



STATE OF NEW YORK
DEPARTMENT OF STATE

David A. Paterson, Governor

Lorraine A. Cortés-Vázquez, Secretary of State

**Dolores Franco, Esq., Director
Division of Community Services**

September, 2009

Community Services Block Grant

Management Plan

Federal Fiscal Year 2010

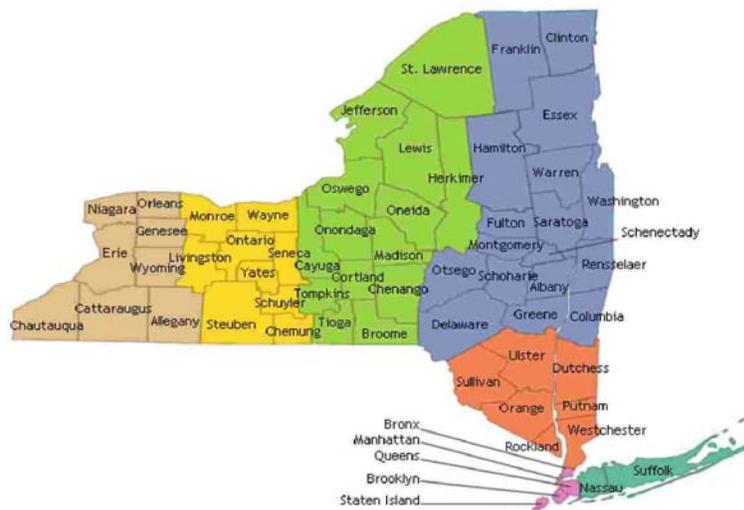


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Letter of Transmittal and Designation

September 1, 2009

Dr. Yolanda Butler, Acting Director
Office of Community Services
Administration for Children and Families
US Department of Health and Human Services
370 L'Enfant Promenade, SW
Washington, DC 20447

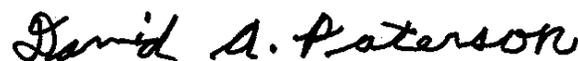
Dear Dr. Butler:

In accordance with the federal Community Services Block Act (42 U.S.C. §9901 et seq.), as amended, the State of New York desires to receive a grant under §675B to support activities designed to assist low-income individuals and families in rural and urban areas to become fully self-sufficient. The Department of State is hereby designated as the lead agency for the administration of the Community Services Block Grant (CSBG) and related programs.

The Department of State is responsible for developing and implementing the CSBG Management Plan and application to the Office of Community Services in accordance with IM 114; is responsible for providing the public an opportunity to review the Plan; and, is responsible for conducting a public hearing to receive comments and personal testimony. The Department will also conduct reviews of each eligible entity receiving CSBG funds and will submit an annual report documenting the results of the use of CSBG funds. The annual report will be submitted to the US Department of Health and Human Services, Office of Community Services by March 31 each year as required by statute.

This Management Plan for federal fiscal year 2010 contains detailed information on the distribution and use of CSBG funds as well as the federal certifications regarding Debarment and Suspension, Lobbying, Drug-Free Workplace and Environmental Tobacco Smoke.

Sincerely,



David A. Paterson

Executive Summary

CSBG State Legislation

New York State Executive Law, *Article 6-D*, outlines the New York State statutory authority for the Community Services Block Grant (CSBG) program. In part, *Article 6-D* authorizes the Secretary of State (or his/her duly authorized officer or employees) the following functions, powers, and duties:

- *To act as the official agent of the state for the purpose of administering, carrying out and otherwise cooperating with the federal government in connection with the federal CSBG Act of 1981, as amended;*
- *To allocate federal CSBG funds pursuant to contracts with recipients of such funds in the manner required by federal law and regulation;*
- *To assist the governor in applying for the state's allocation under the federal CSBG Act, including the fulfillment of any planning requirements; ... and,*
- *To monitor and evaluate the use of funds received by the state pursuant to the federal CSBG Act.*

The full text of the New York State law is contained in Appendix B.

Related New York State Law

In addition to New York State Executive Law, *Article 6-D*, the **CSBG Advisory Council** was created to fulfill the mandate of *Chapter 884 of the New York State Laws of 1982*. The Council includes representation from local government, private nonprofit providers, and the public. Half of the members are appointed by the Governor, one quarter by the President pro-tempore of the Senate, and one quarter by the Speaker of the Assembly. *Part 701 of Title 19* of the New York Code of Rules and Regulations (NYCRR) recognizes the existing CSBG Advisory Council in the Department of State, establishes the number of members of the Council, as a number certain of twenty, and states the percentage of appointments by each official, as described above.

Duties of the Council delineated in *Part 701* include the following:

- (a) to assist low-income persons overcome the barriers of poverty. This may include providing services to individuals or performing activities intended to achieve institutional change;
- (b) to consult with the Secretary of State in the preparation of reports, and development of applications and the CSBG plan;
- (c) to advise the Secretary of State on strategies and activities to achieve these goals by either responding to actions proposed by the Secretary or suggesting new initiatives to the Secretary; and
- (d) to adopt and amend bylaws necessary to address the appointment and terms of Council officers and their duties, meetings of the Council, attendance by members, and other matters incidental to the Council's duties and proper function.

Appendix C lists the members and representatives of the CSBG Advisory Council (current as of July 2009). Appointments officers in the governor's office and the legislature are working on filling vacancies.

Designation of Lead State Agency

§676(a)

The Governor of the State of New York and the New York State Legislature, in accordance with federal statute, designated the New York State Department of State (DOS) as lead agency for administration of the Community Services Block Grant (CSBG) program. Within DOS, the Division of Community Services (DCS) is responsible for daily operation and routine administrative functioning of the CSBG program and for ensuring that the statutory requirements of the CSBG Act, as delineated in this Plan, are carried out. Fiscal controls, fund accounting, audit and fiscal monitoring are the responsibility of the Contract Administration Unit (CAU) within the DOS Bureau of Fiscal Management.

In accordance with federal statute and applicable administrative guidance and directives, DOS will be responsible for the development and implementation of the CSBG Management Plan and application to the Office of Community Services in accordance with IM 114 and for providing the public an opportunity to review and comment on the draft Plan. The Department will also conduct reviews of each eligible entity receiving CSBG funds and will submit an annual report documenting the results of the use of CSBG funds. The annual report will be submitted to the US Department of Health and Human Services, Office of Community Services (USDHHS-OCS) by March 31.

Public Hearing Requirements

Public Hearing

§676(a)(2)(B)

DOS/DCS provided written notification to community action agencies (CAAs) and other appropriate entities announcing its intention to hold a public hearing on the FFY 2010 CSBG State Plan. Notification of the hearing date, time and location was posted on the DOS website and published in the New York State Register. Additionally, the notice was sent by email to all existing grantees, advisory council members, and to other individuals upon request.

DOS/DCS convened the public hearing with the Secretary of State presiding on Thursday, July 30, 2009, 10:00 a.m., at One Commerce Plaza, Conference Room 505, Albany, New York, with videoconference to New York City at 123 William Street. Written comments were accepted until August 10, 2009. Testimony and written comments were considered in development of the final Plan. In all, 13 witnesses testified, representing several CAAs, the statewide CAA Association, members of the public, and recipients of services. Witnesses focused on CSBG funding levels, funding to specific organizations, such as the statewide family development association and the community action angels, the flexibility of CSBG funding, and the impact of CSBG funds on families and individuals across the state. Comments from 8 additional organizations were received by the close of the comment period. Appendix A contains a summary of the comments.

Legislative Hearing

§676(a)(3)

A Legislative Public hearing was last held on June 5, 2007, chaired by the New York State Standing Committee on Social Services, the Senate Standing Committee on Social Services, Children and Families, the Assembly and Senate Standing Committee on Ways and Means, the Assembly Standing Committee on Governmental Operations. The next required legislative hearing will be held in 2010 for FFY 2011.

Public Inspection of State Plan

§676(e)(2)

A draft Plan was prepared and distributed for comments to the community services network and made available to the public. The draft Plan was available for public inspection in July 2009, published on the DOS website, and distributed to the community action network, consisting of: CAAs, community based organizations (CBOs), Indian Tribes and Tribal Organizations, the migrant and seasonal farmworker organization, and the state community action association. DOS encouraged public participation in development of services and activities covered by this Plan, including the opportunity to review, and/or submit written comments.

Statement of Federal and CSBG Assurances

As part of the annual or bi-annual application and plan required by §676 of the CSBG Act, as amended, 42 U.S.C. 9908, the New York State Department of State, Division of Community Services (NYS DOS/DCS) **hereby agrees to** the Assurances in §676 of the Act, as follows:

Programmatic Assurances

- (1) Funds made available through the 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
 - (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 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 after-school child care programs; and
 - (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). (§676(b)(1))
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in §675C(b) of the Act in accordance with the CSBG program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the CSBG program; (§676(b)(2))
- (3) To provide information provided by eligible entities in the State, including:
 - (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under §675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations;
 - (c) a description of how funds made available through grants made under §675(a) will be coordinated with other public and private resources; and
 - (d) a description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. (§676(b)(3))

- (4) To ensure 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. (§676(b)(4))
- (5) That the State and the 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 to low-income individuals to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. (§676(b)(5))
- (6) To 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 communities. (§676(b)(6))
- (7) To permit and cooperate with Federal investigations undertaken in accordance with §678D of the Act. (§676(b)(7))
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under the CSBG program 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 §678C(b) of the Act. (§676(b)(8))
- (9) 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. (§676(b)(9))
- (10) To 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. (§676(b)(10))
- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, 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. (§676(b)(11))
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to §678E(b) of the Act. (§676(b)(12))
- (13) To provide information describing how the State will carry out these assurances. (§676(b)(13))

Administrative Assurances

The State **further agrees** to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the CSBG program prepared in accordance with and containing the information described in §676 of the Act. (§675A(b))
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under §675A or §675B of the Act to make grants to eligible entities for the stated purposes of the CSBG program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. (§675C(a)(1) and (2))
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under §675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the CSBG program. (§675C(a)(3))
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under §675A or the State allotment received under §675B for administrative expenses, including monitoring activities. (§675C(b)(2))

- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in §675C(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. (§675C(c))
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under §675A or §675B for the period covered by the State Plan. (§676(a)(2)(B))
- (7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State CSBG program activities. (§676(a)(1))
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State Plan. (§676(a)(3))
- (9) To make available for the public inspection each plan or revised State Plan in such a manner as will facilitate review of and comment on the plan. (§676(e)(2))
- (10) To conduct the following reviews of eligible entities:
 - (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the state;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other federal, state or local grants (other than assistance provided under the Community Services Block Grant program) terminated for cause. (§678B(a))
- (11) In the event that the state determines that an eligible entity fails to comply with the terms of an agreement or the state plan, to provide services under the CSBG Program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in §678C of the Act, to:
 - (a) Inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. (§678(c)(a))
- (12) To establish fiscal controls, procedures, audits and inspections, as required under §678D(a)(1) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the CSBG grant program. (§678D(a)(3))
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. (§678E(a)(1))
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under §678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of CSBG funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in §678F(a) of the Act.

- (17) To ensure that programs assisted by CSBG funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. (§678F(b))
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with CSBG program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in §504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. (§678F(c))
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the CSBG program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the CSBG program. (§679)

Other Administrative Certifications

The State **also certifies** the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of CSBG program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all subgrantees shall certify accordingly.



Signature Judith E. Kenny

DOS Director of Administration
and Management

Administrator/Director of Designated Lead Agency

8/20/09
Date

Narrative State Plan

Administrative Structure

State Administrative Agency

The Office of the Secretary of State was established in 1778, making it the oldest agency in New York State government. DOS defends public safety, protects and develops a sustainable environment, strengthens local communities, and serves the business community. Known as the *Keeper of Records* for more than two centuries, DOS continues its historic responsibilities, as well as overseeing a wide range of additional functions and evolving programs. DOS is the publisher of record of the New York State Register, is responsible for licensing professionals from realtors to private investigators, and is home to the NYS Office of Fire Prevention and Control, reaching out to New York State firefighters and enforcing the building code through the Division of Codes. In partnership with local governments, DOS also assists New Yorkers with programs and policies affecting their communities. DCS is part of the Office of Coastal, Local Government, and Community Sustainability. This office is designed to enhance services to localities: not-for-profits and municipalities, for example, that serve the same communities. As part of this Office, DCS represents 'people-oriented' programs, reaching out through community action *to help people and change lives*. The DOS website (www.dos.state.ny.us) contains information pertaining to all agency divisions and responsibilities.

Division of Community Services

Within DOS, the Secretary of State has charged DCS with the responsibility of daily operation and routine administrative functions of the CSBG program. DOS/DCS establishes goals and objectives which provide program evaluation, monitoring and oversight, and ensures compliance with federal and state statutes, laws, policies, and procedures. DOS/DCS is the primary liaison with grantees, monitoring the program as well as providing training and technical assistance in areas such as governance, management, service delivery, and program operation.

Mission ... to work in partnership with the community services network and with federal, state, and local governments and community-based organizations to effectively carry out the purposes, goals, and assurances of the Community Services Block Grant.

Vision... to be a highly organized workforce and an active member of the national community services network dedicated to promoting self-sufficiency and vibrant, healthy communities for low-income people.

Goal: Programs will be administered in accordance with the CSBG statutory purposes and goals stated below, and in compliance with all other applicable statutes, rules, regulations, policies and procedures set forth by federal and state government.

Objective 1: Funds will be distributed in a timely manner and in accordance with applicable federal and state statutes.

Objective 2: The CSBG Management Plan will be prepared in partnership with grantees, will be distributed for public review and comments, and will be submitted to DHHS by September 1.

Objective 3: A comprehensive review of each eligible entity will be conducted in accordance with *42 U.S.C. 9901, et seq., §678B, as amended*. Priority assistance will be given to grantees designated as *vulnerable* or *at-risk*.

Objective 4: CSBG will be administered in coordination with governmental and other social services programs to assure effective delivery of services and to avoid duplication.

Objective 5: A comprehensive report will be prepared documenting the use and outcomes of CSBG funds and will be submitted to DHHS, the Governor, and the New York State Legislature annually as prescribed by federal and state statute.

Professional development opportunities will be provided for DOS program and fiscal staff to increase their capacity to provide oversight and technical assistance to grantees, particularly in systems involving service delivery, administration and management, board and governance, and finances. State administrative funds will be allocated for staff to attend statewide and national conferences, as well as to offer in-house training. Use of funds for this initiative is meant to improve accountability at the state level, identify grantee deficiencies, and enable more effective provision by DOS staff for technical support and assistance needed by grantees.

In addition to internal staff development, DOS/DCS will increase efforts at the state and national levels to expand access to a variety of professional development opportunities for grantee board and staff members. Working with the New York State Community Action Association (NYSCAA), DOS/DCS will explore regional and local training for grantee boards of directors and increased collaboration with other agencies/organizations dedicated to moving people out of poverty.

Eligible Entities

CSBG services are carried out through a network of 56 CSBG grantees, consisting of community action agencies (CAAs), community action programs (CAPs), public organizations, the statewide migrant and seasonal farmworker organization, Indian Tribes and Tribal organizations, and faith-based and other community-based organizations which were first established in 1965 and continued when CSBG was created in 1981. These agencies provide a range of services to meet the needs of low-income New Yorkers in all 62 counties. CSBG services and activities have reduced poverty, revitalized low-income communities, and empowered low-income individuals and families in rural and urban areas to become economically self-sufficient and self-reliant. Services are determined through local assessments of customers, the community, and the grantee to determine needs to be addressed and resources available.

Distribution and Allocation of Funds

Planned Distribution of Funds for FFY 2010

The distribution of funds is based on anticipation that the funding level for the program will remain at the 2009 level. Adjustments will be made as necessary.

