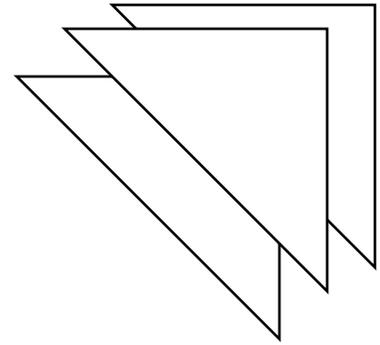


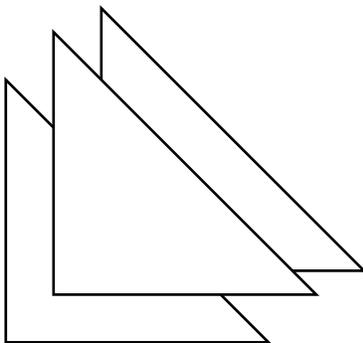
State of New York
Department of State



Community Services Block Grant
Management Plan
Federal Fiscal Years 2008 – 2009

**Governor
Eliot Spitzer**

**Secretary of State
Lorraine Cortés-Vázquez**



Evelyn Harris, Director
Division of Community Services



STATE OF NEW YORK

ELIOT SPITZER
GOVERNOR

May 18, 2007

Ms. Josephine Bias Robinson
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 Ms. Robinson:

In accordance with the federal Community Services Block Act, (*42 U. S. C. 9901 et seq.*) §576 (a)(1), as amended, the State of New York is desiring 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 will be responsible for the development and implementation of the CSBG Management Plan and Application; providing the public an opportunity to review the Plan; and, in coordination with the New York State Legislature, hold the required legislative hearing. 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 Department of Health and Human Services, Office of Community Services by March 31 each year.

This Management Plan for federal fiscal years 2008-2009 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,

A handwritten signature in black ink, appearing to read "Eliot Spitzer", written over a white background.

ELIOT SPITZER

STATE AND TRIBAL COMMUNITY SERVICE BLOCK GRANT ADMINISTRATORS
PLEASE COMPLETE THIS FORM AND RETURN IT TO:

Ms. Sara Lee
DHHS/ACF/OCS/DSA/CSBG Branch
370 L'Enfant Promenade, S.W.
5th Floor, West Wing
Washington, D.C. 20447

COMMUNITY SERVICES BLOCK GRANT PROGRAM

New York State

State

New York State Department of State – Division of Community Services

Indian Tribe or State Organization

NAME OF OFFICIAL TO RECEIVE CSBG GRANT AWARD:

Evelyn Harris, Director

(Name and Title)

New York State Department of State – Division of Community Services

(Indian Tribe/State Agency)

41 State Street, Suite 1100, Albany, New York 12231

(City/State/Zip Code)

Telephone: 518-474-5741 Fax: 518-486-4663

(Area Code, Telephone and Fax Numbers)

CONTACT PERSON FOR CSBG ISSUES:

Evelyn Harris, Director, Division of Community Services

(Name and Official Title)

New York State Department of State – Division of Community Services

(Indian Tribe/State Agency)

41 State Street, Suite 1100

(Mailing Address)

Albany, NY 12231

(City/State/Zip Code)

Telephone: 518-474-5741 Fax: 518-486-4663 Email: evelyn.harris@dos.state.ny.us

(Area Code, Telephone, Fax Number, email address)

CONTACT PERSON – AUDIT ISSUES:

George Lupe, Supervisor of Contract Administration, 518-486-3905

(Name, Title & Telephone Number)

EIN Number: 14-6013200

Date: July 30, 2007

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.

Judith E. Kenny
Signature Judith E. Kenny

DOS Director of Administration
and Management
Title

NYS Department of State
Organization

5/22/07
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(e) 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;

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS (CONTINUED)

- (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)

41 State Street, Albany, New York 12231; 123 William Street, New York, NY 10038; 333 East Washington Street, Room 504 Syracuse, NY 13202; 65 Court Street, Buffalo, NY 14202

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

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

Judith E. Kenny
Signature Judith E. Kenny
**DOS Director of Administration
and Management**
Title
NYS Department of State
Organization
5/22/07
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 (CONTINUED)**

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
DOS Director of Administration
and Management

Title

NYS Department of State
Organization

5/22/07
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. Kenay
Signature Judith E. Kenay
DOS Director of Administration
Title and Management
NYS Department of State
Organization
5/22/07
Date

CSBG MANAGEMENT PLAN

Federal Fiscal Years 2008 – 2009

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CSBG MANAGEMENT PLAN

Division of Community Services

<p>Mission</p> <p>The mission of the Division of Community Services is to work in partnership with the community services network, Federal, State and local governments and community-based organizations to effectively carry out the purposes, goals and assurances of the Community Services Block Grant.</p>	<p>Vision</p> <p>The vision of the Division of Community Services is 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.</p>
<p>Values</p> <p>The following ethical and moral values and principals guide program administration:</p> <ul style="list-style-type: none"> ◆ Respect all persons, treating everyone with fairness, honesty and trust. ◆ Speak and listen with respect. ◆ Serve our customers in the most effective way, with the least burden. ◆ Promote and develop individual and collective ability to attain the highest degree of personal and professional mastery. ◆ Recognize, respect and honor human diversity. ◆ Preserve the dignity of our customers. ◆ Encourage teamwork, while promoting creativity and innovations. ◆ Uphold confidentiality and human rights. ◆ Assess program effectiveness and institute continuous improvement. 	

The CSBG program was created to ameliorate the causes of poverty in communities. Through a network of 56 CSBG grantees, a range of services is provided to meet the needs of low-income New Yorkers in all of New York's 62 counties. Services are determined through local assessments of customers, the community, and the grantee to determine needs to be addressed and resources available. DOS-DCS provides direction and support to local agencies to ensure that comprehensive services are provided as needed.

As the CSBG administering agency, 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.

CSBG MANAGEMENT PLAN

Executive Summary**Designation of Lead Agency**

The New York State Department of State (DOS) is designated by the New York State Legislature and the Governor as the lead agency for administration of the Community Services Block Grant (CSBG) program, the Community Food and Nutrition Program and related programs authorized under *42 U.S.C. 9901, et seq., as amended*.

The Division of Community Services (DCS) within DOS, under leadership of the Secretary of State, has overall administrative responsibilities for CSBG. Fiscal controls, fund accounting, audit and fiscal monitoring are the responsibility of the Contract Administration Unit (CAU) within the DOS Bureau of Fiscal Management.

