weatherization Services	60	60

Goal 1: Individuals and Families with low incomes are stable and achieve economic security.		
Health and Social/Behavioral Development Services	Unduplicated Number of Individuals Served	
Health Services, Screening and Assessments	FY 2017	FY 2018
Immunizations	720	720
Developments Delay Screening	72	72
Maternal/Child Health	360	360
Reproductive Health Services	FY 2017	FY 2018
Health Insurance Options Counseling	24	24
Wellness Education	FY 2017	FY 2018
Wellness Classes (stress reduction, medication management, mindfulness, etc.)	180	80
Exercise/Fitness Classes	60	60
Mental/Behavioral Health	FY 2017	FY 2018
Detoxification Sessions	360	360
Substance Abuse Screenings	420	420
Substance Abuse Counseling Sessions	360	360
Support Groups	FY 2017	FY 2018
Substance Abuse Support Group Meetings	360	360
Dental Services, Screenings and Exams	FY 2017	FY 2018
Child Dental Screenings/Exams	600	600
Child Dental Services (includes Emergency Dental Procedures)	600	600
Nutrition and Food/Meals	FY 2017	FY 2018
Classes (Gardening, Cooking, Nutrition)	300	300
Prepared Meals	300	300

Food Distribution (food bags/boxes, Food Share Program, Bags of Groceries)	360	360
Family Skills Development Programs	FY 2017	FY 2018
Family Mentoring Sessions	72	72
Life Skills Coaching Sessions	36	36
Parenting Classes	36	36
Emergency Hygiene Assistance	FY 2017	FY 2018
Kits/boxes	1200	1200
Facilities such as showers, toilets, sinks	0	0

Goal 1: Individuals and Families with low incomes are stable and achieve economic security.		
Support Services	Unduplicated Number of Individuals Served	
Case Management	FY 2017	FY 2018
Case Management	1200	1200
Eligibility Determinations	FY 2017	FY 2018
Eligibility Determinations	36000	36000
Referrals	FY 2017	FY 2018
Referrals	3600	3600
Transportation Services	FY 2017	FY 2018
Transportation Services (includes emergency services)	6000	6000
Eldercare	FY 2017	FY 2018
Day Centers	300	300
Identification Documents	FY 2017	FY 2018
Birth Certificate Assistance	360	360
Social Security Card Assistance	120	120
Driver's License Assistance	480	480
Re-Entry Services	FY 2017	FY 2018
Criminal Record Expungements	36	36
Emergency Clothing Assistance	FY	FY

	2017	2018
Emergency Clothing Assistance	360	360
Mediation/Customer Advocacy Interventions	FY 2017	FY 2018
Mediation/Customer Advocacy Interventions	48	48

GOAL 2:

Agency Level Data Entry for Employment Community Outcomes Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.				
Employment - MAINTENANCE	I.) Target Community (Specify city, county, etc.)	II.) Baseline (existing starting point used for comparisons) (#)	III.) Target (#)	IV.) Expected % change from baseline (Target) (% auto calculated)
3. The number of jobs maintained for people with low incomes.	Washington Highlands	60	24	40%
4. The number of "living wage" jobs maintained in the community.	Washington Highlands	60	12	20%

Agency Level Data Entry for Employment Community Outcomes Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.				
Housing	I.) Target Community (Specify city, county, etc.)	II.) Baseline (existing starting point used for comparisons.) (#)	III.) Target (#)	IV.) Expected % change from baseline (Target) (% auto calculated)
2. The number of safe and affordable housing units maintained.	Washington Highlands	180	24	13.3%

GOAL 3:

Agency Level Data Entry for Civic Engagement and Community Involvement Community Outcomes Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.		
Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity.	I.) Target Community (Specify city, county, etc.)	II.) Number of people
1. The number of people who donate time to support Community Action efforts.	Washington Highlands	24
2. The number of people who donate resources to support Community Action efforts.	Washington Highlands	6
3. The number of people who participate in public hearings, policy forums, or other advisory boards related to Community Action efforts.	Washington Highlands	6

Goal 3: People with low incomes are engaged and active in building opportunities in communities	I.) Target Community (Specify city, county, etc.)	II.) Number of People
1. The number of people with low incomes who participate with Community Action to improve the delivery of service and/or conditions in the community.	Washington Highlands	12
2. The number of people with low incomes who acquire and maintain leadership roles with community action or other organizations within the community.	Washington Highlands	3

Unduplicated Number of Customers To Be Served Per Year		
Service Providers/Programs	FY 2017	FY 2018
Competitive Award	4,800	4,800
Building Careers Academy	600	600
Community Reinvestment Program	600	600
Foster Grand Parents	4,800	4,800
Advocacy Division	600	600
Adult Education & Training Division	2,400	2,400
Workforce Development Division	1,200	1,200
Youth Services Division	1,200	1,200
Community Health Division	18,000	18,000
Office of Early Learning	1,500	1,500
TOTAL NUMBER OF CUSTOMERS TO BE SERVED	35,700	35,700