Categories	Percentage	Amount
Eligible Entities	90%	\$ 54,353,294
State Administration	5	\$3,019,627
Remainder Funds: (5%)		
Indian Tribes and Tribal Organizations	.5	301,960
Special Projects	1	617,667
Discretionary Funds (Targeted Projects)	3.5	2,100,000
TOTAL FUNDS FOR 2010 (ANTICIPATED)	100%	\$60,392,548

Allocation of Funds to Grantees

The following chart provides a list of eligible entities, the geographical areas served, and the amount of funding proposed for FFY 2010.

Eligible Entity (Grantee)	County/ Service Area	Proposed FFY 2010 Allocation
Albany County Opportunity, Inc.	Albany	249,607
Allegany County Community Opportunities and Rural Development, Inc.	Allegany	224,316
Opportunities for Broome, Inc.	Broome	337,827
Cattaraugus Community Action, Inc.	Cattaraugus	228,872
Cayuga/Seneca Community Action Agency, Inc.	Cayuga/Seneca	397,108
Chautauqua Opportunities, Inc.	Chautauqua	228,872
Economic Opportunity Program, Inc. of Chemung County	Chemung	397,108
Opportunities for Chenango, Inc.	Chenango	228,872
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton/Franklin	265,170
Columbia Opportunities, Inc.	Columbia	228,872
Cortland County Community Action Program, Inc.	Cortland	228,872
Delaware Opportunities, Inc.	Delaware	228,872
Dutchess County Community Action Agency, Inc.	Dutchess	436,438
Community Action Organization of Erie County, Inc.	Erie	1,982,962
Adirondack Community Action Programs, Inc.	Essex	228,872
ComLinks, Inc.	Franklin	228,872
Fulmont Community Action Agency, Inc.	Fulton/Montgomery	344,144
Community Action of Greene County, Inc.	Greene	228,872
Community Action Planning Council of Jefferson County, Inc.	Jefferson	228,872
Lewis County Opportunities, Inc.	Lewis	228,872
Livingston County Planning Department	Livingston	224,316
Community Action Program for Madison County, Inc.	Madison	224,316
Action For A Better Community, Inc	Ontario/Monroe	1,684,130
Economic Opportunity Commission of Nassau County, Inc.	Nassau	2,226,894
New York City Department of Youth and Community Development	NYC-5 Boroughs	31,938,120
Niagara Community Action Program, Inc.	Niagara	332,638
Mohawk Valley Community Action Agency, Inc.	Oneida/Herkimer	625,980
People's Equal Action and Community Effort, Inc.	Onondaga	1,484,762
Newburgh Community Action Committee, Inc.	Eastern Orange	228,872
Regional Economic Community Action Program, Inc.	Western Orange	296,326
Community Action of Orleans and Genesee, Inc.	Orleans/Genesee	397,108
Oswego County Opportunities, Inc.	Oswego	224,316
Opportunities for Otsego, Inc.	Otsego	228,872
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer	228,872
The Community Action Program of Rockland County, Inc.	Rockland	228,872
St. Lawrence County Community Development Program, Inc.	St. Lawrence	228,872
Saratoga County Economic Opportunity Council, Inc.	Saratoga	228,872

Eligible Entity (Grantee)	County/ Service Area	Proposed FFY 2010 Allocation
Schenectady Community Action Program, Inc	Schenectady	228,872
Schoharie County Community Action Program Corp.	Schoharie	228,872
ProAction of Steuben and Yates, Inc.	Steuben/Yates	397,108
Economic Opportunity Council of Suffolk, Inc.	Suffolk	1,246,034
Community Action Commission to Help the Economy, Inc.	Sullivan	228,872
Tioga Opportunities Program, Inc.	Tioga	228,872
Tompkins Community Action, Inc.	Tompkins	228,872
Ulster County Community Action Committee, Inc.	Ulster	228,872
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren/Hamilton	344,144
Washington County Economic Opportunity Council, Inc.	Washington	228,872
Wayne County Action Program, Inc.	Wayne	228,872
Westchester Community Opportunity Program, Inc.	Putnam/Westchester	1,336,422
Yonkers Community Action Program, Inc.	Westchester (City of Yonkers)	452,004
Wyoming County Community Action, Inc.	Wyoming	224,316
PathStone Corporation (Migrant-Seasonal Farmworker Organization)	Statewide	337,880
TOTAL		\$54,353,294
Tribes and Tribal Organizations	Location	Proposed FFY 2010 Allocation
Mohawk Indian Housing Corporation	St. Lawrence	75,490
Poosepatuck Indian Nation	Suffolk	75,490
Seneca Nation of Indians	Cattaraugus	75,490
Shinnecock Indian Reservation	Suffolk	75,490
TOTAL		\$301,960

Description and Criteria and Distribution Formula

CSBG funds will be distributed in accordance with federal and state statutes. The proposed allocation chart is included in this Management Plan and will be posted on the DOS website. All eligible entities in good standing will receive the same proportion of funds received during the current year (FFY 2009).

Due to the uncertainty of the actual annual allocation, the amount of funds distributed to grantees will be based on the amount received in the year in which the plan was developed.

The state CSBG statute, *New York State Executive Law, Article 6-D*, requires CSBG funds to be distributed subsequent to contract. Upon receipt of notice of grant award confirming the annual allocation to New York State, contracts will be amended to reflect the actual allocation. State law also requires each recipient of funds to secure a 25% local share match.

Description and Distribution and Use of Restricted Funds

New York State will make available at least 90% of its annual allocation of CSBG funds to eligible entities. In New York State, eligible entities include CAAs and CAPs designated prior to 1981, agencies designated subsequent to 1987, and the organization serving migrant and seasonal farmworkers, in accordance with §676(b)(8) of the CSBG Act. Based on the provision contained in the American Recovery and Reinvestment Act of 2009 (ARRA), organizations will be able to serve customers whose income is up to 200% of the poverty guideline for FFY 2010.

While the vast majority of eligible entities are private not-for-profit organizations, two grantees are public agencies. In New York City, the Department of Youth and Community Development (DYCD) is the public agency that administers CSBG in all five boroughs (counties) of the city through 175 community-based organizations. A list of these agencies and the amount of funds received by each will be submitted to DOS/DCS. As the administering agency for CSBG in New York City, DYCD is required to meet the general grantee requirements as well as administrative requirements, which include development of a comprehensive management plan. Livingston County also administers CSBG through a public entity that delegates its service delivery to 12 local community and faith-based organizations throughout its service area.

In accordance with 42 U.S.C. 9901, et seq., §678E(a)(1)(B), all delegate agencies or subcontractors are required to participate in Results Oriented Management and Accountability (ROMA). Therefore, the reporting requirements of §678E are applicable to local agencies receiving CSBG funds through DYCD and Livingston, as well as other eligible entities that elect to delegate service delivery to local organizations. Contracts used for sub-allocating CSBG funds will be reviewed by DOS/DCS to ensure consistency with all federal statutory requirements including compliance with ROMA.

Contracting Process: The contract serves as the agreement between the grantee and the State of New York, and includes all applicable federal and state statutory requirements, as well as DOS/DCS policies and procedures. CSBG program operation corresponds with the federal fiscal year (October 1-September 30).

As required by the New York State Office of the State Comptroller (OSC), each contract submitted for approval by a state agency must include certification of vendor responsibility. CSBG grantees are required to complete the questionnaire at least once during the contract cycle.

The contract is reviewed by DOS/DCS and DOS Contract Administration Unit (CAU) prior to approval by the DOS Executive office. DOS-approved contracts are sent to the NYS Department of Law for approval and then to OSC for final approval. Once fully-executed contracts are returned to DOS/DCS, copies are sent to grantees. Upon full execution of contract documents and compliance with all reporting requirements, grantees are eligible to receive the first payment.

Payments to Grantees: Payments will be contingent upon availability of a federal appropriation and written notice from DHHS that funding for the year will be available. Upon receipt by the state of the Notice of Grant Award (NGA), budgets will be amended to reflect actual allocation. Funds awarded in a fiscal year will be available to grantees through the subsequent federal fiscal year.

Grantees are currently operating with a multi-year contract which runs through 2010. Grantees are required to submit budget and work plan amendments to reflect the actual allocation for each year.

Funds distributed as grants to eligible entities and that have not been expended by an entity may be carried over into the next fiscal year for expenditure by the entity for program purposes.

Carry-over funds are monitored through budget amendments and through final financial statements and audit reports. No funds carried over were recaptured or redistributed during the previous fiscal year. No funds are anticipated to be recaptured or redistributed during FFY 2010.

Description and Distribution and Use of Discretionary Funds

Remainder Funds:

- a. **Indian Tribes and Tribal Organizations:** Current New York State legislation requires an allocation of .50% for use by Indian Tribes and Tribal Organizations. The amount available will be distributed equally among the 4 funded tribes/tribal organizations.

- b. **Special Projects:** One percent of the unrestricted remainder funds will be used as follows:
 1. to NYSCAA for its administration and support of the community services network;
Statewide CAA Association (NYSCAA): DOS/DCS will continue to enhance the capacity of grantees through ongoing partnership with NYSCAA, its statewide CAA association. Funds will be awarded to NYSCAA to improve the management capacity of grantees, as well as for NYSCAA administration, grantee board development, operation and oversight of the Electronic Data Management (EDM) system, the Family Development Association of New York State (FDANYS), and Women in Government Mentoring program.
Electronic Data Management: DOS/DCS provides funding and support for the NYSCAA IT program. NYSCAA IT staff, in conjunction with DOS/DCS will maintain and explore opportunities to improve the web-based system which allows CSBG grantees to log onto a website and enter the data essential for filing their Annual Program Report. NYSCAA assists DOS/DCS in the creation of online forms used by DOS in the gathering of data related to CSBG/CSBG-IS Reporting. The NYSCAA website is accessible to all CSBG grantees.
Mentoring: DCS staff members in New York City coordinate the Women in Government Mentoring Program in partnership with the New York City Board of Education and the Clara Barton High School. High School students are provided with mentors and support to finish high school and enter college.

 2. to support the **Family Development Association of NYS (FDANYS)**. **FDANYS** was created as a statewide association to support Family Development Credentialed (FDC) professionals and to strengthen families and communities. FDANYS promotes the Family Development philosophy and excellence of family services personnel. FDANYS functions were previously funded through NYSCAA. DOS will provide funding directly to FDANYS, as a 501(c)(3) not-for-profit corporation, to carry out its mission.

 3. to support **Community Action Angels** Volunteer program;
Community Action Angels engages the community through volunteers and donations to provide services to the working poor and those who do not qualify for help through the normal service arena because their incomes fall just above the requirements or where services needed are not available. Community Action Angels are designated as 'first responder' whenever there is a crisis or emergency resulting from a disaster. The program is administered by Wyoming County Community Action Agency, Inc.

 4. **to provide specialized technical assistance** to grantees designated *vulnerable* or *at-risk* as a result of a comprehensive assessment or on-going monitoring activities:
Specialized training and technical assistance: DCS provides direction and support for local development and implementation of comprehensive, integrated services in accordance with the mission of CSBG and in compliance with applicable state and federal statutes and regulations. Available funds may be awarded to grantees or for use by grantees, in response to need, or to a designation of *vulnerable* or *at-risk*, following an agency-wide assessment, audit, or other local circumstance, and may include, but will not be limited to board-governance needs, fiscal crises, management and staffing training, and other intervention as warranted.

5. **to meet emergency needs** of low-income individuals, families and communities in the event of disaster; such aid may be provided as warranted.

c. Targeted Projects:

3.5% of the total state allocation will be awarded for targeted (discretionary) projects, as follows:

The Secretary of State has determined that the needs of the most disadvantaged New Yorkers would be best served by targeting a portion of CSBG funds to priority areas identified by the Governor's Economic Security Cabinet, including Early Childhood Development, At-Risk Youth, Healthy Families, and Workforce Development.

The goal of these discretionary projects will be to achieve greater and more targeted outcomes for our customers. To award these remainder funds, DOS/DCS will issue a Request for Applications (RFA) to solicit project proposals from community-based organizations (CBOs) across New York State. Proposals will be reviewed and scored based on criteria set forth in the RFA. Contracts will be awarded up to \$30,000 to successful applicants.

Outcomes achieved will be measured by the CSBG National Performance Indicators and will be reported at the end of the project period.

Unencumbered and Unallocated Funds: Any unencumbered and unallocated funds from the previous grant award may be used for disaster relief activities or special projects, as deemed necessary and appropriate by the Secretary of State.

Description and Use of Administrative Funds

§675(b)(2)

State Administrative Costs: Not more than 5% of FFY 2010 CSBG funds will be used by DOS for state administration of the CSBG program. Funds not expended in one fiscal year will be carried forward for use by the state in the subsequent year.

State Community Services Program Implementation

§676(b)(2)

Program Overview

CSBG Refunding Application: Grantees file a refunding application annually which serves as their formal request for funding for the upcoming fiscal year. The assigned program analyst signs off on this application after extensive review.

The application provides a profile of the agency, overview of annual budget, compliance with ROMA, and board membership and vacancies. Grantees submit information about their latest needs assessment, mission statement, and strategic plan. The refunding application also includes significant budgetary information and detail regarding expenditures for program as well as administration. A list of grantee board members and officers describes board composition and verifies appointment and selection. Grantees agree to a payment and reporting schedule, as well as fiscal and audit reporting requirements.

A needs assessment as required by §676(b)(11) results in a cohesive community action plan. All major programs, services, and activities provided by the grantee are described in the work program, developed based on the results of grantee community assessment and strategic plan. The work plan reflects the full range of services and activities needed to reduce poverty in each community. It includes a description of grantee partnerships with other local groups, associations, and organizations, as well as grantee linkages. This form also serves as a progress report.

Service Delivery System: All recipients of CSBG funds submit work plans and budgets detailing the programs, services, and activities to be conducted using CSBG funds. Work plans and budgets are approved by grantee boards of directors prior to submission to DOS/DCS. They are then reviewed and approved by DOS/DCS program and fiscal staff prior to submission as part of the CSBG contract. Program implementation will be monitored regularly.

Linkages: As part of the refunding application process, grantees provide information describing how linkages will be developed to fill identified gaps in services. During on-site monitoring, DOS/DCS staff will verify activities to support statements presented in grantee applications. The Annual Program Report (APR) will include narratives detailing grantee accomplishments.

Coordination with Other Public and Private Resources: DOS/DCS will collaborate with NYSCAA to provide training, information, and technical assistance to grantees. DOS/DCS will continue to work with all relevant New York State and local agencies to ensure coordination of services and to avoid duplication.

Innovative Community and Neighborhood-based Initiatives: As part of the application process, grantees provide information describing innovative community and neighborhood-based initiatives related to the purposes of CSBG, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. During on-site monitoring, DOS/DCS staff will verify activities to support statements presented in grantee applications. Innovative projects have included support for children and families involved with the judicial system, increasing the financial knowledge of low-income families, creating jobs in previously unserved areas and for underserved populations, and increasing educational opportunities for a variety of local population groups from children to the elderly. The Annual Program Report (APR) will include narratives detailing innovative accomplishments by grantees.

Community Needs Assessments

§676(b)(11)

The CSBG refunding application submitted by each grantee serves as the community action plan. Grantees are required to conduct or to update their community needs assessments. Information regarding the process and involvement of the board and citizens is submitted with the application. Refunding applications are available for inspection or for submission, as required. The community action plan is kept on file at DOS/DCS.