CSBG Advisory Council

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. In 1997, *Part 701* was added to *Title 19 of the New York Code of Rules and Regulations (NYCRR)* through adoption of a new rule pursuant to provisions of the State Administrative Procedure Act (SAPA). *Part 701* recognizes the existing CSBG Advisory Council in DOS, 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.

[A list of CSBG Advisory Council Members and Representatives can be found in Appendix A.]

Federal Statutory Purposes and Goals

PL 105-285-CSBG Act of 1998 (42 U.S.C. 9901, et seq., as amended)

The programs, services, and activities funded or supported by CSBG will be carried out in a manner that supports the purposes and goals as set forth below.

The purposes of this subtitle are —

- (1) *to provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of the Social Security Act (42 U.S.C. 601, et seq., as amended)); and*

CSBG MANAGEMENT PLAN

Compliance with Federal Assurances

Assurance 1 – Program Purposes

42 U.S.C. 9901, et seq., §676(b)(1)(A)(i-vii)(B)(i-ii)C, as amended

- (1) *an assurance that 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 farm workers, and elderly low-income individuals and families, and a description of how such activities will enable families and individuals —*
- (i) *to 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) *to secure and retain meaningful **employment**;*
 - (iii) *to attain an adequate **education**, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;*
 - (iv) *to make **better use of** available **income**;*
 - (v) *to obtain and maintain **adequate housing** and a suitable living environment;*
 - (vi) *to obtain **emergency assistance** through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
 - (vii) *to achieve **greater participation** in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –*
 - (I) *document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and*
 - (II) *strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;*
- (B) *to address the needs of youth in low-income communities through **youth development** programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as –*
- (i) *programs for the establishment of violence free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and*
 - (ii) *after-school child care programs; and*
- (C) *to make more **effective use of**, and to **coordinate** with, other programs related to the purposes of this subtitle (including State welfare reform efforts);*

Compliance – Assurance 1

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. Programs, services, and activities to be conducted by grantees are specified on pages 38 - 47.

CSBG MANAGEMENT PLAN

Compliance with Other Federal Statutory Requirements**Grants to Eligible Entities and Other Organizations**

In accordance with 42 U.S.C. 9901, et seq., §675C (a)(1):

(a) Grants to Eligible Entities and Other Organizations.—

(1) In general--Not less than 90% of the funds made available to a State under section 675A or 675B shall be used by the State to make grants for the purposes described in section 672 to eligible entities.

New York State will make available at least 94% of its annual allocation of CSBG funds to eligible entities and .50% to Indian Tribes and Tribal organizations. These organizations are the 56 CSBG grantees or contractors. The State CSBG statute, NYS Executive Law Article 6-D, requires CSBG funds to be distributed subsequent to contract. State law also requires each grantee to provide a 25% local share match. 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. Upon receipt of notice of grant award confirming the annual allocation to New York State, contracts will be amended to reflect the actual allocation.

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 for 2006-2010. Grantees are required to submit budget and work plan amendments to reflect the actual allocation for each year.

Fiscal Controls, Audits and Inspection

42 U.S.C. 9901, et seq., §678D, as amended

Fund accounting procedures are established by 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.

CSBG MANAGEMENT PLAN

««««« Compliance with Other Federal Statutory Requirements »»»»»»**Fiscal Controls, Audits and Inspection (continued)**

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, Section 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.*

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 2006. There were no findings.

CSBG MANAGEMENT PLAN

Description of the Service Area

New York State – Facts in Brief (Census Data)

Facts

Statehood	July 26, 1788
Capital	Albany (since 1797)
Major Metropolitan Centers	New York City, Buffalo, Yonkers, Syracuse, Rochester
Land Area, Topography	<ul style="list-style-type: none"> ▪ 62 counties, 62 cities, 553 villages, and 932 towns ▪ Area: 54,471 square miles (including land and water) ▪ Over 7,240,000 square miles of inland waterways including: Hudson River, Mohawk River, and the 800-mile Barge Canal system ▪ Major Lakes: Ontario, Erie, Champlain ▪ Mountains: Adirondacks and Catskills ▪ Forests/preserves: Adirondack Park – 9,375 square miles of wild habitat, waterways, forest preserve, and mountains; highest point - Mt. Marcy at over 5,000 feet.
New York City (NYC)	321 square miles, composed of five counties (boroughs); includes the port of New York City, a major national seaport.
Climate	In general, New York experiences warm summers and cold winters. Average mean temperature range is 40°F in the Adirondacks to 55°F in New York City. Monthly average temperatures range from high 85.3°F to low -11.9°F. Highest recorded temperature was 108°F, lowest was minus 52°F. Mean annual precipitation range: 35-45 inches in most parts of the State, relatively evenly distributed over the course of a year.

Population

Population	19,306,183 (2006 estimate) [down from previous year – 19,315,721 (2005 estimate)]
NYC Population	8,213,839 (2005 estimate)
Households (Census)	7,114,431 occupied housing units 2.62 average household size 4,615,803 family households 3.28 average family size
Population Density (Census)	Highest: Kings, Queens, New York, Suffolk, Nassau, Bronx, Erie, Westchester, Monroe, Onondaga Lowest: Hamilton, Schuyler, Yates, Lewis, Schoharie, Essex, Wyoming, Orleans, Seneca

CSBG MANAGEMENT PLAN

Characteristics of the Population Served

Information on characteristics of the population was reported by grantees in the FFY 2006 Annual Program Reports. The overall number of persons who reported characteristics increased over the previous year.

Table 1: Number of Persons/Families (unduplicated)

A. Total number of persons about whom one or more characteristics were obtained.	423,303
B. Total number of persons about whom NO characteristics were obtained.	203,374
C. Total number of families about whom one or more characteristics were obtained.	199,365
D. Total number of families about whom NO characteristics were obtained.	95,922

The total reported in this chart is the total unduplicated number of persons about whom one or more characteristics were obtained. While the numbers of men v. numbers of women varies annually, the percentage appears to remain similar each year, within a $\pm 2\%$ variance.

Table 2: Gender (unduplicated)

Male	179,013	42.3%
Female	244,290	57.7%
TOTAL	423,303	

According to the reports filed by grantees, more women than men access services.

Table 3: Ethnicity/Race

Categories	Number of Persons
Hispanic or Latin	61,058
Not Hispanic or Latin	267,374
African American	72,386
Asian	8,120
Native American	4,553
White	217,771
Other	39,157
Multi (2 or more of the above)	10,952

Total number of persons reporting ethnicity is 328,432.

This is the first year that the category ‘multi-ethnic’ has been included. It is not possible to compare these statistics with previous years.