Tripartite Boards

§676B

Boards of all eligible entities, including public and private not-for profit organizations, are monitored for compliance with §676B of the CSBG Act. Board composition is reviewed annually. DOS/DCS staff attends grantee board meetings and review grantee board files to verify composition, appointments, and democratic selection of board members. Technical assistance on board functioning and board composition is available. The board of the statewide migrant and seasonal farmworker organization (PathStone Corporation) is constituted to ensure 51% customer representation; board members may also include tenants of the PathStone housing projects. All other boards meet the tripartite composition requirements.

State Charity Tax Program

§675C

There is no charity tax credit law in New York State. However, under NYS Executive Law Article 7-A, the Attorney General *has broad authority ... to regulate not-for-profit organizations and charitable trusts and to commence law enforcement investigations and legal actions to protect the public interest.* Most grantees are not-for-profit organizations; DOS/DCS tracks individual grantee charities registration status with New York State, as part of the grantee contractual obligation.

Implementation of Programmatic Assurances

§676(b)

Assurance §676(b)(1)

- (1) Funds made available through the 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
 - (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 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 after-school child care programs; and
 - (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

Programs, services, and activities to be conducted by grantees are specified below but are not limited to those programs listed. Grantees develop work plans based on the results of community needs assessment and strategic plan. The work plan describes the methods used to carry out activities needed to reduce poverty in each community.

Grantee Programs, Services, and Activities, by Program Category

Program Area: Employment/Employment Services
AmeriCorps (Interns and Volunteers)
Business Incubators
Computer/Computer Literacy Training
Dislocated Workers
Foster Grandparent Program
Jobs: Development, Banks, Clubs, Fairs, Placement, Readiness
Senior Aides/Senior Employment
Skills Training: Clerical, Cleaning, Culinary Arts, Early Childhood
Summer Employment/Summer Youth Programs
Transportation: Direct, Wheels to Work, Auto Loans
Vocational/Educational Services for the Disabled
Welfare to Work
YouthBuild
Program Area: Education/Educational Services
Adolescent Vocational Education (AVE)
Adult Basic Education
Adult Literacy/Literacy Volunteers
After-School Programming
Alternative Schools, Education (Youth, Teens, Parents)
Bi-Lingual Education
Dropout Prevention/Attendance Intervention
Early Head Start/Head Start
English as a Second Language
Even Start
Family Literacy/Volunteers
Family Development Credential
General Education Diploma (GED) Classes
Program Area: Income Management
Asset/Individual Development Accounts (IDA)
Budgeting Clubs/Economic Literacy Classes
Child/Family Health Plus (Statewide Health Insurance)
Consumer Cooperatives (Buying Clubs)
Consumer Loans
Credit Unions
Earned Income Tax Credit
Energy Packaging
Furniture Programs
Holiday Charities: Food, Toys, Gift Baskets
Home Appliance Efficiency Testing
Loan Funds
Meals Programs (Summer, Children, Schools)
Tax Assistance (Free Tax Preparation)
Tax Counseling for the Elderly/Volunteer Income
Thrift Stores/Shops
Wheels to Work (Vehicle Purchase-Loans; Vehicle Maintenance)
VITA grants

Program Area: Housing Services
Eviction Prevention
1 st Time Homebuyer Program
Home Repair Programs: Furnaces, Energy Conservation, Hazard Prevention
Homelessness Programs: Re-Housing, Single-Room Occupancy
Housing Assistance for Persons with AIDS
Housing Development and Management
Landlord-Tenant Programs: Dispute Mediation
Lead Paint Abatement
Rental Subsidies
Supportive Housing Programs: Runaways, AIDS, Elders
Transitional Housing
Weatherization Assistance
Program Area: Emergency Assistance and Services
Coats for Kids
Consumer Loan Programs
Crime Victims Assistance
Crisis Intervention
Domestic Violence Intervention: Residential and Non-residential
Emergency Aid Funds: Emergency Food, Clothing, Shelter
Homeless Shelters
Prescription Vouchers
Rape Crisis/Hotlines
Respite Programs for: Children, Seriously Ill, Elderly
Runaway/Homeless Youth Programs
Soup Kitchens
Program Area: Self-Sufficiency, Family Development- Case Management
Child Care: Learning Centers, Resource and Referral
Domestic Violence Intervention/Prevention
Family Resource/Support Centers
Family Self-Sufficiency Program (HUD)
Transportation Programs
Welfare to Work
Wheels to Work
Program Area: Self-Sufficiency -Health, Mental Health, Health Emergencies
Abstinence Programs
Abuse Prevention (Sexual) Children, Youth, Elders
Alcohol-Substance Abuse Prevention/Intervention
Child Health/Family Health Plus (Statewide Insurance)
Exercise Programs - Youth and Seniors
Family Planning Education
Health Screening Programs
Healthy Babies/Well Child Programs
Healthy Seniors
HIV/AIDS Supports, Services, Prevention Programs
Home Care
Managed Care
Rape Crisis/Intervention/Prevention
Tobacco Use Prevention

Program Area: Youth and Youth Services
Abstinence Programs
Adolescent Pregnancy Prevention/Centers
After - School Programs, Recreation
Anti-Bullying Programs
Big Brother/Sister/Buddy Mentoring Programs
Career Skills Development
College Scholarship Programs
Counseling for Pregnant/Parenting Teens
Fatherhood Programs
Group Homes for Teens, Parenting Teens
Intervention for Children/Family Court System
Juvenile Justice Coordination
Male Mentoring
Mediation with Courts, Probation Departments
Runaway Homeless Youth Programs; Safe Houses/Shelters
Summer Programs: School, Camp, Feeding Sites
Summer Youth Employment Program
Teen AIDS Prevention
Teen Leadership
Youth Councils
Youth Technology Programs
Youth Violence Prevention
YouthBuild
Youthful Offenders Programs

Assurance: Nutrition and Emergency Services §676(b)(4)

The direct provision of supplies and services, nutritious foods, and related activities will be implemented by grantees, as needed. CSBG grantees reported operation of 41 food pantries, 39 of which were supported by CSBG funds; 6 soup kitchens fed residents across the state. In response to the growing economic downturn, CSBG grantees expanded or increased the number of hours such pantries were open and available to serve New Yorkers.

In addition, DOS will award unencumbered/unallocated prior year funds to meet emergency needs resulting from disasters. Funds will also be used to support the efforts of the Community Action Angels Volunteer program to provide emergency assistance to families and to coordinate the community action response to disasters.

Program Area: Nutrition and Nutrition Services
Commodities Distribution
Community Gardens
Congregate Meals: Children, Adults, Seniors
Cooking Classes
Food Co-ops
Food Pantries
Gleaning
Home Delivered Meals
Nutrition Outreach and Education
School Feeding, Summer Feeding
Soup Kitchens
Women, Infants, and Children (WIC) Program

Assurance: Linkages/Workforce Investment §676(b)(5)

DOS/DCS will continue to collaborate with NYSCAA to provide training, information, and technical assistance to grantees. DOS/DCS will continue to work with all relevant New York State and local agencies to ensure coordination of services and to avoid duplication. DOS/DCS will collaborate with OCS, the Administration on Children and Families (ACF) Regional office, as well as the Head Start Bureau to enhance support and coordination of technical assistance to CAA and Head Start programs in development of effective governance structures and management systems to ensure accountability.

A statewide effort is also being made through the Stimulus Coordination Committee.

Assurance: Coordination §676(b)(6)

DOS/DCS will work with CSBG grantees which administer the low-income energy assistance program to ensure coordination of services. The DCS director is a member of the Weatherization Policy Advisory Council and the Low-Income Forum on Energy statewide steering committee and is directly involved in addressing energy assistance to low-income persons.

Assurance: Partnerships §676(b)(9)

DOS/DCS coordinates and works in partnership with a variety of other New York State agencies and programs in the administration of CSBG. These include, but are not limited to:

- ◆ Women in Government Mentoring Program
- ◆ NYS Department of Labor - Workforce Investment
- ◆ NYS Office of Children and Family Services
- ◆ NYS Council on Children and Families
- ◆ NYS Office of Temporary and Disability Assistance
- ◆ NYS Emergency Management Office
- ◆ NYS Weatherization Program/Policy Advisory Council
- ◆ NYS Low-Income Forum on Energy Steering Committee

In addition, in 2007, the Secretary of State was appointed to the Governor's Economic Security Cabinet. This Cabinet brings together over 20 New York State agencies that concentrate on the educational and employment needs of working families, including those families who are at-risk of falling through the safety net into poverty.

At the local level, grantees work in partnership with a variety of groups, organizations, and institutions. Many are represented on their boards of directors, including members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers.

Fiscal Controls and Monitoring

§678B(a)

State Program Monitoring

In accordance with §678B as amended, monitoring activities will be conducted to determine whether eligible entities meet performance goals, administrative standards, financial management, and other requirements set by the state. Monitoring is a comprehensive approach to reviewing, assessing, and evaluating with the goal of improving the quality of services provided by grantees to individuals, children, families, and communities. It is also proactive, result-oriented, and conducted to provide assistance to grantees to improve their capacity to achieve measurable results, and to meet the requirements of the CSBG contract, the Management Plan, and federal and state authorizing legislation.

Program and fiscal monitoring will be directed at fiscal and internal controls to safeguard the public and private funds administered by grantees. Increased emphasis will be placed on the provision of comprehensive and integrated services and activities aimed at achieving the goals of self-sufficiency, family stability, and community revitalization. In accordance with the ROMA performance measurement system approved by DHHS/OCS, New York State and grantees will continue to collect and report performance data to document effective administration of CSBG at state and local levels. Program and fiscal staff will continue to attend meetings of grantee boards of directors to observe and document board compliance with the CSBG statute.

Activities include:

- (a) a full on-site review of each such entity at least once during each three-year period;
- (b) an on-site review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the CSBG program;
- (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the state;
- (d) other reviews as appropriate, including reviews of entities with programs that have had other federal, state or local grants (other than assistance provided under the CSBG program) terminated for cause; and
- (e) the date of the last audit conducted and the period covered by the audit for each eligible entity are listed in Appendix E.

Monitoring is conducted by program and fiscal staff assigned to individual grantees. Staff assigned to conduct program and fiscal monitoring must possess and demonstrate adequate professional proficiency, including knowledge of:

- ◆ assigned agencies, programs, activities, functions, service areas, organizational structure, and board composition;
- ◆ applicable statutes, rules, regulations, policies and procedures governing programs and organizations; and,
- ◆ CSBG National Goals and National Performance Indicators and their applicability to assigned agencies.

Staff assigned to monitoring:

- ◆ Serve as representatives of the State of New York, Department of State and must actively participate in the administration of CSBG and related programs.
- ◆ Assist in implementation of goals and activities outlined in the most recent CSBG Management Plan.
- ◆ Provide comprehensive monitoring services to grantees in administration of programs funded by CSBG.

A document entitled *Program and Fiscal Monitoring Process and Guidelines* is posted on the DOS website and describes the specific roles and responsibilities entailed in monitoring the CSBG program by assigned program analysts.

Monitoring Outcomes

Program analysts and fiscal representatives will conduct annual program reviews to:

- ◆ Determine fiscal stability.
- ◆ Determine whether services and activities complement, duplicate, or overlap other related services and activities.
- ◆ Verify compliance with applicable laws, rules, regulations, policies, and procedures.
- ◆ Verify the process for measuring and reporting program progress and effectiveness.
- ◆ Verify information provided in written reports or interviews.

Program Certification: As a condition for each payment to a grantee, program analysts are required to complete the Grantee Services Contact Report (GSCR), certifying that substantial progress is being made toward achieving the results as stated in the approved work plan, and that the grantee is eligible to receive payment. Program certification can be accomplished through a combination of on-site visits, review of documents, and telephone interviews. A copy of the GSCR is shared with the grantee.

Fiscal Certification: As part of their payment requests, grantees are required to submit periodic financial reports which list expenditures of CSBG and local share funds by budget cost category. To be eligible for subsequent payment, the financial report must document a specific percentage of funds expended. Financial reports undergo both desk review and an on-site review and approval process by the fiscal representative.

Fiscal representatives conduct on-site visits for the primary purpose of monitoring expenditure and accountability of CSBG and local share funds. Monitoring includes a general review of the overall fiscal integrity of the grantee, as well as an in-depth review of selected fiscal activities. Samples of grantee expenditures are tested for compliance with the contract and with Generally Accepted Accounting Principles. Fiscal representatives review financial reports submitted to grantee boards of directors. Staff determines adequacy of systems and controls in place to safeguard CSBG funds and determine if these funds are being used according to the approved budget. In addition to on-site review, fiscal staff provides fiscal technical assistance, as well as review and approval of the annual audits of each CSBG grantee. As a condition of the contract, each recipient must comply with requirements of OMB Circular A-133.

Grantee Administrative Costs: The CSBG federal and state statutes do not set limits on the amount of CSBG funds grantees may use for administration. However, the federal statute requires the Secretary of HHS to provide a definition of direct and administrative costs for programs funded by CSBG. In compliance, HHS-OCS issued Information Memorandum #37, which provides flexibility in use of CSBG funds to support agency and program administrative costs. However, these costs must be necessary, reasonable, and in compliance with Office of Management and Budget Circulars A-122 and A-110. DOS will monitor the use of CSBG funds to ensure that the maximum amounts of funds are used to provide direct services and activities to low-income individuals, families, and communities. DOS will accept indirect cost rates approved by a cognizant agency and encourage grantees without indirect costs rates to establish an administrative cost allocation plan.

Grantee Comprehensive Assessment: In 2007, DOS/DCS developed the Grantee Comprehensive Assessment Protocol (GCAP) as an instrument to conduct the 3rd cycle in 3-year assessments required by statute (§678(B)(1)). The sequence of priority for conducting this round of assessments began with agencies then designated *at-risk or high-risk*. Next to be reviewed are agencies identified through program or fiscal monitoring as *vulnerable*. Agencies rated at *stable or thriving* will then be assessed. DOS/DCS will partner with NYSCAA to provide specialized training and technical assistance to address findings and deficiencies identified through the on-site assessments. Since the beginning of the GCAP process, assessments were carried out at 31 CSBG grantees. During FFY 2010, it is anticipated that 21 grantees will be assessed.

Corrective Action, Termination and Reduction of Funding §678C
DOS/DCS developed a process to identify and designate grantees as *at-risk* and which will alert grantees of any potential problems. DOS/DCS will work with any grantee so identified to develop a Quality Improvement Plan and will provide the resources and support necessary for correction. Should New York State determine that it has exhausted all reasonable efforts to correct the situation, or that the deficiency cannot be corrected within a reasonable period, the state will proceed with action as set forth below.

Interim Agency: New York State will carefully review the situation to determine the status of services which are solely funded by CSBG, and will determine the impact on the community if services were to be discontinued for an extended period. If necessary, New York State will identify an existing eligible entity to serve as an interim grantee to maintain services. The entity to be selected must be contiguous to, or located within, the service area and must be providing related services in the area. The entity must be in good standing and possess the capacity to undertake additional responsibilities.

Notification of Preliminary Funding Action: New York State will issue a preliminary notice of funding action. The grantee will be provided an opportunity for a hearing. A report will be provided to DHHS detailing reasons for the necessary funding action, and the actions taken to maintain critically needed services to low-income individuals and families.

During the process, the grantee will maintain its eligibility for CSBG funding. However, New York State will ensure compliance with 42 U.S.C. 9901, et seq., §678D, as amended, which requires New York State to establish fiscal controls and fund accounting procedures necessary to assure the proper disbursement of, and accounting for, federal funds.

If requested, a hearing will be conducted in accordance with regulations found in Title 19, NYCRR Part 700. If a hearing is not requested, New York State will proceed with termination.

Designation of a New Eligible Entity: The 62 counties in New York State are served by 52 eligible entities. Throughout New York State, some eligible entities provide overlapping services in neighboring counties. In most counties, one eligible entity is designated; in two counties, 2 eligible entities are designated in each county; 9 entities are designated to serve contiguous counties. In New York City, one entity serves the 5 boroughs. CSBG funds are used to support the variety of services provided by each eligible entity. Termination of CSBG funding to an entity may not result in the area being unserved by CSBG.

In the event that New York State should elect to designate or re-designate an entity, the following procedures will be implemented:

- ◆ Counties in which there are two eligible entities will not be considered unserved should CSBG funds to one entity be terminated. The remaining entity would be recognized as the designated entity and additional funds would be provided.
- ◆ In selecting an organization to serve an unserved area, priority will be given to an existing eligible entity providing related services to the area.
- ◆ To be considered as an eligible entity, the organization must be in good standing, must demonstrate effectiveness in meeting the goals and purposes of CSBG, and must have a tripartite board as required by 42 U.S.C. 9901, et seq., §676B, as amended.

Fiscal Controls, Audits, and Withholding §678D(a)(1) and §678D(a)(2); §676(b)
Fund accounting procedures are established by the New York State Office of the State Comptroller (OSC). Each grant award to the state is segregated into its various components in accordance with the federally approved CSBG Management Plan and program regulations. These funds are set up in appropriate sub-funds and cost centers to report expenditures for various purposes.

Grantees are eligible to receive advances on a quarterly basis. In order to receive payment, a grantee must provide a financial report documenting expenditure of funds at 20%, 40% and 60% expenditure levels. In order to receive 100% of its annual allocation, a grantee must document expenditure of at least 60% of current funds and 100% of prior year funds. Based on DOS/DCS written certification of compliance with all contract requirements, OSC authorizes the state treasury to draw down CSBG funds, and issues payments to grantees.

Grantees are required to develop cost allocation plans which must be submitted to DOS/DCS for review and acceptance. In addition, grantees must submit budgets detailing the proposed use of CSBG funds and required local share. Grantees are subject to the cost and accounting standards of applicable federal Office of Management and Budget (OMB) Circulars.

Auditing of Funds: All CSBG grantees must comply with the audit requirements, as stated in Appendix C of the contract, as follows:

Pursuant to the Single Audit Act Amendments of 1996 (PL 104-156), funds received and expended pursuant to this Agreement are subject to the Audit Requirements of OMB Circular A-133, as revised, *Audits of States, Local Governments, and Non-Profit Organizations*, as follows:

- (a) Non-Federal entities that expend \$500,000 or more in Federal Awards in a fiscal year shall have a single Audit conducted in accordance with OMB Circular A-133 for that year.
 - (i) If the Audit contains findings or reports on prior Audit findings related to the CSBG funds, the Contractor shall submit two (2) copies of the Reporting Package as set forth in A-133, Section 320(c) and any Management Letters issued by the auditor. Such Reporting Package must be submitted within nine (9) months following the end of the audited year or thirty (30) days following issuance by the auditor, whichever is earlier.
 - (ii) If the Audit does not contain any findings or reports on prior Audit findings related to the CSBG funds, the Contractor shall comply with the pass-through entity notification requirement of A-133, §320 (e)(2) by submitting one (1) copy of the Reporting Package cited in (a) (i) above in accordance with the terms herein.
- (b) Non-Federal entities that expend less than \$500,000 in Federal Awards in a fiscal year are exempt from Federal Audit requirements for that year, but records must be available for review or Audit by appropriate officials of the DHHS, General Accounting Office, and the State of New York.
 - (i) Whenever a Contractor determines that total Federal Award expenditures for a given fiscal year will be less than \$500,000 and an A-133 Audit is not required, the Contractor shall notify the Department's Contract Administration Unit, in writing, of this determination not later than sixty (60) days following the end of the affected fiscal year.
- (c) Contractor shall provide the Department with written notice of Audit entrance and exit conferences with its auditors at least fifteen (15) business days prior to the scheduled date of each conference. The Department reserves the right to attend and participate in these conferences.
- (d) Contractor shall be responsible for ensuring that the Audit reconciles with the Unaudited Financial Statements. Any discrepancies must be cited and explained in the Audit.

Monitoring requirements also specify obtaining the date of the last audit conducted and the period covered by the audit for each eligible entity.

In addition, DOS/DCS operation of the CSBG program is audited as a major program by an independent auditor in accordance with OMB Circular A-133, as amended. The most recent audit was conducted in 2009. The auditor's report is pending.

Limitations on Use of Funds: CSBG funds will not be used for purchase or improvement of land, or purchase, construction, or permanent improvement of any building or other facility (other than low-cost residential weatherization or other energy-related home repairs) unless a waiver is granted by DHHS. Grantees and state staff funded by CSBG were thoroughly briefed on the reinstatement of the Hatch Act and additional restrictions regarding political activities. Upon receipt of regulations from DHHS, additional instructions will be provided to grantees and state staff funded by CSBG.

Assurance: Federal Investigations §676(b)(7)

Full cooperation is assured in the event of an investigation. All requested documents, books, and records would be made available. Appropriate staff support would be provided.

Assurance: Regulations governing termination of funding for cause §676(b)(8)

The federal CSBG Act, 42 U.S.C. 9901, et seq., together with DHHS Block Grant regulations, 45 CFR Part 96, set forth the state's legal responsibilities. DOS/DCS developed and published regulations found in Title 19, NYCRR, Part 700, for a hearing procedure regarding termination of CSBG funding to an eligible entity. The CSBG contract identifies 4 areas of default of obligations as follows.

- . . . the Department (DOS) may terminate or suspend this Agreement . . . for default by the Contractor . . . Contractor shall be considered in default of its obligations under this Agreement if:
- 1) Contractor persistently disregards laws, rules, ordinances, regulations, or orders of any public authority having jurisdiction.
 - 2) Performance of the Work fails to substantially conform to the requirements of the Contract Documents.
 - 3) Contractor abandons or refuses to proceed with any or all of the Work.
 - 4) Contractor performs Work . . . in which officers or employees of Contractor have a direct or indirect interest that would result in a conflict of interest...

Should default leading to suspension or termination of funds occur, the hearing procedure would be implemented. Technical assistance and support would be provided when appropriate. DHHS-OCS would be informed of the issue and provided with copies of all correspondence, including the grantee improvement plan and any DOS/DCS support plan. Issuance of notice of pending termination will only be made after DOS/DCS has exhausted all efforts to correct the deficiencies.

Assurance: Board Representation §676(b)(10)

All grantees are required to include language in their bylaws or board policies to allow groups and individuals to petition for representation on boards of directors. This process will be monitored.

Accountability and Reporting Requirements

§678E(b)

Results Oriented Management and Accountability

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

CSBG National Performance Indicators

Grantees submit information describing the wide range of services and activities to be implemented. These will be monitored and periodic progress reports will be submitted. Grantees will be required to submit comprehensive annual reports documenting the planned versus actual expenditures of funds for the delivery of direct services and the characteristics of the individuals served. Grantees will submit reports documenting results for each of the national goals and performance indicators.

GOAL 1: LOW-INCOME PEOPLE BECOME MORE SELF-SUFFICIENT

National Performance Indicator 1.1

Employment

The number and percentage of low-income participants in Community Action employment initiatives who get a job or become self-employed, as measured by one or more of the following:

- A. Unemployed and obtained a job
- B. Employed and maintained a job for at least 90 days
- C. Employed and obtained an increase in employment income and/or benefits
- D. Achieved *living wage* employment and/or benefits

National Performance Indicator 1.2

Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:

- A. Obtained skills/competencies required for employment
- B. Completed ABE/GED and received certificate or diploma
- C. Completed post-secondary education program and obtained certificate or diploma
- D. Enrolled children in before or after school programs
- E. Obtained care for child or other dependant
- F. Obtained access to reliable transportation and/or driver's license
- G. Obtained health care services for themselves or family member
- H. Obtained safe and affordable housing
- I. Obtained food assistance
- J. Obtained non-emergency LIHEAP energy assistance
- K. Obtained non-emergency WX energy assistance
- L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)

National Performance Indicator 1.3**Economic Asset ENHANCEMENT and Utilization**

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:

- A.1. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits
- A.2. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
- A.3. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

Economic Asset Enhancement and UTILIZATION

- B.1. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days
- B.2. Number and percent of participants opening an Individual Development Account (IDA) or other savings account
- B.3. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
- B.4. Of participants in a Community Action assets development program (IDA and others):
 - a) Number and percent of participants capitalizing a small business with accumulated savings
 - b) Number and percent of participants pursuing post-secondary education with accumulated savings
 - c) Number and percent of participants purchasing a home with accumulated savings
 - d) Number and percent of participants purchasing other assets with accumulated savings

GOAL 2: THE CONDITIONS IN WHICH LOW-INCOME PEOPLE LIVE ARE IMPROVED**National Performance Indicator 2.1****Community Improvement and Revitalization**

Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

- A. Jobs created, or saved, from reduction or elimination in the community
- B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community
- C. Safe and affordable housing units created in the community
- D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy
- E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination
- F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination
- G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination
- H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
- I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education

National Performance Indicator 2.2**Community Quality of Life and Assets**

The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:

- A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
- B. Increase in the availability or preservation of community facilities
- C. Increase in the availability or preservation of community services to improve public health and safety
- D. Increase in the availability or preservation of commercial services within low-income neighborhoods
- E. Increase in or preservation of neighborhood quality-of-life resources

National Performance Indicator 2.3**Community Engagement**

The number of community members working with Community Action to improve conditions in the community.

- A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
- B. Number of volunteer hours donated to the agency (This will be ALL volunteer hours)

National Performance Indicator 2.4**Employment Growth from ARRA Funds**

The total number of jobs created or saved, at least in part by ARRA funds, in the community.

- A. Jobs created at least in part by ARRA funds
- B. Jobs saved at least in part by ARRA funds

GOAL 3: LOW-INCOME PEOPLE OWN A STAKE IN THEIR COMMUNITYNational Performance Indicator 3.1**Community Enhancement through Maximum Feasible Participation**

The number of volunteer hours donated to Community Action.

Total number of volunteer hours donated by low-income individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income.)

National Performance Indicator 3.2**Community Empowerment through Maximum Feasible Participation**

The number low-income people mobilized as a direct result of Community Action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

- A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts
- B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance
- C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance
- D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action

GOAL 4: PARTNERSHIPS AMONG SUPPORTERS AND PROVIDERS OF SERVICES TO LOW-INCOME PEOPLE ARE ACHIEVED

National Performance Indicator 4.1

Expanding Opportunities through Community-Wide Partnerships

The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

- A. Non-Profit
- B. Faith Based
- C. Local Government
- D. State Government
- E. Federal Government
- F. For-Profit Business or Corporation
- G. Consortiums/Collaboration
- H. Housing Consortiums/Collaboration
- I. School Districts
- J. Institutions of post secondary education/training
- K. Financial/Banking Institutions
- L. Health Service Institutions
- M. State wide associations or collaborations

GOAL 5: AGENCIES INCREASE THEIR CAPACITY TO ACHIEVE RESULTS

National Performance Indicator 5.1

Agency Development

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

- A. Number of C-CAPs
- B. Number of ROMA Trainers
- C. Number of Family Development Trainers
- D. Number of Child Development Trainers
- E. Number of staff attending trainings
- F. Number of board members attending trainings
- G. Hours of staff in trainings
- H. Hours of board members in trainings

GOAL 6: LOW-INCOME PEOPLE, ESPECIALLY VULNERABLE POPULATIONS, ACHIEVE THEIR POTENTIAL BY STRENGTHENING FAMILY AND OTHER SUPPORTIVE ENVIRONMENTS

National Performance Indicator 6.1

Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

- A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)
- B. Individuals with Disabilities
 - Ages:
 - 0-17
 - 18-54
 - 55-over

National Performance Indicator 6.2**Emergency Assistance**

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

- A. Emergency Food
- B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
- C. Emergency Rent or Mortgage Assistance
- D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)
- E. Emergency Temporary Shelter
- F. Emergency Medical Care
- G. Emergency Protection from Violence
- H. Emergency Legal Assistance
- I. Emergency Transportation
- J. Emergency Disaster Relief
- K. Emergency Clothing

National Performance Indicator 6.3**Child and Family Development**

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

- A.1. Infants and children obtain age-appropriate immunizations, medical, and dental care
- A.2. Infant and child health and physical development are improved as a result of adequate nutrition
- A.3. Children participate in pre-school activities to develop school readiness skills
- A.4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade

- B.1. Youth improve health and physical development
- B.2. Youth improve social/emotional development
- B.3. Youth avoid risk-taking behavior for a defined period of time
- B.4. Youth have reduced involvement with criminal justice system
- B.5. Youth increase academic, athletic, or social skills for school success

- C.1. Parents and other adults learn and exhibit improved parenting skills
- C.2. Parents and other adults learn and exhibit improved family functioning skills

National Performance Indicator 6.4**Family Supports (Seniors, Disabled and Caregivers)**

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

- A. Enrolled children in before or after school programs
- B. Obtained care for child or other dependant
- C. Obtained access to reliable transportation and/or driver's license
- D. Obtained health care services for themselves or family member
- E. Obtained safe and affordable housing
- F. Obtained food assistance
- G. Obtained non-emergency LIHEAP energy assistance
- H. Obtained non-emergency WX energy assistance
- I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)

National Performance Indicator 6.5**Service Counts**

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

- A. Food Boxes
- B. Pounds of Food
- C. Units of Clothing
- D. Rides Provided
- E. Information and Referral Calls

Annual Report

§678E(a)(2)

All grantees and delegate agencies have adopted the CSBG National Goals and National Performance Indicators as amended in May 2009. Grantees submit work plans detailing the services, activities, and outcomes for each goal. The Periodic Progress Report (PPR) documents achievement of milestones for the first two quarters. The Annual Program Report (APR) documents annual accomplishments and the outcomes planned and achieved for each goal and indicator selected, and will include planned versus actual funds expended by grantees for direct services and for administration.

Information submitted by grantees will be compiled and a report on FFY 2009 activities will be submitted to OCS and the National Association of State Community Services Programs (NASCSPP) by March 31, 2010. The report will include an accounting of funds spent on administrative costs by the State and eligible entities as well as a description of training and technical assistance provided to grantees.

DOS/DCS will also submit by March 15, 2010 a comprehensive Annual Report to the Governor and Legislature. This Report will be shared with grantees, statewide and national associations and other organizations.

A report on activities of the FFY 2008 program year was filed on March 31, 2009; a report on activities conducted during FFY 2009 will be filed by March 31, 2010.

Future Direction

DCS is preparing for the future by conducting a comprehensive strategic plan to include a review of organizational structure, delivery of monitoring and contracting services, as well as streamlining reporting. Future goals also include need for employee development, new employee recruitment/retention, and succession planning. The goals and measurable objectives will be finalized during FFY 2010 for implementation during FFY 2011.

In March 2009, DOS/DCS contracted with NASCSPP to review the data collection and reporting system used by the NYS CSBG program. The report of the visit indicated that *...overall NASCSPP found that DOS has developed a thoughtful and thorough monitoring and reporting process.* While NASCSPP found the DOS CSBG-IS reporting to be comprehensive, they noted that improvements could be made in the database structure to ease reporting efforts of state staff. During 2010 the recommendations made by NASCSPP regarding modifications to databases will be addressed.

Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

Statement for Loan Guarantees and Loan Insurance

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

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


 Signature Judith E. Kenny
 Director of Administration
 and Management
 Title
New York Department of State
 Organization
8/28/09
 Date

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

 Alternate I. (Grantees Other Than Individuals)

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

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

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

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

One Commerce Plaza, 99 Washington Avenue, Albany, New York 12231; 123 William Street, New York, NY 10038; 333 East Washington Street, Syracuse, NY 13202; 65 Court Street, Buffalo, NY 14202.