Table 4: Age

Ages	Number of Persons	Percent
0 - 5	67,542	16
6 - 11	40,608	10
12 - 17	47,686	11
18 - 23	41,986	10
24 - 44	117,123	28
45 - 54	49,441	12
55 - 69	32,593	8
70+	26,324	5

Total number of persons (unduplicated) about whom this characteristic was obtained 423,303

The population served is divided evenly among children, youth and adults. This table includes 100% of the total unduplicated number of persons served. The number of persons reporting age equaled the total number of persons reporting one or more characteristics.

CSBG MANAGEMENT PLAN

«««««««««« Characteristics of the Population Served »»»»»»»»»»»»

The number of families reporting incomes of up to 50% of the poverty level rose to more than one-third of those reporting. In addition, the total number of those with incomes between 51% and 100% is greater than the number of families listed as up to 50% of the poverty level. 71% of those reporting income had an income of under 100% of the poverty level.

Guideline	Number of Families	Percent
Up to 50%	41,611	33.5
51-75%	23,242	18.7
76-100%	23,593	19.0
101-125%	13,110	10.5
126-150%	8,941	7.2
151+	13,823	11.1

Total # of persons (unduplicated) about whom this characteristic was obtained 124,320



It is not possible to obtain unduplicated counts in individual categories, since sources for income often overlap. Grantees obtained characteristics from more than 70% of families reporting; however, it is evident that the largest group are employed. Those on fixed incomes: SSI, Social Security, Pensions comprise nearly as many as those who cited employment as their sources of income. About 14% of those who reported in this category cited 'no income'.

Sources of Family Income	Number of Families [duplicated]
No Income	20,952
TANF	17,377
SSI	22,046
Social Security	21,664
Pension	5,190
General Assistance	7,310
Unemployment Insurance	6,496
Employment + Other Sources	21,619
Employment Only	51,362
Other	16,733

Unduplicated # of families reporting one or more sources of income 142,844

CSBG MANAGEMENT PLAN

Planned Use of CSBG Funds

The distribution of funds is based on the anticipation that the funding level for the program will remain at the 2007 level. Annual adjustments will be made as necessary.

Annual Distribution of CSBG Funds for 2008

Categories	Amount (percent)
Eligible Entities (including New York City)	\$51,587,750 (94.77%)
State Administration	\$2,573,047 (4.73%)
Indian Tribes and Tribal Organizations	\$274,404 (.50%)
TOTAL ANTICIPATED FUNDS FOR 2008	\$54,435,201 (100%)
Planned Use of 2007 Unexpended State Administration Funds	
New York State Community Action Association (NYSCAA)*	\$335,000
Disaster Relief	\$50,000
Community Action Angels	\$30,000
TOTAL	\$415,000

This table depicts the planned annual allocation of total funds for New York State.

Eligible Entities: Funds will be allocated to existing eligible entities based on the same proportion of funds received in the previous year. Eligible entities include agencies designated prior to 1981, the migrant and seasonal farmworker organization, and agencies designated in accordance with the CSBG statute. Funding to newly designated entities will be determined at the time of designation. Funding to newly designated entities will not exceed the amount received by minimum-funded agencies.

State Administration: Not more than 5% of the annual allocation for each year will be used for State program administration. Funds not expended in one fiscal year will be carried forward for use by the State in the subsequent year. This may include grantee professional development, electronic data management, and specialized training and technical assistance to grantees.

Indian Tribes and Tribal Organizations: Current State legislation requires an allocation of .50% for use by Indian Tribes and Tribal Organizations. The amount available will be distributed equally among all agencies.

*In response to a request made at the legislative public hearing, funding to NYSCAA for Data Management and Information Technology will be increased to \$150,000. The increase will be dependent upon an appropriation of CSBG funds at a level higher than \$55 million.

CSBG MANAGEMENT PLAN

CSBG National Goals and National Performance Indicators

CSBG funds will be used in accordance with Federal and State statutes, OCS Information Memoranda, CSBG contract, and Management Plan. Grantees submitted information describing the wide range of services and activities to be implemented over the next two years. These will be monitored and periodic progress reports will be submitted. At the end of each Federal Fiscal Year, grantees will be required to submit comprehensive annual reports documenting the planned versus actual expenditures of funds for the deliver 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 obtained an increase in employment income.
- C. Achieved “living wage” employment and 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 pre-employment skills/competencies required for employment and received training program certificate or diploma.
- 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, in order to acquire or maintain employment.
- E. Obtained care for child or other dependant in order to acquire or maintain employment.
- F. Obtained access to reliable transportation and/or driver’s license in order to acquire or maintain employment.
- G. Obtained health care services for themselves or a family member in support of employment stability.
- H. Obtained safe and affordable housing in support of employment stability.
- I. Obtained food assistance in support of employment stability.

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. Enhancement –
 - 1. Number and percent of participants in tax preparation programs who identify any type of Federal or State tax credit and the aggregated dollar amount of credits
 - 2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments.
 - 3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.
- B. Utilization –
 - 1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days.
 - 2. Number and percent opening an Individual Development Account (IDA) or other savings account and increased savings, and the aggregated amount of savings.
 - 3. Of participants in a community action asset development program (IDA and others):
 - a. Number and percent capitalizing a small business due to accumulated savings.
 - b. Number and percent pursuing post-secondary education due to savings.
- c. Number and percent purchasing a home due to accumulated savings.

CSBG MANAGEMENT PLAN

««««« CSBG National Goals and National Performance Indicators »»»»»

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

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:

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 - 1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days.
 - 2. Number and percent opening an Individual Development Account (IDA) or other savings account and increased savings, and the aggregated amount of savings.
 - 3. Of participants in a community action asset development program (IDA and others):
 - a. Number and percent capitalizing a small business due to accumulated savings.
 - b. Number and percent pursuing post-secondary education due to savings.
 - c. Number and percent purchasing a home due to 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 preservation of 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:

	<u>Number of Projects/Initiatives</u>	<u>Number of Opportunities</u>
A. Accessible “living wage” jobs created or retained in the community.	_____	_____
B. Safe and affordable housing units created in the community.	_____	_____
C. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by community action activity or advocacy.	_____	_____
D. Accessible and affordable health care services/facilities for low-income people created or maintained.	_____	_____
E. Accessible safe and affordable childcare or child development placement opportunities for low-income families created or maintained.	_____	_____
F. Accessible “before” school and “after” school program placement opportunities for low-income families created or maintained.	_____	_____
G. Accessible new, preserved, or expanded transportation resources available to low-income people, including public or private transportation.	_____	_____
H. Accessible preserved or increased educational and training Placement opportunities for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post-secondary education.	_____	_____

CSBG MANAGEMENT PLAN

««««« CSBG National Goals and National Performance Indicators »»»»»

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

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; and
- E. Increase or preservation of neighborhood quality-of-life resources.

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

National Performance Indicator 3.1 – Civic Investment

The number of volunteer hours donated to Community Action.

National Performance Indicator 3.2 – Community Empowerment through Maximum Feasible Participation

The number of 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 homes 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 Service 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, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

Goal 5: Agencies Increase Their Capacity to Achieve Results

National Performance Indicator 5.1 – Broadening the Resource Base

The number of dollars mobilized by community action, including amounts and percentages from:

- A. Community Services Block Grant (CSBG)
- B. Non-CSBG Federal Programs
- C. State Programs
- D. Local Public Funding
- E. Private Sources (including foundations and individual contributors, goods and services donated)
- F. Value of volunteer time

CSBG MANAGEMENT PLAN

««««« CSBG National Goals and National Performance Indicators »»»»»

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

National Performance Indicator 6.1 – Independent Living

The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:

- A. Senior Citizens; and
- B. Individuals with Disabilities

National Performance Indicator 6.2 – Emergency Assistance

The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:

- A. Food
- B. Emergency Payments to Vendors, including Fuel and Energy Bills
- C. Temporary Shelter
- D. Emergency Medical Care
- E. Protection from Violence
- F. Legal Assistance
- G. Transportation
- H. Disaster Relief

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 that achieve program goals, as measured by one or more of the following:

- A. Infants and Children –
 - 1. Infants and children obtain age appropriate immunizations, medical and dental care.
 - 2. Infant and child health and physical development are improved as a result of adequate nutrition.
 - 3. Children participate in pre-school activities to develop school readiness skills.
 - 4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade.
- B. Youth –
 - 1. Youth improve physical health and development.
 - 2. Youth improve social/emotional development.
 - 3. Youth avoid risk-taking behavior for a defined period of time.
 - 4. Youth have reduced involvement with criminal justice system.
 - 5. Youth increase academic, athletic or social skills for school success by participating in before or after school programs.
- C. Parents and Other Adults –
 - 1. Parents and other adults learn and exhibit improved parenting skills.
 - 2. Parents and other adults learn and exhibit improved family functioning skills.

CSBG MANAGEMENT PLAN

Programs, Services and Activities

Assurance 1 – (1)(A)(i) – Self-Sufficiency	Goals 1 and 6
<i>(i) to 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);</i>	

Grantees will conduct services and activities, grouped by the following programs, with primary focus on (a) Family Development; and (b) Health, Mental Health, and Health Emergencies.

<i>a) Family Development and Case Management (Goal 1)</i>	
Program Areas	Services and Activities
Child Care: Learning Centers, Resource & Referral Domestic Violence Intervention/Prevention Empowerment Programs Family & Community Development Family Resource/Support Centers Family Self-Sufficiency Program (HUD) Independent Living Skills Self-Help Groups (i.e: 'Anonymous', 12-step) Transportation Programs Visitation Supervisors Welfare to Work Wheels to Work	Advocacy Case Management Counseling Family Development, Goal Setting Foreign Language Translation In-Home Care: For elderly; Referrals, Follow-up Information, Outreach, Referral Self-Help Clearinghouses

<i>b) Health, Mental Health, Health Emergencies (Goals 1, 6)</i>	
Program Areas	Services and Activities
Abstinence Programs Abuse Prevention (Sexual): Children, Youth, Elders Alcohol-Substance Abuse Prevention/Intervention Child Health/Family Health Plus (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 Obstetric/Maternal Services (Nursing) Prenatal Care Rape Crisis/Intervention/Prevention Tobacco Use Prevention Visiting Nurses	Advocacy Coalitions/Partnerships Case Management Community Education (Parenting, Health, Prevention) Family Counseling Health Screening Referrals HIV/AIDS Outreach Information, Outreach, Referral Medical/Dental Screening Nursing Home Ombudsman Transportation

CSBG MANAGEMENT PLAN

«««««««««« Programs, Services and Activities »»»»»»»»»»»»

Assurance 1 – (C) – Coordination and Effective Use of Other Programs Goals 3 and 4
(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts);

Programs, services, and activities listed here, are the same as those listed under Assurance 1 (A) (vii).

Partnerships with Law Enforcement	
Adult Protective Task Force (Adult Abuse) Community Services Crime Victims County Jail Advisory Board County Probation Departments Development of Protocols/Policies for Dealing with Domestic Violence District Attorney’s Offices Diversion Services Programs	Ex-offender Multi-purpose Projects Family Court System State Police Alternative Sentencing Sites Sheriff’s Departments’: Improving Community Safety Shoplifter Prevention Classes
Partnerships with Public/Private Groups, Organizations	
AIDS Task Force, Consortia Economic Development Partnerships Case Conferencing-Other Providers Child Care Connections Community Crisis Network Community Dialogue on Poverty Communication: Community Organizations, Outreach, Newsletters (Local) Departments of Social Services Economic Development Zones-Enterprise Communities Family Resource/Support Centers	Immigrant/Refugee Assistance Integrated Community/County Planning Interagency Councils Legal Advocacy Neighborhood Centers Public Schools Rural Law Center of New York Safe Neighborhoods Programs Town Meetings United Way Workforce Investment Boards
Partnerships with Housing Authority(s)	
Block Associations, Clubs Housing Action Councils Family Resource/Support Centers Head Start/Day Care Locations	Housing Consortia Neighborhood Watch Tenant Associations

CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

Map of New York State



CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

CSBG Grantees/County Listing

Grantee	County
Albany County Opportunity, Inc. 333 Sheridan Avenue Albany, NY 12206 Telephone: 518-463-3175 Facsimile: 518-463-8185 Website: www.acoi.com	Albany
Allegany County Community Opportunities and Rural Development, Inc. 84 Schuyler Street, PO Box 573 Belmont, NY 14813-0573 Telephone: 585-268-7605 Facsimile: 585-268-7241 Website: www.accordcorp.org	Allegany
Opportunities for Broome, Inc. 56-58 Whitney Avenue Binghamton, NY 13901-2538 Telephone: 607-723-6493 Facsimile: 607-723-6497	Broome
Cattaraugus Community Action, Inc. 25 Jefferson Street, PO Box 308 Salamanca, NY 14779-0308 Telephone: 716-945-1041 Facsimile: 716-945-1301 Ext. 111 Website: www.ccaction.org	Cattaraugus
Cayuga/Seneca Community Action Agency, Inc. 65 State Street Auburn, NY 13021-2699 Telephone: 315-255-1703 Facsimile: 315-252-3397 Website: www.cayuganet.com/cscaa	Cayuga/Seneca
Chautauqua Opportunities, Inc. 17 West Courtney Street Dunkirk, NY 14048 Telephone: 716-366-3333 Facsimile: 716-366-7366 Website: www.chautauquaopportunities.com	Chautauqua
Economic Opportunity Program, Inc. of Chemung County 650 Baldwin Street Elmira, NY 14901 Telephone: 607-734-6174 Facsimile: 607-733-8126 Website: www.cseop.org	Chemung/Schuyler
Opportunities for Chenango, Inc. 44 West Main Street, PO Box 470 Norwich, NY 13815-0470 Telephone: 607-334-7114 Facsimile: 607-336-6958 Website: www.ofcinc.org	Chenango
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc. 54 Margaret Street Plattsburgh, NY 12901 Telephone: 518-561-6310 Facsimile: 518-562-2947 Website: www.jceo.org	Clinton/Franklin
Columbia Opportunities, Inc. 540 Columbia Street Hudson, NY 12534 Telephone: 518-828-4611 Facsimile: 518-828-4614	Columbia
Cortland County Community Action Program, Inc. 32 North Main Street Cortland, NY 13045-2698 Telephone: 607-753-6781 Facsimile: 607-758-3620 Website: www.capco.org	Cortland

CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

CSBG Grantees/County Listing

Grantee		County
Delaware Opportunities, Inc. 35430 State Highway 10 Hamden, NY 13782-1112	Telephone: 607-746-1600 Facsimile: 607-746-1605 Website: www.delawareopportunities.org	Delaware
Dutchess County Community Action Agency, Inc. 84 Cannon Street Poughkeepsie, NY 12601-3304	Telephone: 845-452-5104 Facsimile: 800-882-9625 Website: www.dccaa.org	Dutchess
Community Action Organization of Erie County, Inc. 70 Harvard Place Buffalo, NY 14209	Telephone: 716-881-5150 Facsimile: 716-881-2927 Website: www.caoec.org	Erie
Adirondack Community Action Programs, Inc. 7572 Court Street, Suite 2, PO Box 848 Elizabethtown, NY 12932	Telephone: 518-873-3207 Facsimile: 518-873-6845	Essex
Community Action Agency of Franklin County, Inc. 343 West Main Street Malone, NY 12953	Telephone: 518-483-1261 Facsimile: 518-483-8599 Website: www.comlinkscaa.org	Franklin
Fulmont Community Action Agency, Inc. County Annex, 20 Park Street, PO Box 835 Fonda, NY 12068-9999	Telephone: 518-853-3011 Facsimile: 518-853-3855 Website: www.fulmont.org	Fulton/Montgomery
Community Action of Greene County, Inc. 53 S. Jefferson Avenue Catskill, NY 12414	Telephone: 518-943-9205 Facsimile: 518-943-0343 Website: www.cagcny.org	Greene
Community Action Planning Council of Jefferson County, Inc. 518 Davidson Street Watertown, NY 13601-0899	Telephone: 315-782-4900 Facsimile: 318-788-8251 Website: www.capcjc.org	Jefferson
Lewis County Opportunities, Inc. 8265 State Route 812 Lowville, NY 13367	Telephone: 315-376-8202 Facsimile: 315-376-8451 Website: www.lewiscountyopportunities.com	Lewis
Livingston County Planning Department Livingston County Government Center, 6 Court Street, Room 305 Geneseo, NY 14454-1043	Telephone: 585-243-7550 Facsimile: 585-243-7126 Website: www.co.livingston.state.ny.us	Livingston
Community Action Program for Madison County, Inc. PO Box 249, 3 East Main Street Morrisville, NY 13408-0249	Telephone: 315-684-3144 Facsimile: 315-684-9650 Website: www.capmadco.org	Madison

CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

CSBG Grantees/County Listing

Grantee	County	
Action for a Better Community, Inc. 550 East Main Street Rochester, NY 14604-2528	Telephone: 585-325-5116 Facsimile: 585-325-9108 Website: www.abcinfo.org	Monroe/Ontario
Economic Opportunity Commission of Nassau County, Inc. 134 Jackson Street Hempstead, NY 11550-2413	Telephone: 516-292-9710 Facsimile: 516-292-3176 Website: www.eoc-nassau.org	Nassau
Department of Youth and Community Development 156 William Street, 6 th Floor New York, NY 10038-2609	Telephone: 212-442-6006 Facsimile: 212-442-5998 Website: www.nyc.gov	New York City
Niagara Community Action Program, Inc. 1521 Main Street Niagara Falls, NY 14305-2521	Telephone: 716-285-9681 Facsimile: 716-285-9693 Website: www.niagaracap.org	Niagara
Mohawk Valley Community Action Agency, Inc. 207 North James Street Rome, NY 13440-5886	Telephone: 315-339-5640 Facsimile: 315-339-2981 Website: www.mvcaa.com	Oneida/Herkimer
People's Equal Action and Community Effort, Inc. 217 South Salina Street, Suite 200 Syracuse, NY 13202-1370	Telephone: 315-470-3300 Facsimile: 315-472-8939 Website: www.peace-caa.org	Onondaga
Newburgh Community Action Committee, Inc. 123 Grand Street, 3 rd Floor, PO Box 1477 Newburgh, NY 12550	Telephone: 845-562-0100 Facsimile: 845-562-0343 Website: www.ncacnewburgh.org	Eastern Orange
Regional Economic Community Action Program, Inc. 40 Smith Street, PO Box 886 Middletown, NY 10940-3711	Telephone: 845-342-3978 Facsimile: 845-344-2922 Website: wee.recap.org	Western Orange
Orleans Community Action Committee, Inc. 409 East State Street Albion, NY 14411-1123	Telephone: 585-589-5605 Facsimile: 585-589-9015 Website: www.ocacinc.org	Orleans/Genesee
Oswego County Opportunities, Inc. 239 Oneida Street Fulton, NY 13069-1288	Telephone: 315-598-4717 Facsimile: 315-592-7533 Website: www.oco.org	Oswego
Opportunities for Otsego, Inc. 3 West Broadway Oneonta, NY 13820-2552	Telephone: 607-433-8000 Facsimile: 607-433-8013 Website: www.ofoinc.org	Otsego

CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

CSBG Grantees/County Listing

Grantee	County
Commission on Economic Opportunity for the Greater Capital Region, Inc. 2331 Fifth Avenue Troy, NY 12180-2291	Telephone: 518-272-6012 Facsimile: 518-272-0658 Website: www.ceo-cap.org Rensselaer
The Community Action Program of Rockland County, Inc. 176 North Main Street Spring Valley, NY 10977	Telephone: 845-352-4167 Facsimile: 845-352-5084 Rockland
St. Lawrence County Community Development Program, Inc. 1 Commerce Lane Canton, NY 13617-3740	Telephone: 315-386-1102 Facsimile: 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 Facsimile: 315-386-1454 Website: www.saratogaecoc.org Saratoga
Schenectady Community Action Program, Inc. 913 Albany Street Schenectady, NY 12307-1401	Telephone: 518-374-9181 Facsimile: 518-374-9190 Website: www.schenectadycommactionprogram.org Schenectady
Schoharie County Community Action Program Corp. 795 E. Main Street, Suite 5 Cobleskill, NY 12043-1436	Telephone: 518-234-2568 Facsimile: 518-234-3507 Website: www.sccapinc.org Schoharie
Pro Action of Steuben and Yates, Inc. 117 East Steuben Street, Suite 11 Bath, NY 14810-1636	Telephone: 607-776-2125 Facsimile: 607-776-2723 Website: www.proactioninc.com Steuben/Yates
Economic Opportunity Council of Suffolk, Inc. 475 East Main Street, Suite 206 Patchogue, NY 11772	Telephone: 631-289-2124 Facsimile: 631-289-2178 Website: www.eoc-suffolk.com Suffolk
Community Action Commission to Help the Economy, Inc. 63-65 South Main Street Liberty, NY 12754-1808	Telephone: 845-292-5821 Facsimile: 845-292-0724 Ext. 5 Website: www.sullivancountycache.org Sullivan
Tioga Opportunities Program, Inc. Countryside Community Center 9 Sheldon Guile Boulevard Owego, NY 13827-1062	Telephone: 607-687-4222 Facsimile: 607-687-4236 Website: www.tiogaopp.org Tioga
Tompkins Community Action, Inc. 701 Spencer Road Ithaca, NY 14850	Telephone: 607-273-8816 Facsimile: 607-273-3293 Website: www.tcaction.org Tompkins

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Grantee	County
Ulster County Community Action Committee, Inc. 70 Lindsley Avenue Kingston, NY 12401-3316 Telephone: 845-338-8750 Facsimile: 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 Facsimile: 518-793-2910	Warren/Hamilton
Washington County Economic Opportunity Council, Inc. 383 Broadway Fort Edward, NY 12828-1015 Telephone: 518-746-2390 Facsimile: 518-746-2392	Washington
Wayne County Action Program, Inc. 159 Montezuma Street Lyons, NY 14489-1228 Telephone: 315-946-7530 Facsimile: 315-946-7430 Website: www.waynecap.org	Wayne
Westchester Community Opportunity Program, Inc. 2269 Saw Mill River Road, Bldg., #3 Elmsford, NY 10523-3833 Telephone: 914-592-5600 Facsimile: 914-592-0021 Website: www.westcop.org	Putnam/ Westchester
Yonkers Community Action Program, Inc. 164 Ashburton Avenue Yonkers, NY 10701-9999 Telephone: 914-423-5905 Facsimile: 914-423-5938	Westchester (City of Yonkers)
Wyoming County Community Action, Inc. 6470 Route 20A, Suite 1 Perry, NY 14530-9799 Telephone: 585-237-2600 Facsimile: 585-237-2696 Website: www.wccainc.org	Wyoming
Rural Opportunities, Inc. (Migrant-Seasonal Farmworker Organization - Statewide) 400 East Avenue Rochester, NY 14607-1910 Telephone: 585-340-3300 Facsimile: 585-340-3727 Website: www.ruralinc.org	Statewide
New York State Community Action Association, Inc. 2 Charles Boulevard, Suite 2 Guilderland, NY 12084-9570 Telephone: 518-690-0491 Facsimile: 518-690-0498 Website: www.nyscaaonline.org	Statewide
Community Action Angels c/o Wyoming County Community Action, Inc. 6470 Route 20A, Suite 1 Perry, NY 14530-9799 Telephone: 585-237-2600 Facsimile: 585-237-2696 Website: www.wccainc.org/ angelaction.htm	Statewide/ Wyoming

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<i>Indian Tribes and Tribal Organizations</i>	<i>County</i>
Mohawk Indian Housing Corporation PO Box 402 Rooseveltown, NY 13683 Telephone: 518-358-4860 Facsimile: 518-358-4870	St. Lawrence
Poosepatuck Indian Nation PO Box 86 Mastic, NY 11950-0086 Telephone: 631-281-6464 Facsimile: 631-281-2125	Suffolk
Seneca Nation of Indians PO Box 231 Salamanca, NY 14779 Telephone: 716-945-1790 Facsimile: 716-945-6487 Website: http://www.sni.org	Cattaraugus
Shinnecock Indian Reservation PO Box 5006 Southhampton, NY 11969-6143 Telephone: 631-283-6143 Facsimile: 631-287-7153	Suffolk

CSBG MANAGEMENT PLAN

Appendix A: Community Services Network

Division of Community Services – Office Locations

Location	Telephone/Facsimile
Albany (Main Office): 41 State Street, Suite 1100 Albany, New York, 12231	Telephone: 518-474-5741 Facsimile: 518-486-4663
Buffalo Office: 65 Court Street, Room 208 Buffalo, New York 14202	Telephone: 716-847-7106 Facsimile: 716-847-7969
New York City Office: 123 William Street, 20 th Floor New York, NY 10007	Telephone: 212-417-5724 Facsimile: 212-417-4784
Syracuse Office: Hughes State Office Building 333 E. Washington Street, Syracuse, New York 13202	Telephone: 315-426-2126 Facsimile: 315-428-4261
Web Address: www.dos.state.ny.us/dcs	