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

Judith E. Kenny
 Signature Judith E. Kenny
 Director of Administration
 and Management

(55 FR 21690, 21702, May 25, 1990)

Title _____

New York Department of State
 Organization

8/28/09
 Date

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 Exclusion-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 it 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.

Judith E. Kenny
Signature Judith E. Kenny
LOS Director of Administration
Title and Management

New York Department of State
Organization

8/28/09
Date

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application, the applicant/grantee certifies that it will comply with the requirements of the Act.

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

Judith E. Kenny
Signature Judith E. Kenny

DOS Director of Administration and Management
Title

New York Department of State
Organization

8/28/09
Date

APPENDICES

Appendix A

Notice of Public Hearing and Summary of Comments from Public Hearing

Appendix B

New York State Executive Law, Article 6-D

Appendix C

Members and Representatives of the CSBG Advisory Council

Appendix D

Community Services Network –
CSBG Grantee Contact Information
DOS/DCS Staff Assigned to the CSBG program

Appendix E

Grantee A-133 Audit Report

Appendix F

Lexicon of Frequently Used Terms

APPENDIX A

NOTICE OF PUBLIC HEARING

SUBJECT: Proposed FFY 2010 Management Plan for the Community Services Block Grant (CSBG) Program
PURPOSE: To obtain input regarding the Department of State's CSBG Management Plan for federal fiscal year 2010

Albany, NY
Thursday, July 30, 2009
10:00 am
One Commerce Plaza
Conference Room 505
With videoconference to
New York City
123 William Street
Conference Room 19

Federal Community Services Block Grant (CSBG) funds are awarded to grantees in all counties of New York State. Community action agencies, community-based organizations, and Indian tribes or tribal organizations receive CSBG funds to provide advocacy, outreach, services and programs for economically disadvantaged persons in their local communities.

This hearing will focus on the New York State Department of State's CSBG Management Plan for federal fiscal year 2010. The CSBG Management Plan may be obtained from the Department of State website at <http://www.dos.state.ny.us/dcs/forms.htm>, or by contacting:

Dolores Franco, Esq., Director
New York State Department of State
Division of Community Services
One Commerce Plaza
99 Washington Avenue, Suite 640
Albany, NY 12231-0001
518-474-5741

Persons wishing to present pertinent testimony to the Department of State at the hearing should complete and return the attached reply form as soon as possible. It is important that the reply form be fully completed and returned so that persons may be notified in the event of emergency postponement or cancellation. Forms may be returned to the above address or sent by e-mail to dcs.sm.DCS@dos.state.ny.us. Written comments on the proposed CSBG Management Plan for FFY 2010 will be accepted by postal or electronic mail at the addresses indicated until August 10, 2009.

Oral testimony will be limited to 10 minutes. In preparing the order of witnesses, the Department of State will attempt to accommodate individual requests to speak at particular times in view of special circumstances. These requests should be made on the attached reply form or communicated to DOS staff as early as possible. In the absence of a request, witnesses will be scheduled in the order in which reply forms are postmarked.

Five copies of any prepared testimony should be submitted at the hearing registration desk. DOS would appreciate advance receipt of prepared statements.

In order to further publicize these hearings, please inform interested parties and organizations of the Department of State's interest in hearing testimony from all sources.

To meet the needs of those who may have a disability, the Department of State, in accordance with its policy of non-discrimination on the basis of disability, as well as the 1990 Americans with Disabilities Act, has made its facilities and services available to all individuals with disabilities. For individuals with disabilities, accommodations will be provided, upon reasonable request, to afford such individuals access and admission to Department of State facilities and activities.

Lorraine A. Cortés-Vázquez
Secretary of State
Ricardo A. Aguirre, Esq.
Counsel to the Secretary of State
Dolores Franco, Esq.
Director, Division of Community Services

PUBLIC HEARING REPLY FORM

Persons wishing to present testimony at the public hearing on the FFY 2010 Management Plan for the Community Services Block Grant (CSBG) Program are requested to complete this reply form and submit it by July 23, 2009 to:

Dolores Franco, Esq., Director
 New York State Department of State
 Division of Community Services
 One Commerce Plaza
 99 Washington Avenue, Suite 640
 Albany, NY 12231-0001
 Email: dos.sm.DCS@dos.state.ny.us
 Telephone: 518-474-5741
 Fax: 518-486-4663

- I will attend the public hearing on the FFY 2010 CSBG Management Plan to be conducted by the Department of State on July 30, 2009.
- In Albany at One Commerce Plaza, Room 505
- In NYC at 123 William Street, Room 19
- I will make a public statement at the hearing. My statement will be limited to 10 minutes, and I will answer any questions which may arise concerning my statement. I will provide 5 copies of my prepared statement prior to presenting it.
- I will address my remarks to the following subjects:
- _____
- _____
- I do not plan to attend the above hearing but do plan to submit written comments prior to August 10, 2009.
- I would like to be added to the Department of State mailing list for notices and reports.
- I would like to be removed from the Department of State mailing list.
- I will require assistance and/or handicapped accessibility information. **Please specify the type of assistance required:**
- _____
- _____

NAME: _____

TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

E-MAIL: _____

TELEPHONE: _____

FAX NUMBER: _____

MISCELLANEOUS

NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311

or visit our web site at:

www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in §1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

NOTICE OF PUBLIC HEARING

Department of State

SUBJECT: Proposed FFY 2010 Management Plan for the Community Services Block Grant (CSBG) Program

PURPOSE: To obtain input regarding the Department of State's CSBG Management Plan for federal fiscal year 2010

Albany, NY

Thursday, July 30, 2009

10:00 a.m.

One Commerce Plaza

Conference Room 505

With videoconference to

New York City

123 William Street

Conference Room 19

Federal Community Services Block Grant (CSBG) funds are awarded to grantees in all counties of New York State. Community action agencies, community-based organizations, and Indian tribes or tribal organizations receive CSBG funds to provide advocacy, outreach, services and programs for economically disadvantaged persons in their local communities. This hearing will focus on the New York State Department of State's CSBG Management Plan for federal fiscal year 2010. The Management Plan may be obtained from the Department of State website at <http://www.dos.state.ny.us/dcs/forms.htm>, or by contacting:

Dolores Franco, Esq., Director

New York State Department of State

Division of Community Services

One Commerce Plaza

99 Washington Avenue, Suite 640

Albany, NY 12231-0001

518-474-5741

Program are requested to complete the Public Hearing Reply Form (found at <http://www.dos.state.ny.us/dcs/news.htm>) prior to July 23, 2009 and mail it to the above address or by e-mail to dos.sm.DCS@dos.state.ny.us. Written comments may be submitted until August 10, 2009.

Oral testimony will be limited to 10 minutes. In preparing the order of witnesses, the Department of State will attempt to accommodate individual requests to speak at particular times in view of special circumstances. These requests should be made on the attached reply form or communicated to DOS staff as early as possible. In the absence of a request, witnesses will be scheduled in the order in which reply forms are postmarked. Five copies of any prepared testimony should be submitted at the hearing registration desk. DOS would appreciate advance receipt of prepared statements.

In order to further publicize these hearings, please inform interested parties and organizations of the Department of State's interest in hearing testimony from all sources.

To meet the needs of those who may have a disability, the Department of State, in accordance with its policy of non-discrimination on the basis of disability, as well as the 1990 Americans with Disabilities Act, has made its facilities and services available to all individuals with disabilities. For individuals with disabilities, accommodations will be provided, upon reasonable request, to afford such individuals access and admission to Department of State facilities and activities.

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

While not required, the Department of Health proposes the following clarifying amendment to the Title XIX (Medicaid) State Plan for non-institutional services to clarify existing provisions of the Ambulatory Patient Group (APG) methodology:

Non-Institutional Services

D The Department clarifies that for purposes of base rate calculations, Medicaid reimbursement paid to facilities for services under the APG reimbursement system includes payments for ancillary services.

There is no estimated annual change to gross Medicaid expenditures attributable to this clarification.

Copies of the proposed state plan amendment will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County

250 Church Street

New York, New York 10018

Queens County, Queens Center

3220 Northern Boulevard

Long Island City, New York 11101

July 8, 2009 page 91

Persons wishing to present testimony at the public hearing on the FFY 2010 Management Plan for the Community Services Block Grant (CSBG)

Summary of Comments

Pursuant to 42 U.S.C. §9908(e)(1), a public hearing was held on the proposed CSBG Management Plan for FFY 2010. The hearing took place on July 30, 2009, as described in the hearing notice (Appendix A). The proposed Plan was made available for public inspection through direct electronic mail to all eligible entities in the state, posting on the DOS public website, and publication in the New York State Register. The public comment period was open until August 10, 2009. In all, 13 witnesses testified at the hearing and written comments were submitted by 8 additional individuals by the close of the comment period.

CSBG Discretionary Funding

Several witnesses addressed discretionary CSBG funding awarded to grantees. Several commenters noted that \$30,000 awards were unrealistic and noted that grants of that size could not solve the numerous barriers facing families living in poverty. Other witnesses noted that the small size of these grants would impair service delivery. One witness expressed concern that shortcomings by other organizations which lack ROMA (Results-Oriented Management Accountability) capacity could result in underperformance and...in CSBG dollars not being leveraged as effectively as possible... Another commenter felt that lack of experience among non-CAA recipients might prevent expending money efficiently and ultimately, ineffective service provision. It was further suggested that if DOS continues this method of discretionary funding, it should ask applicants for funding to include a proposal to partner with their local CAA by getting a letter of support from the entity currently administering CSBG in their locality to demonstrate that CSBG funds are used to the best advantage within a community already served by an eligible entity. Nonetheless, an additional witness expressed support for the competitive use of limited amounts of CSBG for program experimentation and innovation, but noted that ... the small amount of maximum funds does not allow for true new approaches to be developed, tested, and evaluated for effectiveness. Fewer grants to representative areas of the state would allow for more expansive projects with a greater depth of resources to demonstrate effectiveness... DOS needs to rethink their approach and seek additional funding from the NYS legislature or federal sources...The state association representing CAAs (NYSCAA) also acknowledged that these small grants, specifically ones awarded to non-CAAs, will have limited impact and outcomes, but noted that it would partner with DOS to make training available to ensure that programs can be carried out effectively and that accurate ROMA reporting takes place.

Response: The Secretary of State may use remaining grant funds for activities supporting innovative programs and activities conducted by community action agencies or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization@ (42 U.S.C. ' 9907(b)(1)(F); see NY Exec. Law '159-i). As these funds are provided by block grant, it is within the reasonable discretion of the Secretary to place parameters upon the use of such discretionary remainder funds in order to ensure that they are used in a manner which furthers the goals of the program. It is expected that a competitive process would encourage all applicants to put forth the most innovative projects possible and will offer opportunities for increased knowledge as well as opportunities for new or expanded partnerships. According to New York State Executive Law, "For federal fiscal year two thousand ten the remainder of the community services block grant funds received by the state shall be distributed pursuant to a contract by the secretary in the following order of preference: a sum of up to one-half of one percent of the community services block grant funds received by the state to Indian tribes and tribal organizations as defined in this article, on the basis of need; and to community based organizations." When the Request for Applications (RFA) is written to solicit proposals for the FFY 2010 discretionary funds, DOS will take into consideration the requirements of state legislation as well as potential applicants experience and capacity for carrying out all required reporting, including implementation or use of the ROMA system. DOS will take the comments regarding the awarding of discretionary grants and the amount of funding to be awarded to each grant under advisement in structuring the next phase of priority area targeted projects or other use of remainder funds.

Statewide Commission on Poverty

Several witnesses appealed to DOS for support of a statewide Commission on Poverty. A statewide Commission on Poverty is an idea that was proposed previously as an entity separate from the Governor's Economic Security Cabinet. One witness expressed their belief that a separate, independent commission – which includes non-governmental participants – would be a more focused vehicle for addressing barriers to self-sufficiency and the structural causes of poverty in New York State and indicated that the statewide network of CAAs stands ready to provide input and support. NYSCAA also asked that the Secretary urge the Governor to establish a Commission on Poverty and to task the Commission with establishing a new definition of poverty in NYS.

Response: DOS encourages the Community Action Network in its pursuit of the creation of a statewide Commission on Poverty and applauds the efforts of community action as well as the Governor's Economic Security Cabinet in assisting New Yorkers to break through the barriers that exist to achieve self-sufficiency. DOS looks forward to a collaborative effort with the network in the exploration and potential development of a Commission on Poverty.

CSBG Funding to the City of Utica

Testimony was given regarding CSBG funding of a separate entity in Utica New York. The witness provided demographic and programmatic information about the extent of need in the City of Utica, and on its behalf, to request re-establishment of a separate entity for delivery of services.

Response: Prior to 2003 a separate CAA was funded for the City of Utica to provide services to that community. That agency was defunded, and through the process established in the CSBG Act, DOS selected a neighboring agency to implement services in Utica. The witness was told that there are specific legal procedures required to qualify as an eligible entity and was invited submit her comments in writing and schedule a meeting with DOS representatives.

CSBG Eligibility at 200% of the Poverty Level

Several witnesses noted the depth of poverty and its impact on families and individuals in communities across the state. In that regard, the DOS decision to link the regular CSBG program with the ARRA (American Recovery and Re-investment Act) eligibility of 200% of the poverty level met with strong support from representatives of CAAs who testified. For example, the statewide CAA association presented testimony that pointed to a state poverty rate of 14%, higher than the national rate, representing over 2.6 million New Yorkers and including over 850,000 children. Individual county poverty rates varied, but as the witness from the CAA serving Monroe-Ontario counties indicated, over 13% of the Monroe County population lives below the federal poverty level, including 1 in 5 of that county's children. In the major urban center in that region, the City of Rochester, about 30% of the population lives in poverty.

Many witnesses noted that it would be possible to serve a greater number of people at 200% of the poverty level: many newer customers have incomes just above the federal poverty level, making them ineligible for traditional services. NYSCAA pointed out that extending eligibility to (up to) 200% of the poverty level will expand services to an estimated additional 1.5 million New Yorkers and will increase consistency of services; eligibility at 200% of poverty for both CSBG and CSBG-ARRA ensures seamless service delivery resulting in better outcomes. However, one commenter noted that this extension had also stretched thin some of the services being provided in a local area, even though it was positive for the families assisted. Commenters presented an overall sense that CSBG is being used effectively to meet a growing need in difficult times.

Response: DOS agrees that it is beneficial to low-income residents of New York, especially the working poor and those who recently have become unemployed, to be able to increase the threshold for CSBG services to 200% of the poverty guidelines. CAAs are commended for the effective use of funding to provide seamless delivery of services to meet the needs of more and more New Yorkers in a difficult economic climate.

CSBG Flexibility

Numerous witnesses spoke to the positive impact of CAAs and CSBG funded agencies in their communities. Commenters acknowledged the ability of CAAs *to respond to local needs and establish programs to address those needs*. As NYSCAA also pointed out, the flexibility of CSBG *“is its most precious resource ... CSBG allows individual communities to assess what is needed, identify what is already provided...and address the gaps. CAAs are unique in the tripartite board requirement which dictates that low-income persons serve in a governing capacity, truly allowing for grass-roots decision-making...”* This sentiment was echoed by CAA representatives from across the state. In addition, one witness recommended that administrative cost allocation plans be required, not encouraged, to ensure the entire grant is not expended on these costs. This witness also noted that the flexibility of CSBG is what allows it to support other programs which do not allow for administrative costs.

Several witnesses indicated that CSBG impacts local economies as employers. NYSCAA provided a statewide perspective, noting that CAAs employ 8,000 New Yorkers, often as the largest employer in a community or low-income neighborhood and that those employees spend locally resulting in \$200 million plus wages into the New York State economy. CAAs are successful managers of the funds they are entrusted with and leverage a relatively modest investment of \$55 million into network resources of \$650 million. As this witness and several others pointed out, this flexibility and ability to leverage has made CSBG unique and integral among funding sources. Witnesses encouraged DOS/DCS to continue and to enhance this flexibility and commitment to local decision-making.