CSBG – Staffing

Name	Title	Telephone	Function	Office
Harris, Evelyn	Director, Division of Community Services	518-474-5741	CSBG State Administration	Albany
Breidinger, William J.	Senior Program Analyst	315-426-2125	Program Monitoring	Syracuse
Denick, Cynthia	Fiscal Representative	716-847-7951	Fiscal Monitoring	Buffalo
Ferris, Emmett	Program Analyst	518-474-4265	Program Monitoring	Albany
Finn, Conloy	Fiscal Representative	212-417-5668	Fiscal Monitoring	New York
Flowers, Nancy	Program Analyst	518-474-8083	Program Monitoring	Albany
Goldstein, Barbara	Program Analyst	518-486-4664	Administration	Albany
Grace, Robert	Program Analyst	518-473-0084	Administration	Albany
Hamm, Nathan	CSBG Program Counsel	518-473-3358	Legal	Albany
Hand, Katharine	Secretary	518-474-5741	Administration	Albany
Hanna, Frances	Program Analyst	212-417-5723	Program Monitoring	New York
Harlow, William	Clerk	518-408-3352	Administration	Albany
Howard, Craig	Fiscal Representative	518-402-3467	Fiscal Monitoring	Albany
Kovarik, James	Senior Program Analyst	518-473-8693	Program Monitoring	Albany
Lehtonen, Suzanne	Keyboard Specialist	315-426-2126	administration	Syracuse
Luse, Timothy	Fiscal Supervisor	518-473-3487	Fiscal Oversight	Albany
Marchese, Annette	Program Supervisor	716-847-7106	Program Monitoring	Buffalo
Murray, Beatrice	Keyboard Specialist	212-417-5724	Administration	New York
Nieves, Lisa	Program Analyst	518-473-0096	Administration	Albany
Pfohl, M. Nancy	Program Analyst	716-847-7127	Program Monitoring	Buffalo
Purcell, Patricia	Program Supervisor	518-473-4301	Program Monitoring	Albany
Relyea, Debra	Program Analyst	518-473-0093	Administration	Albany
Snead, Linda	Assistant Director	212-417-5716	Program Monitoring	New York
Wright, Patricia	Program Analyst	315-426-2122	Program Monitoring	Syracuse
Wright-Austin, Kathy	Program Analyst	212-417-5721	Program Monitoring	New York

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Appendix A: Community Services Network

CSBG Advisory Council

Officers
Winston Ross , Chairperson Karen Gordon , 1st Vice Chairperson Edie Mesick , 2nd Vice Chairperson Patricia Purcell , Secretary

Members	Representatives
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
Ms. Maureen Dumas 55 Kent Street Albany, NY 12206 Senate Appointee: 11/18/83	None
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	Ms. Sherry Charlebois, Director-Family Development Division CEO for the Greater Capital Region 2328 Fifth Avenue Troy, NY 12180 518-272-6012, Ext. 209
Mr. Robert R. Gregory, Executive Director NYS Association of Counties 111 Pine Street Albany, NY 12207 518-465-1473 Governor Appointee: 12/22/98	
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. Terrence McCauley, Government & Community Relations Representative Metro North Railroad 400 East 71 st Street, Suite 3-F New York, NY 10021 212-570-9016
Mr. John L. Kearse, CEO (deceased) Economic Opportunity Comm. of Nassau County 134 Jackson Street Hempstead, NY 11550 516-292-9710 Assembly Appointee: 11/18/83 & 3/6/97	Ms. Iris A. Johnson, Executive Director Economic Opportunity Comm. of Nassau County 134 Jackson Street Hempstead, NY 11550 516-292-9710
Mr. Gaetan J. LePage, Jr. 131 Fifty-Six Road Averill Park, NY 12018 Governor Appointee: 12/8/97	

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Appendix A: Community Services Network

CSBG Advisory Council

<i>Members</i>	<i>Representatives</i>
Ms. Edie Mesick, Executive Director Nutrition Consortium of NYS 235 Lark Street Albany, NY 12210 518-436-8757, Ext. 15 Assembly Appointee: 3/6/97	
Mr. Carlton Mitchell 217-52 100 th Avenue Queens Village, NY 11429 718-776-0810 Governor Appointee: 9/18/02	None
Mr. Stuart M. Mitchell, Executive Director Rural Opportunities, Inc. 400 East Avenue Rochester, NY 14607 585-340-3368 Assembly Appointee: 11/18/83 & 3/6/97	Ms. Velma Smith, Senior Executive Director Rural Opportunities, Inc. 400 East Avenue Rochester, NY 14607 585-340-3369
Ms. Ann M. Morrone Apartment A15 Hillside House Norwich, NY 13815 Senate Appointee: 1/11/90	None
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	Joe Reich, Advocacy for the Disabled Specialist IV NYS Commission on Quality of Care and Advocacy for Persons with Disabilities 1 Empire State Plaza, Suite 1001 Albany, NY 12223-1150 518-473-4251
Mr. Karl Reutling c/o Lewis County Opportunities, Inc. 8265 State Route 812 Lowville, NY 13367 315-376-8202 Governor Appointee: 11/13/85	Scott Mathys, Chief Executive Officer Lewis County Opportunities, Inc. 8265 State Route 812 Lowville, NY 13367 315-376-8202
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
Ms. Treva Wood (deceased) 25 Sanger Avenue New Hartford, NY 13413 Assembly Appointee: 8/30/84 & 3/6/97	Amy Turner, Executive Director Mohawk Valley Community Action Agency 207 North James Street Rome, NY 13440-5886 315-339-5640

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Appendix B: New York State Legislation**2008 CSBG Statute – Executive Law**

Section 1. Section 159 - i of the executive law, as amended by chapter 78 of the laws of 2006, is amended to read as follows:

§159-i. Distribution of funds. For federal fiscal year two thousand [seven] eight 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 grantees as defined in subdivision one of section one hundred fifty-nine-e of this article. Each such grantee shall receive the same proportion of community services block grant funds as was the proportion of funds received in federal fiscal year nineteen hundred eighty-one by such grantee under the federal community services administration program account numbers 01 and 05 pursuant to section two hundred twenty-one of title II and for migrant and seasonal farm worker organizations pursuant to section two hundred twenty-two of title II of the economic opportunity act of 1964, as amended, as compared to the total amount received by all grantees in the state, under the federal community services administration program account numbers 01 and 05 pursuant to section two hundred twenty-one of title II and for migrant and seasonal farm worker organizations pursuant to section two hundred twenty-two of title II of such act in federal fiscal year nineteen hundred eighty-one.

For federal fiscal year two thousand [seven] eight 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 [seven] eight 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; community action agencies established in federal fiscal year nineteen hundred eighty-three; counties which do not have a community action agency in existence and seek to establish an organization which is consistent with the objectives of an eligible entity; limited purpose agencies which had received funding during federal fiscal year nineteen hundred eighty-one under section two hundred twenty-one, section two hundred twenty-two(a)(4) or section two hundred thirty-two of title II of the economic opportunity act of 1964, as amended; and community based organizations.