Response: DOS will continue to monitor the use of CSBG funds for local administration and will continue to follow the guidance provided by the U.S. Department of Health and Human Services through issuance of IM 37 regarding the allowability of "direct" program and "administrative" costs under the Community Services Block Grant. DOS also recognizes the impact of CAAs as employers within their communities and the impact that employment has on local economies across New York State.

Family Development Association

The Family Development Association of NYS (FDANYS) garnered significant support statewide from individual family development practitioners as well as CSBG grantees that implement their service delivery through the family development framework. Currently, FDANYS is an entity funded as part of NYSCAA. FDANYS itself supports frontline workers through the Family Development Credential (FDC) and related continuous and ongoing training. NYSCAA testified that it recognizes that FDANYS will transition during FFY 2010 through a separate state contract, to a free-standing not-for-profit organization. Several witnesses, including numerous FDANYS board members and the FDC Senior Instructor from Cornell, provided information about the professional value to frontline workers of family development and the credential, which is awarded through Cornell University and which has credentialed over 5,000 individuals in New York State. Witnesses encouraged DOS to provide full funding at \$45,000 and to continue its investment in FDANYS to support training programs, peer networking, and the growth and development of family development workers. Witnesses testified to the efficacy of family development, the value of its annual conference, and its impact on direct service to the low-income population in New York State.

Response: DOS will take the comments under advisement as contract negotiations are finalized with the Family Development Association of NYS for federal fiscal year 2010.

Community Action Angels Volunteer Program

Witnesses testified to the need, and their support, for the continued implementation of the Community Action Angels Program, directly funded with CSBG unrestricted money by DOS/DCS to Wyoming CAA. The program began at Wyoming CAA and since expanded to several CAAs across the state. Local programs are operated independently. Angel's programs raise funds and in-kind donations and a wide network of volunteers reaches out to individuals and families for whom assistance might otherwise be denied. Angel member agencies reported that communities have become more aware of the needs of low-income people as a result of their efforts. Funding for the statewide organization helps maintain program development, training, and administration. In all, about a dozen CAAs indicated their support. Witnesses noted that Angels activities helped to stabilize families and that the program has received over \$1 million in donations during the past four years, proving the leveraging capacity of the minimal discretionary CSBG investment.

Response: DOS recognizes the substantial outcomes achieved through the Community Action Angels project and the benefits of building a statewide volunteer network under the coordination of one organization, as is accomplished by the Angel's staff. The donations leveraged and the manpower put to work in times of need provide a considerable return on investment for the limited CSBG dollars applied to the project. All CSBG eligible entities are encouraged to participate with the Community Action Angels in their endeavors to exponentially increase the impact of CSBG across New York State.

Continued Funding to NYSCAA

Several witnesses indicated their ongoing support for funding to NYSCAA – the statewide CAA association which provides support to CAAs and partners with DOS/DCS for Electronic Data Management, ensuring that CSBG data is collected and submitted to the national data collection system, as well as other IT activities. NYSCAA also provides an array of training opportunities for grantee staff and boards in a wide range of areas related to CAAs and CSBG administration. A witness noted that NYSCAA is instrumental in program advocacy as well as direct assistance to member agencies. For its part, NYSCAA assured DOS/DCS that it will address the alleviation of poverty and regional and statewide training in board governance, financial management, human resource risk management, ROMA technology, frontline worker skills, data collection, oversight of the Women in Government Mentoring program, advocacy on behalf of member agencies, and continued efforts to give a voice to agencies representing low-income New Yorkers.

Response: DOS appreciates the work of NYSCAA and the partnership that has developed over the years, and looks forward to continued collaboration for the most effective use of CSBG funds in New York State.

CSBG Advisory Council

Several witnesses addressed the CSBG Advisory Council, noting that the CSBG Advisory Council must also be more intimately involved with all processes and that the importance of solid communication cannot be overstated. It was also observed that DOS needs to utilize the CSBG Advisory Council more effectively to better communicate and review NYS DOS/CAA programs. It was suggested that the CSBG Advisory Council should hold meetings more regularly to facilitate ongoing communication among DCS, CAAs, and other stakeholders. A quarterly meeting schedule was recommended.

Response: According to current bylaws, the Council meets 3 times a year. Appointing officials are in the process of reviewing current membership, vacant seats, and appointments to bring the council to a full complement of members.

Need for CSBG Programs

Witnesses identified several particular and specific strengths of CSBG, chiefly, the need for the block grant itself as a response to local impoverishing conditions. Several witnesses, particularly those who represent CAAs, indicated that during this time of economic decline, larger numbers of New Yorkers find themselves in need and turning to CAAs for assistance.

The Impact of CSBG

Representatives from eligible entities testified directly to the benefits of CSBG funded programs to consumers. The key element in this testimony was not necessarily to comment on the proposed Plan itself but rather to illustrate the impact of CSBG in the communities where it is implemented. As noted by several witnesses, impoverishing conditions have deepened in the months prior to the hearing and many more New Yorkers find they must seek help from local CAAs. Representatives of CAAs pointed out that this network has more than 40 years of experience in creating and shaping programs for local communities, and given the flexibility of CSBG, as stated above and by many witnesses, agencies are now coping with increased program usage. For example, in Allegany County food pantry usage increased four-fold in the last year and a half and the client base changed from the underemployed and unemployed to working families who lost jobs and now may lose homes and other necessities. These newly poorer families are unfamiliar with the helping systems.

A CAA advocate that testified pointed out that with few job opportunities and limited transportation, sometimes customers just needed someone to listen and provide encouragement. One of the customers pointed out that the CAA was a place where they were treated with dignity and respect: without such an agency, this family might have faced homelessness. Another customer noted that the CAA helped her to become more self-sufficient, providing a case manager, and supportive services. Three other witnesses, representing a youth program operated by the CSBG agency serving the farmworker population (and others) in rural areas of the state, also noted that a key element in providing services was to provide a listening ear for someone to express their concerns. In the rural community of Albion, where there are few services such as after school programs, the youth take a 15 minute walk 3 days a week to the program site. As one youth participant noted: *the Youth program taught me a lot about myself and my outlook.... [and] has really opened my mind to think outside the box.... I changed my outlook on school and now I see how important it is...*

Other General Comments

Individual comments also included the recommendation to share best practices, increase direct program advocacy, and eliminate the 25% local share match requirement. Commenters also supported enhancing training opportunities and generally improving professional development opportunities for grantee boards, executives, and staff. A witness also noted that CSBG allows agencies to build capacity and encourages collaboration. As NYSCAA pointed out, the wide collaboration commits local agencies as well as the statewide CAA association into partnerships with a host of local and state agencies that focus on Head Start, Family Development, and Weatherization-Energy programs. NYSCAA applauded DOS efforts to broaden collaborations and partnerships in furtherance of assisting New York's low-income communities.

Response: DOS will consider all requests and recommendations presented during the hearing and comment period and will implement changes as deemed necessary or advantageous to low-income New Yorkers. DOS also will continue to ensure the use of CSBG funds remains in full compliance with applicable federal and state statute as well as good management practices.

A copy of the public hearing transcript and submitted written comments are available upon request.

APPENDIX B
Laws of New York State
Executive Law
***ARTICLE 6-D**
COMMUNITY SERVICES BLOCK GRANT PROGRAM

- Section 159-e. Definitions.
 159-f. Functions, powers and duties of the secretary.
 159-g. Rules and regulations.
 159-h. Limitation of administrative costs.
 159-i. Distribution of funds.
 159-j. Local share.
 159-k. Monitoring and evaluation.
 159-l. Decertification and reduction of entity shares.
 159-m. Designation and redesignation of eligible entities in unserved areas.
 159-n. Report of the secretary.

**NB Expires September 30, 2010*

*§159-e. Definitions. When used in this article:

- ** 1. "Eligible entity" shall mean any organization
- (a) officially designated as a community action agency or a community action program under the provisions of section two hundred ten of the economic opportunity act of 1964 for fiscal year 1981, unless such community action agency or a community action program lost its designation under section two hundred ten of such act as a result of a failure to comply with the provisions of such act; or
 - (b) designated by the process described in section one hundred fifty-nine-m of this article (including an organization serving migrant or seasonal farmworkers that is so described or designated). Such eligible entity shall have a tripartite board as its governing board which fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities and through which the entity shall administer the community services block grant program. However, such eligible entities which are public organizations shall have either a tripartite board or 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 funded under this article.

*** NB Effective until September 30, 2010*

- ** 2. "Tripartite board" shall mean
- (a) the governing board of a private nonprofit entity selected by the entity and composed so as to assure that
 - (1) one-third of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than one-third of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such one-third requirement;
 - (2) (A) not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and
 (B) each representative of low-income individuals and families selected to represent a specific neighborhood within a community under clause (A) of this subparagraph resides in the neighborhood represented by the member; and
 - (3) the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served; or
 - (b) the governing board of a public organization, which shall have members selected by the organization and shall be composed so as to assure that not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members

Laws of New York State, continued

- (1) are representative of low-income individuals and families in the neighborhood served;
- (2) reside in the neighborhood served; and
- (3) are able to participate actively in the development, planning, implementation, and evaluation of programs funded under this article.

*** NB Effective until September 30, 2010*

**** 2.** "Eligible entity" shall mean any organization which was officially designated as a community action agency or a community action program under the provisions of section two hundred ten of the economic opportunity act of 1964 for fiscal year 1981, unless such community action agency or a community action program lost its designation under section two hundred ten of such act as a result of a failure to comply with the provisions of such act. Such eligible entity shall have a governing board which is constituted so as to assure that one-third of the members of the board are elected public officials, currently holding office, or their representatives, to be selected by the chief elected officials of the state or local government or combination thereof, who possess the authority to designate an eligible entity pursuant to this article, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive public officials may be counted in meeting such one-third requirements. At least one-third of the members are persons chosen in accordance with any democratic selection procedure which assures maximum feasible participation of poor persons residing in the area to be served by the eligible entity; and one-third of the members are representatives of interest groups and private organizations within the community to be served, including but not limited to social service agencies, educational institutions, business, industrial, labor and religious organizations.

*** NB Effective September 30, 2010*

**** 3.** "Indian tribes" and "tribal organizations" shall mean those tribes, bands or other organized groups of Indians recognized in the state or considered by the federal secretary of the interior to be an Indian tribe or an Indian organization for any purpose.

*** NB Repealed September 30, 2010*

**** 4.** "Community based organization" shall mean any organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within its designated community. Such organization must have a board of directors of which more than half of the members reside in such designated community.

***NB (Becomes sub. 3. on September 30, 2010)*

****5.** "Department" shall mean the department of state.

***NB (Becomes sub. 4. on September 30, 2010)*

****6.** "Secretary" shall mean the secretary of state.

***NB (Becomes sub 5. on September 30, 2010)*

**NB Expires September 30, 2010*

***§159-f.** Functions, powers and duties of the secretary. The secretary or his duly authorized officers or employees, shall have the following functions, powers and duties:

1. To act as the official agent of the state for the purpose of administering, carrying out and otherwise cooperating with the federal government in connection with the federal community services block grant act of 1981, as amended;
2. To allocate federal community services block grant funds pursuant to contracts with recipients of such funds in the manner required by federal law and regulation;
3. To assist the governor in applying for the state's allocation under the federal community services block grant act, including the fulfillment of any planning requirements;

Laws of New York State, continued

4. To cooperate with the legislature in conducting hearings required by the federal community services block grant act; and
5. To monitor and evaluate the use of funds received by the state pursuant to the federal community services block grant act.

** NB Expires September 30, 2010*

§159-g. Rules and regulations. The secretary shall promulgate rules and regulations necessary to carry out the provisions of this article.

**NB Expires September 30, 2010*

* §159-h. Limitation of administrative costs. Not more than five percent of the community services block grant funds received by the state shall be retained for administration at the state level.

** NB Expires September 30, 2010*

* §159-i. Distribution of funds. For federal fiscal year two thousand ten at least ninety percent of the community services block grant funds received by the state shall be distributed pursuant to a contract by the secretary to eligible entities as defined in subdivision one of section one hundred fifty-nine-e of this article. Each such eligible entity shall receive the same proportion of community services block grant funds as was the proportion of funds received in the immediately preceding federal fiscal year under the federal community services block grant program as compared to the total amount received by all eligible entities in the state, under the federal community services block grant program.

For federal fiscal year two thousand ten the secretary shall, pursuant to section one hundred fifty-nine-h of this article, retain not more than five percent of the community services block grant funds for administration at the state level.

For federal fiscal year two thousand ten the remainder of the community services block grant funds received by the state shall be distributed pursuant to a contract by the secretary in the following order of preference: a sum of up to one-half of one percent of the community services block grant funds received by the state to Indian tribes and tribal organizations as defined in this article, on the basis of need; and to community based organizations. Such remainder funds received by eligible entities will not be included in determining the proportion of funds received by any such entity in the immediately preceding federal fiscal year under the federal community services block grant program.

** NB Expires September 30, 2010*

* §159-j. Local share. Each recipient of funds shall secure a local share equivalent to twenty-five percent of federal funds received under the community services block grant. Such local share may be in cash or in kind, fairly evaluated including but not limited to donated plant, equipment and services. The secretary may waive all or part of this requirement upon an application made and upon good cause shown by the recipient.

**NB Effective until September 30, 2010*

* §159-j. Local share. Each recipient agency shall secure a local share equivalent to twenty-five percent of federal funds received under the community services block grant. Such local share may be in cash or in kind, fairly evaluated including but not limited to donated plant, equipment and services. The secretary may waive all or part of this requirement upon an application made and upon good cause shown by the recipient agency.

**NB Effective and expires September 30, 2010*

§159-k. Monitoring and evaluation.

1. The secretary shall monitor and evaluate the use of community services block grant funds made available pursuant to this article by the recipients of such funds in order to evaluate the performance of such recipients. Evaluations shall include, but not be limited to:
 - (a) determining the effectiveness of recipients' administrative operations, organizational structure, planning and programming, self evaluation, and general decision making; and

- (b) reviewing the recipients' compliance with federal and state law and regulation.
2. For purposes of evaluations conducted under this section, recipients shall make available to the secretary, or any duly authorized officer or employee of the department, appropriate books, documents, papers and records for examination, copying or mechanical reproduction on or off the premises of the recipient upon a reasonable request there for.

** NB Expires September 30, 2010*

§159-l. Decertification and reduction of entity shares.

1. Any eligible entity that received funding in the previous federal fiscal year through a community services block grant made under this article shall not have its funding terminated under this article or reduced below the proportional share of funding the entity received in the immediately preceding federal fiscal year, as determined pursuant to section one hundred fifty-nine-i of this article, 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 of the United States department of health and human services. For purposes of making a determination that cause exists for:
 - (a) a funding reduction, the term "cause" shall include
 - (1) a statewide redistribution of funds provided through a community services block grant under this article to respond to
 - (A) the results of the most recently available census or other appropriate data;
 - (B) the designation of a new eligible entity; or
 - (C) severe economic dislocation; and
 - (2) the failure of an eligible entity to comply with the terms of an agreement or a state plan, or to meet a state requirement, as described in this section; or
 - (b) a termination, the term "cause" includes the failure of an eligible entity to comply with the terms of an agreement or a state plan, or to meet a state requirement, as described in this section.
2. If the state determines, on the basis of a final decision in a review pursuant to this article, that an eligible entity fails to comply with the terms of an agreement or the state plan to provide services under this article or to meet appropriate standards, goals, and other requirements established by the state (including performance objectives), the state shall:
 - (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c)
 - (1) offer training and technical assistance, if appropriate, to help correct the deficiency, and prepare and submit to the secretary of the United States department of health and human services a report stating the reasons for the determination; or
 - (2) if the state determines that such training and technical assistance are not appropriate, it shall prepare and submit to the secretary of the United States department of health and human services a report stating the reasons for the determination;
 - (d)
 - (1) at the discretion of the state (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), allow the entity to develop and implement and submit to the state, within sixty days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period of time, as determined by the state; and
 - (2) not later than thirty days after receiving from an eligible entity a proposed quality improvement plan pursuant to subparagraph one of this paragraph, either approve such proposed plan or specify the reasons why the proposed plan cannot be approved; and
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding under this article of the eligible entity unless the entity corrects the deficiency.
3. A determination to terminate the designation or reduce the funding of an eligible entity pursuant to subdivision two of this section is reviewable by the secretary of the United States department of health and human services, pursuant to the processes set forth in the federal community services block grant act of 1981, as amended.

** NB Expires September 30, 2010*

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* §159-m. Designation and redesignation of eligible entities in unserved areas.

1. Qualified organization in or near area.

(a) In general. If any geographic area of the state is not, or ceases to be, served by an eligible entity under this article, and if the governor decides to serve such area, the governor may solicit applications from, and designate as an eligible entity

(1) a private nonprofit organization (which may include an eligible entity) that is geographically located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of this article; and

(2) a private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area.

(b) Requirement. In order to serve as the eligible entity for the area, an entity described in subparagraph two of paragraph (a) of this subdivision shall agree to add additional members to the board of the entity to ensure adequate representation

(1) in each of the three required categories described in paragraph (a) of subdivision two of section one hundred fifty-nine-e of this article, by members that reside in the community comprised by the unserved area; and

(2) in the category described in subparagraph two of paragraph (a) of subdivision two of section one hundred fifty-nine-e of this article, by members that reside in the neighborhood to be served.

2. Special consideration. In designating an eligible entity under subdivision one of this section, the governor shall grant the designation to an organization of demonstrated effectiveness in meeting the goals and purposes of this article and may give priority, in granting the designation, to eligible entities that are providing related services in the unserved area, consistent with the needs identified by a community-needs assessment.

3. No qualified organization in or near area. If no private, nonprofit organization is identified or determined to be qualified under subdivision one of this section to serve the unserved area as an eligible entity the governor may designate an appropriate political subdivision of the state to serve as an eligible entity for the area. In order to serve as the eligible entity for that area, the political subdivision shall have a tripartite board or other mechanism as required in section one hundred fifty-nine-e of this article.

** NB Expires September 30, 2010*

* §159-n. Report of the secretary.

The secretary of state shall report to the governor and the legislature by March fifteenth of each year on the administration of the community services block grant program. The report shall include, but not be limited to, the results of the monitoring and evaluation of recipients of funds under the program and any recommendation for changes which the secretary of state deems necessary for the effective administration of the program.

** NB Expires September 30, 2010*

APPENDIX C

Members and Representatives of the Community Services Block Grant Advisory Council
(Current as of July 2009)

Member	Representative
Mr. Harold Baron 139-11 72 Road Flushing, NY 11367 212-820-7240 Governor Appointee: 1/20/98	Rabbi Avrohom Hecht, Executive Director Project Lead 123-19 Hillside Avenue Richmond Hills, NY 11418-1819 718-495-6210
Mr. John M. Eberhard, Executive Director Delaware Opportunities, Inc. 35430 State Highway 10 Hamden, NY 13782-1112 607-746-1600 Governor Appointee: 8/11/92	None
Ms. Karen Gordon, Executive Director CEO for the Greater Capital Region 2331 Fifth Avenue Troy, NY 12180-2291 518-272-6012 Governor Appointee: 6/18/99	None
Mr. Richard V. Imprescia, Executive Director Business Economic Development & Government Affairs – Anchin, Block & Anchin LLP 1375 Broadway New York, NY 10018 212-840-3456 Governor Appointee: 11/12/04	
Mr. John L. Kearse, (deceased) Economic Opportunity Commission of Nassau Co. Assembly Appointee: 11/18/83 & 3/6/97	Ms. Iris A. Johnson, Executive Director Economic Opportunity Commission of Nassau Co. 134 Jackson Street Hempstead, NY 11550 516-292-9710
Mr. Carlton Mitchell, President & CEO Families First New York 29 North Hamilton Street Poughkeepsie, NY 12601 845-452-1114 Ext. 3100 Governor Appointee: 9/18/02	None
Mr. Stuart M. Mitchell, Executive Director PathStone Corporation 400 East Avenue Rochester, NY 14607 585-340-3368 Assembly Appointee: 11/18/83 & 3/6/97	Ms. Velma Smith, Senior Executive Director PathStone Corporation 400 East Avenue Rochester, NY 14607 585-340-3369

Members and Representatives of the Community Services Block Grant Advisory Council, continued

Member	Representative
Mr. Gary O'Brien, Chair NYS Commission on Quality of Care and Advocacy for Persons with Disabilities 401 State Street Schenectady, NY 12305-2397 518-388-1281 Governor Appointee: 4/24/06	Mr. Joe Reich, Advocacy for the Disabled Specialist IV NYS Commission on Quality of Care and Advocacy for Persons with Disabilities 401 State Street Schenectady, NY 12305 518-388-0689
Mr. Winston A. Ross, Executive Director Westchester Community Opportunity Program 2269 Saw Mill River Road, Building 3 Elmsford, NY 10523-3833 914-592-5600, Ext. 130 Governor Appointee: 9/17/84	None
Mr. Yves Vilus 345 Lincoln Place Brooklyn, NY 11238 718-462-7700 Assembly Appointee: 3/6/97	None
Mr. Denis E. Wilson, Sr., Executive Director Fulmont Community Action Agency, Inc. County Annex, 20 Park Street, PO Box 835 Fonda, NY 12068 518-853-3011 Senate Appointee: 6/11/08	None
Ms. Treva Wood (deceased) Assembly Appointee: 8/30/84 & 3/6/97	Ms. Amy Turner, Executive Director Mohawk Valley Community Action Agency 207 North James Street Rome, NY 13440-5886 315-339-5640

APPENDIX D

Community Services Network - CSBG Grantee Contact Information		
Grantee		Service Area
Albany County Opportunity, Inc. 333 Sheridan Avenue Albany, NY 12206	Telephone: 518-463-3175 Fax: 518-463-8185	Albany
Allegany County Community Opportunities and Rural Development, Inc. (ACCORD) 84 Schuyler Street, PO Box 573 Belmont, NY 14813-0573	Telephone: 585-268-7605 Fax: 585-268-7241	Allegany
Opportunities for Broome, Inc. 88 Carroll Street Binghamton, NY 13901-2538	Telephone: 607-723-6493 Fax: 607-723-6497	Broome
Cattaraugus Community Action, Inc. 25 Jefferson Street, PO Box 308 Salamanca, NY 14779-0308	Telephone: 716-945-1041 Fax: 716-945-1301 Ext. 111	Cattaraugus
Cayuga/Seneca Community Action Agency, Inc. 65 State Street Auburn, NY 13021-2699	Telephone: 315-255-1703 Fax: 315-252-3397	Cayuga/ Seneca
Chautauqua Opportunities, Inc. 17 West Courtney Street Dunkirk, NY 14048	Telephone: 716-366-3333 Fax: 716-366-7366	Chautauqua
Economic Opportunity Program, Inc. of Chemung County 650 Baldwin Street Elmira, NY 14901	Telephone: 607-734-6174 Fax: 607-733-8126	Chemung/ Schuyler
Opportunities for Chenango, Inc. 44 West Main Street, PO Box 470 Norwich, NY 13815-0470	Telephone: 607-334-7114 Fax: 607-336-6958	Chenango
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc. 54 Margaret Street Plattsburgh, NY 12901	Telephone: 518-561-6310 Fax: 518-562-2947	Clinton/ Franklin
Columbia Opportunities, Inc. 540 Columbia Street Hudson, NY 12534	Telephone: 518-828-4611 Fax: 518-828-4614	Columbia
Cortland County Community Action Program, Inc. 32 North Main Street Cortland, NY 13045-2698	Telephone: 607-753-6781 Fax: 607-758-3620	Cortland
Delaware Opportunities, Inc. 35430 State Highway 10 Hamden, NY 13782-1112	Telephone: 607-746-1600 Fax: 607-746-1605	Delaware
Dutchess County Community Action Agency, Inc. 84 Cannon Street Poughkeepsie, NY 12601-3304	Telephone: 845-452-5104 Fax: 800-882-9625	Dutchess
Community Action Organization of Erie County, Inc. 70 Harvard Place Buffalo, NY 14209	Telephone: 716-881-5150 Fax: 716-881-2927	Erie
Adirondack Community Action Programs, Inc. 7572 Court Street, Suite 2, PO Box 848 Elizabethtown, NY 12932	Telephone: 518-873-3207 Fax: 518-873-6845	Essex
ComLinks, Inc. 343 West Main Street Malone, NY 12953	Telephone: 518-483-1261 Fax: 518-483-8599	Franklin

Community Services Network - CSBG Grantee Contact Information		
Grantee		Service Area
Fulmont Community Action Agency, Inc. County Annex, 20 Park Street, PO Box 835 Fonda, NY 12068-9999	Telephone: 518-853-3011 Fax: 518-853-3855	Fulton/ Montgomery
Community Action of Greene County, Inc. 53 S. Jefferson Avenue Catskill, NY 12414	Telephone: 518-943-9205 Fax: 518-943-0343	Greene
Community Action Planning Council of Jefferson County, Inc. 518 Davidson Street Watertown, NY 13601-0899	Telephone: 315-782-4900 Fax: 318-788-8251	Jefferson
Lewis County Opportunities, Inc. 8265 State Route 812 Lowville, NY 13367	Telephone: 315-376-8202 Fax: 315-376-8451	Lewis
Livingston County Planning Department Livingston County Government Center, 6 Court Street, Room 305 Geneseo, NY 14454-1043	Telephone: 585-243-7550 Fax: 585-243-7126	Livingston
Community Action Program for Madison County, Inc. PO Box 249, 3 East Main Street Morrisville, NY 13408-0249	Telephone: 315-684-3144 Fax: 315-684-9650	Madison
Action for a Better Community, Inc. (ABC) 550 East Main Street Rochester, NY 14604-2528	Telephone: 585-325-5116 Fax: 585-325-9108	Monroe/Ontario
Economic Opportunity Commission of Nassau County, Inc. 134 Jackson Street Hempstead, NY 11550-2413	Telephone: 516-292-9710 Fax: 516-292-3176	Nassau
Department of Youth and Community Development 156 William Street, 6 th Floor New York, NY 10038-2609	Telephone: 212-442-6006 Fax: 212-442-5998	New York City
Niagara Community Action Program, Inc. 1521 Main Street Niagara Falls, NY 14305-2521	Telephone: 716-285-9681 Fax: 716-285-9693	Niagara
Mohawk Valley Community Action Agency, Inc. 207 North James Street Rome, NY 13440-5886	Telephone: 315-339-5640 Fax: 315-339-2981	Oneida/ Herkimer
Peoples Equal Action and Community Effort, Inc. (PEACE) 217 South Salina Street, Suite 200 Syracuse, NY 13202-1370	Telephone: 315-470-3300 Fax: 315-472-8939	Onondaga
Newburgh Community Action Committee, Inc. 123 Grand Street, 3rd Floor, PO Box 1477 Newburgh, NY 12550	Telephone: 845-562-0100 Fax: 845-562-0343	Eastern Orange
Regional Economic Community Action Program, Inc. (RECAP) 40 Smith Street, PO Box 886 Middletown, NY 10940-3711	Telephone: 845-342-3978 Fax: 845-344-2922	Western Orange
Community Action of Orleans and Genesee, Inc. 409 East State Street Albion, NY 14411-1123	Telephone: 585-589-5605 Fax: 585-589-9015	Orleans/ Genesee
Oswego County Opportunities, Inc. 239 Oneida Street Fulton, NY 13069-1288	Telephone: 315-598-4717 Fax: 315-592-7533	Oswego

Community Services Network - CSBG Grantee Contact Information		
Grantee		Service Area
Opportunities for Otsego, Inc. 3 West Broadway Oneonta, NY 13820-2552	Telephone: 607-433-8000 Fax: 607-433-8013	Otsego
Commission on Economic Opportunity for the Greater Capital Region, Inc. 2331 Fifth Avenue Troy, NY 12180-2291	Telephone: 518-272-6012 Fax: 518-272-0658	Rensselaer
The Community Action Program of Rockland County, Inc. 176 North Main Street Spring Valley, NY 10977	Telephone: 845-352-4167 Fax: 845-352-5084	Rockland
St. Lawrence County Community Development Program, Inc. 1 Commerce Lane Canton, NY 13617-3740	Telephone: 315-386-1102 Fax: 315-386-1454	St. Lawrence
Saratoga County Economic Opportunity Council, Inc. 40 New Street, PO Box 5120 Saratoga Springs, NY 12866-5120	Telephone: 315-386-1102 Fax: 315-386-1454	Saratoga
Schenectady Community Action Program, Inc. 913 Albany Street Schenectady, NY 12307-1401	Telephone: 518-374-9181 Fax: 518-374-9190	Schenectady
Schoharie County Community Action Program, Inc. 795 E. Main Street, Suite 5 Cobleskill, NY 12043-1436	Telephone: 518-234-2568 Fax: 518-234-3507	Schoharie
ProAction of Steuben and Yates, Inc. 117 East Steuben Street, Suite 11 Bath, NY 14810-1636	Telephone: 607-776-2125 Fax: 607-776-2723	Steuben/ Yates
Economic Opportunity Council of Suffolk, Inc. 475 East Main Street, Suite 206 Patchogue, NY 11772	Telephone: 631-289-2124 Fax: 631-289-2178	Suffolk
Community Action Commission to Help the Economy, Inc. (CACHE) 63-65 South Main Street Liberty, NY 12754-1808	Telephone: 845-292-5821 Fax: 845-292-0724 Ext. 5	Sullivan
Tioga Opportunities Program, Inc. Countryside Community Center 9 Sheldon Guile Boulevard Owego, NY 13827-1062	Telephone: 607-687-4222 Fax: 607-687-4236	Tioga
Tompkins Community Action, Inc. 701 Spencer Road Ithaca, NY 14850	Telephone: 607-273-8816 Fax: 607-273-3293	Tompkins
Ulster County Community Action Committee, Inc. 70 Lindsley Avenue Kingston, NY 12401-3316	Telephone: 845-338-8750 Fax: 845-338-7502	Ulster
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc. 190 Maple Street, PO Box 968 Glens Falls, NY 12801-0968	Telephone: 518-793-0636 Fax: 518-793-2910	Warren/ Hamilton
Washington County Economic Opportunity Council, Inc. 383 Broadway Fort Edward, NY 12828-1015	Telephone: 518-746-2390 Fax: 518-746-2392	Washington
Wayne County Action Program, Inc. 159 Montezuma Street Lyons, NY 14489-1228	Telephone: 315-946-7530 Fax: 315-946-7430	Wayne

Community Services Network - CSBG Grantee Contact Information		
Grantee		Service Area
Westchester Community Opportunity Program, Inc. 2269 Saw Mill River Road, Bldg., #3 Elmsford, NY 10523-3833	Telephone: 914-592-5600 Fax: 914-592-0021	Westchester/ Putnam/
Yonkers Community Action Program, Inc. 164 Ashburton Avenue Yonkers, NY 10701-9999	Telephone: 914-423-5905 Fax: 914-423-5938	Westchester (City of Yonkers)
Wyoming County Community Action, Inc. 6470 Route 20A, Suite 1 Perry, NY 14530-9799 (includes Community Action Angels)	Telephone: 585-237-2600 Fax: 585-237-2696	Wyoming
Statewide Organizations		
PathStone Corporation 400 East Avenue Rochester, NY 14607-1910 (Statewide Migrant-Seasonal Farmworker Organization formerly known as Rural Opportunities)	Telephone: 585-340-3300 Fax: 585-340-3727	Statewide
New York State Community Action Association, Inc. 2 Charles Boulevard, Suite 2 Guilderland, NY 12084-9570	Telephone: 518-690-0491 Fax: 518-690-0498	Statewide
Indian Tribes and Tribal Organizations		Location
Mohawk Indian Housing Corporation PO Box 402 Roosevelt, NY 13683	Telephone: 518-358-4860 Fax: 518-358-4870	St. Lawrence
Poosepatuck Indian Nation PO Box 86 Mastic, NY 11950-0086	Telephone: 631-281-6464 Fax: 631-281-2125	Suffolk
Seneca Nation of Indians PO Box 231 Salamanca, NY 14779	Telephone: 716-945-1790 Fax: 716-945-6487	Cattaraugus
Shinnecock Indian Reservation PO Box 5006 Southampton, NY 11969-6143	Telephone: 631-283-6143 Fax: 631-287-7153	Suffolk

Website addresses can be obtained by contacting the entities above or through links provided on the DOS/DCS website.

NYS Department of State
Division of Community Service Offices

Albany: One Commerce Plaza

99 Washington Avenue, Suite 640 Albany, NY, 12231 (518) 474-5741
FAX: (518) 486-4663

Buffalo: Mahoney State Office Building

65 Court Street, Room 208, Buffalo, NY 14202 (716) 847-7106
FAX: (716) 847-7969

New York City: 123 William Street, 20th Floor, New York, NY 10007 (212) 417-5724

FAX: (212) 417-4784

Syracuse: Hughes State Office Building

333 E. Washington Street, Room 514, Syracuse, NY 13202 (315) 426-2126
FAX: (315) 428-4261

Website: <http://www.dos.state.ny.us>

Staff Directory

DCS Staff

Franco, Dolores, Esq., Director

Breidinger, William, CCAP	Program Analyst-Syracuse	Kovarik, Jim	Program Supervisor-Albany
Chase, Barbara	Support Staff-Buffalo	Marchese, Annette	Program Supervisor-Buffalo
Ferris, Emmett	Program Analyst-Albany	Murray, Beatrice	Support Staff-NYC
Flowers, Nancy	Program Analyst-Albany	Nieves, Lisa	Program Analyst-Albany
Goldstein, Barbara, CCAP	Program Analyst-Albany	Pfohl, M. Nancy	Program Analyst-Buffalo
Grace, Robert	Program Analyst-Albany	Purcell, Patricia	Program Supervisor-Albany
Hanna, Frances	Program Analyst-NYC	Relyea, Debra	Program Supervisor-Albany
Hand, Katharine	Support Staff-Albany	Snead, Linda	Assistant Director-NYC
Harlow, William	Support Staff-Albany	Wright-Austin, Kathy	Program Analyst-NYC
		Wright, Patricia	Program Analyst-Syracuse

Fiscal support services

George Lupe, Supervisor, Contract Administration

Luse, Timothy	Fiscal Supervisor-Albany	Finn, Conloy	Fiscal Representative-NYC
Denick, Cindi	Fiscal Representative-Buffalo	Howard, Craig	Fiscal Representative-Albany

Legal support services

Leary, James	Attorney-Albany
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APPENDIX E
Grantee A-133 Audit Report (As of 5/5/09)

Eligible Entities (Grantees)	Geographical Area Served (County)	Fiscal Year Ended	Received
Albany County Opportunity, Inc.	Albany	02/29/08	07/25/08
Allegany County Community Opportunities and Rural Development, Inc.	Allegany	02/29/08	09/22/08
Opportunities for Broome, Inc.	Broome	12/31/07	12/29/08
Cattaraugus Community Action, Inc.	Cattaraugus	12/31/07	09/11/08
Cayuga/Seneca Community Action Agency, Inc.	Cayuga/Seneca	07/31/08	12/08/08
Chautauqua Opportunities, Inc.	Chautauqua	10/31/07	07/25/08
Economic Opportunity Program, Inc. of Chemung County	Chemung/Schuylers	06/30/08	09/02/08
Opportunities for Chenango, Inc.	Chenango	12/31/07	09/11/08
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton/Franklin	01/31/08	01/28/09
Columbia Opportunities, Inc.	Columbia	10/31/07	07/31/08
Cortland County Community Action Program, Inc.	Cortland	12/31/07	08/28/08
Delaware Opportunities, Inc.	Delaware	02/29/08	09/22/08
Dutchess County Community Action Agency, Inc.	Dutchess	12/31/07	07/25/08
Community Action Organization of Erie County, Inc.	Erie	02/29/08	09/22/08
Adirondack Community Action Programs, Inc.	Essex	05/31/08	10/27/08
ComLinks, Inc.	Franklin	09/30/07	10/09/08
Fulmont Community Action Agency, Inc.	Fulton/ Montgomery	09/30/08	02/11/09
Community Action of Greene County, Inc.	Greene	03/31/08	01/02/09
Community Action Planning Council of Jefferson County, Inc.	Jefferson	09/30/08	03/02/09
Lewis County Opportunities, Inc.	Lewis	12/31/07	05/27/08
Livingston County Planning Department	Livingston	12/31/07	09/22/08
Community Action Program for Madison County, Inc.	Madison	09/30/07	04/22/08
Action for a Better Community, Inc.	Monroe/Ontario	09/30/07	09/02/08
Economic Opportunity Commission of Nassau County, Inc.	Nassau	07/31/08	05/01/09
NYC Department of Youth and Community Development	New York City	06/30/08	04/03/09
Niagara Community Action Program, Inc.	Niagara	10/31/07	06/20/08
Mohawk Valley Community Action Agency, Inc.	Oneida/Herkimer	07/31/08	02/05/09
People's Equal Action and Community Effort, Inc.	Onondaga	01/31/08	09/22/08
Newburgh Community Action Committee, Inc.	Eastern Orange	06/30/07	N/A
Regional Economic Community Action Program, Inc.	Western Orange	02/29/08	12/01/08
Community Action of Orleans and Genesee, Inc.	Orleans/ Genesee	01/31/08	07/21/08
Oswego County Opportunities, Inc.	Oswego	12/31/07	06/25/08
Opportunities for Otsego, Inc.	Otsego	03/31/08	12/29/08
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer	03/31/08	10/22/08
The Community Action Program of Rockland County, Inc.	Rockland	12/31/07	N/A
St. Lawrence County Community Development Program, Inc.	St. Lawrence	12/31/08	09/11/09
Saratoga County Economic Opportunity Council, Inc.	Saratoga	12/31/07	10/02/08
Schenectady Community Action Program, Inc.	Schenectady	12/31/07	09/17/08
Schoharie County Community Action Program Corp.	Schoharie	12/31/07	09/26/08
Pro Action of Steuben and Yates, Inc.	Steuben/Yates	12/31/07	06/06/08
Economic Opportunity Council of Suffolk, Inc.	Suffolk	12/31/08	04/07/09
Community Action Commission to Help the Economy, Inc.	Sullivan	03/31/08	11/24/08
Tioga Opportunities Program, Inc.	Tioga	12/31/07	09/30/08
Tompkins Community Action, Inc.	Tompkins	03/31/08	09/12/08
Ulster County Community Action Committee, Inc.	Ulster	11/30/07	05/15/08
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren/Hamilton	11/30/07	09/05/08
Washington County Economic Opportunity Council, Inc.	Washington	03/31/08	10/30/08
Wayne County Action Program, Inc.	Wayne	12/31/07	07/29/08
Westchester Community Opportunity Program, Inc.	Westchester/Putnam	07/31/08	03/09/09
Yonkers Community Action Program, Inc.	Westchester(Yonkers)	07/31/08	N/A
Wyoming County Community Action, Inc.	Wyoming	09/30/08	01/29/09
PathStone Corporation (Migrant-Seasonal Farmworker Organization)	Statewide	09/30/07	07/31/08

N/A – DID NOT MEET MINIMUM THRESHOLD

APPENDIX F

Lexicon of Frequently Used Terms

A-B

AAA	Area Agency on Aging
ACF	Administration on Children and Families (US DHHS)
ADHD	Attention Deficit and Hyperactive Disorder
ADA	Americans with Disabilities Act
AIDS	Acquired Immune Deficiency Syndrome
APPS	Adolescent Pregnancy Prevention and Services Program
APR	Annual Program Report (NYS DOS/DCS)
ARRA	American Recovery and Reinvestment Act
ASL	American Sign Language
AVE	Adolescent Vocational Exploration
BAE	Basic Adult Education
BOCES	Board of Cooperative Educational Services (NYS)

C

CAA, CAP	Community Action Agency, Community Action Program Community Action Plan, Community Action Partnership (National organization)
CAB	Community Action Board (NYC)
CAU	Contract Administration Unit (NYS DOS)
CBO	Community-Based Organization
CCAP	Certified Community Action Professional
CCSNY	Council of Community Services of New York State
CCR&R	Child Care Resource and Referral
CDBG	Community Development Block Grant
CEOSC	Comprehensive Employment Opportunity Support Center (One-Stop) (US-NYS)
CFNP	Community Food and Nutrition Program (HHS-ACF)
CFR	Code of Federal Regulations
CPB	Consumer Protection Board (NYS)
CSA	Community Services Administration (US, 1975-81)
CSBG	Community Services Block Grant
CSBG IS	Community Services Block Grant Information Survey

D

DCJS	Division of Criminal Justice Services (NYS)
DCS	Division of Community Services (NYS DOS)
DED	Department of Economic Development (NYS)
DHCR	Division of Housing and Community Renewal (NYS)
DHHS	Department of Health and Human Services (US)
DOCS	Department of Correctional Services (NYS)
DOB	Division of the Budget (NYS)
DOE	Department of Energy (US)
DOH	Department of Health (NYS)
DOL	Department of Labor (US or NYS)
DOS	Department of State (NYS)
DOT	Department of Transportation (US or NYS)
DPC	Disaster Preparedness Commission (NYS)
DSA	Division of State Assistance (US-OCS)
DSS	Department of Social Services (County)
DVA	Division of Veterans Affairs (NYS)
DYCD	Department of Youth and Community Development (NYC)

Lexicon of Frequently Used Terms, continued

E

EITC	Earned Income Tax Credit
EOA	Economic Opportunity Act (of 1964)
E-ROMA	Excellence in Results Oriented Management Accountability (NYS DOS-DCS)
ESDC	Empire State Development Corporation
EZ	Empowerment Zones (US)

F

FAA	Federal Assistance Award
FBO	Faith-Based Organization
FEMA	Federal Emergency Management Agency
FFY	Federal Fiscal Year
FGP	Foster Grandparent Program
FDC	Family Development Credential
FDANYS	Family Development Association of NYS
FSS	Family Self-Sufficiency

G

GAO	Government Accountability Office
GCAP	Grantee Comprehensive Assessment Protocol
GED	General Education Diploma
GOER	Governor's Office of Employee Relations (NYS)
GPRA	Government Performance and Results Act (of 1993)
GRA	Grantee Review & Assessment (NYS DOS-DCS)
GSCR	Grantee Services Contact Report (NYS DOS-DCS)

H-I

HANNYS	Hunger Action Network of New York State
HEAP	Home Energy Assistance Program (Also LIHEAP)
HHAP	Homeless Housing Assistance Program (NYS)
HIPA	Health Information Protection Act
HPNAP	Hunger Prevention & Nutrition Assistance Program (Formerly SNAP)
HUD	Housing and Urban Development, Department of (US)
IDA	Industrial Development Agency or Individual Development Accounts
IMP	Individual Monitoring Plan (NYS DOS-DCS)
IM	Information Memorandum
IRS	Internal Revenue Service (US)
IT	Information Technology

J-L-M

JOBS	Job Opportunities and Basic Skills (Program)
JOLI	Job Opportunities for Low-Income Individuals (Program)
LIHEAP	Low-Income Home Energy Assistance Program (Also HEAP)
LIFE	Low-income Forum on Energy (NYS)
LVA	Literacy Volunteers of America
MATF	Monitoring & Assessment Task Force (US) (OCS)
MOU	Memorandum of Understanding

Lexicon of Frequently Used Terms, continued

N

NAB	Neighborhood Advisory Board
NASCSP	National Association for State Community Services Programs (NYS)
NCSTA	National and Community Services Trust Act
NCAF	National Community Action Foundation
NDA	Neighborhood Development Area (NYC)
NGA	Notice of Grant Award or National Governors Association
NICQA	Northeast Institute for Quality Community Action
NOEP	Nutrition Outreach and Education Program
NOFA	Notice of Funding Availability
NPI	National Performance Indicators
NYCRR	New York Code of Rules and Regulations
NYSCAA	New York State Community Action Association, Inc.
NYSERDA	New York State Energy Research and Development Authority

O

OASAS	Office of Alcoholism and Substance Abuse Services (NYS)
OBRA	Omnibus Budget Reconciliation Act
OCS	Office of Community Services (US) (DHHS)
OFCS	Office of Family & Children's Services (NYS)
OFPC	Office of Fire Prevention and Control (NYSDOS)
OGS	Office of General Services (NYS)
OMB	Office of Management and Budget (US)
OMH	Office of Mental Health (NYS)
OMRDD	Office of Mental Retardation & Developmental Disabilities (NYS)
OPDV	Office for the Prevention of Domestic Violence (NYS)
OSC	Office of State Comptroller (NYS)
OTDA	Office of Temporary and Disability Assistance (NYS)

P

PA	Public Assistance
PART	Program Assessment & Rating Tool (OMB)
PL	Public Law
PONSI	Programs on Non-collegiate Sponsored Instruction
PPR	Periodic Program Report (NYS DOS-DCS)
PRISM	Program Review Instrument for System Monitoring – Head Start
PSC	Public Service Commission (NYS)

R

RDA	Rural Development Administration (US) (Formerly Federal Housing Administration)
RFA	Request for Applications
RFP	Request for Proposals
RHY	Runaway and Homeless Youth (Program)
ROMA	Results-Oriented Management & Accountability
RRAP	Rural Rental Assistance Program (NYS)
RSVP	Retired Senior Volunteer Program

Lexicon of Frequently Used Terms, continued
S

SAPA	State Administrative Procedure Act (NYS)
SAT	Scholastic Assessment Test
SED	State Education Department (NYS)
SEMO	State Emergency Management Office (NYS)
SBA	Small Business Administration (US)
SFSP	Summer Food Service Program
SNAP	Supplemental Nutrition Assistance Program (Now HPNAP)
SOFA	State Office for the Aging (NYS)
SSI	Supplemental Security Income
SSTA	Special State Technical Assistance
SYEP	Summer Youth Employment Program

T-U

TASA	Teen Age Services Act
TANF	Temporary Assistance for Needy Families
TCE	Tax Counseling for the Elderly
UDC	Urban Development Corporation (NYS)
UFS	Unaudited Financial Statement
USC	United States Code
USDA	United States Department of Agriculture

V

VESID	Vocational and Educational Services for Individuals with Disabilities (NYS)
VISTA	Volunteers in Service to America
VITA	Voluntary Income Tax Assistance (Program) (US)

W

WAP	Weatherization Assistance Program (NYS DHCR)
WIA	Workforce Investment Act (NYS)
WIB	Workforce Investment Board
WIC	Program for Women, Infants, and Children (Program)
WIG	Women in Government (Mentoring Program)