§2. This act shall take effect September 30, 2008; provided, however, that the amendments to section 159-i of the executive law made by section one of this act shall not affect the expiration of such section as provided in section 5 of chapter 728 of the laws of 1982, as amended, and section 7 of chapter 710 of the laws of 1983, as amended, and shall be deemed to expire therewith.

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Appendix C: Community Services Block Grant 2007 Administrative Review and Assessment

OVERVIEW

The Community Services Block Grant (CSBG) 2007 Administrative Review and Assessment was conducted in the Spring of 2007 and was designed to assess the New York State, Department of State, Division of Community Services' (DOS/DCS) ability to effectively manage the CSBG program in New York State. The federal Office of Community Services (OCS) has the responsibility for review and assessment of state administration of CSBG and the New York State program was last evaluated in 1987.

Intended to be an interim measure in preparation for federal review, the assessment was conducted by a sub-committee of the CSBG Advisory Council and the New York State Community Action Association (NYSCAA). The sub-committee included grantees and non-grantee individuals with a range of experience with CSBG grantee agencies and DOS.

SUB-COMMITTEE MEMBERS

Carlton Mitchell, Committee Chair
Rabbi Avrohom Hecht
Richard Imprescia
John Eberhard
Winston Ross
Amy Turner
Denise Harlow

The process was reviewed by the CSBG Advisory Council and grantees prior to implementation and utilized several data collection methodologies including on-site interviews with DOS/DCS staff, site visits with grantees, and an online confidential grantee survey. Several questions and interview areas were adapted from a Self-Assessment Tool being developed by the National Association for State Community Services Programs (NASCSPP), the national association representing state CSBG administrators with other questions created by New York State CSBG staff and program counsel.

The results of review were presented to the New York State Legislature at the legislative public hearings being held on June 5, 2007.

OUTCOME: The overall response to the process was positive with interviewers and interviewees expressing their comfort with the process and satisfaction with the content of the conversation. Several grantees expressed thanks for being asked to participate in the process and were pleased to see DOS/DCS proceed through such a process.

The Review Committee reported a high level of familiarity amongst staff with CSBG statutes, rules, and regulations. This familiarity was very strong with long term staff yet still high with newer staff. Staff were able to locate documents, articulate reporting requirements, and discuss grantees with a high degree of familiarity. Program staff was well versed in program oversight, monitoring responsibilities, and it was clear that fiscal and legal staff had a high level of knowledge on CSBG funding rules and reporting requirements.

DOS RESPONSE: The Department of State appreciates the work done by the Community Services Block Grant Advisory Council and the New York State Community Action Association in undertaking the challenge of reviewing and assessing how the CSBG program is administered. The review was thorough and comprehensive. Thanks also to grantees for taking the time to complete the survey and to provide feedback on improvements needed.

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Appendix C: Community Services Block Grant 2007 Administrative Review and Assessment

KEY FINDINGS

- 1) Longevity of DOS/DCS staff provides significant efficiencies for current functioning but increases challenges for future program administration.** A large number of DOS staff working with CSBG grantees have been in their positions for 5, 10, 20 and 25+ years. This longevity allows current oversight to be highly efficient in terms of knowledge of programs, reporting requirements and navigating necessary changes and it has resulted in a high level of dedication to CSBG grantees and programs. The challenge of this longevity will be faced over the next 3-5 years as a significant number of DOS staff are expected to retire during that time period and following. While high monitoring caseloads are maintained currently given the experience of current staff, there is concern that as new staff are brought on, the learning curve will be significant and future monitors may not be able to maintain as large a caseload in the short term. In addition, longevity, as well as the current staffing design, limits the upward mobility of staff looking for advancement. Given this, some program analysts have left for other positions in State government in order to move upward in the State system. Thus internal future leadership development may be curtailed as those looking for advancement must find it outside of the Division of Community Services.

DOS/DCS Response:

Being aware of this issue, the division requested and received a waiver to fill vacant positions in Syracuse and Buffalo. These two staff members are currently in training and will be assigned full responsibilities for monitoring only when they are fully prepared. During the first year of assignment, new staff will continue to be closely supervised and supported. The number of agencies assigned to program analysts range from a low of three to a high of seven and is based on analysts' experience and special skills. The number of agencies assigned to fiscal representatives is high due to the reassignment of one fiscal representative.

Actions to be taken:

Staffing is dependent on availability of federal CSBG funds and the ability of DOS to obtain waivers from the New York State Division of Budget to hire new staff. CSBG funds have been decreasing over the past three years and the limited amount of administrative funds poses a challenge to the effective administration of the program. However, DCS will:

- advocate for the hiring of an additional fiscal representative to ease the burden on current staff to meet the fiscal needs of all grantees;
- review the current assignments for program analysts and will make adjustments as necessary;
- identify staff members planning retirement or seeking promotional opportunities outside the Department;
- work with DOS Bureau of Human Resources Management and New York State Civil Service to develop new exams for Community Services Program Analyst positions; and
- develop a formal training plan for new hires.

- 2) Monitoring consistency needs to be improved.** The level of monitoring varies by staff. Consistency needs to be improved but is challenged by geographic diversity and the longevity of staff. Regular teleconference and in-person communication between program analysts and fiscal reviewers may be beneficial to increase consistency. Again, the longevity issue places some grantees in a long term relationship with monitors who know the programs and agencies as well as the reporting processes very well while newer staff are challenged to learn quickly and are not as familiar with their grantees.

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Appendix C: Community Services Block Grant 2007 Administrative Review and Assessment

DOS/DCS Response:

The placement of staff in regional office presents an ongoing challenge to ensuring consistency in the application of policies and procedures. DCS developed and distributed policies and procedures to guide the monitoring of grantees. These policies are distributed to grantees and are posted on the DOS website. There will always be a degree of variance in monitoring. Every grantee is different and monitoring is designed to meet the specific needs of each grantee. Monitoring will vary based on the size and complexity of the agency and special circumstances, as well as on particular vulnerability of an agency.

Actions to be taken:

- DCS director will spend more time in the regional offices and will increase the use of technology to improve communication.
- There will be periodic reviews of how each staff member is complying with the CSBG Guide to Monitoring.
- There will be regular communications with grantees to verify how monitoring is done.
- On-site visits will be conducted by supervisors to observe monitoring functions.
- Each analyst will be held to the established standard for the submission of the reports.
- Supervisors will provide direction and support for new staff and those not complying with the Guide to Monitoring.

- 3) Training needs of grantees are not fully being met.** DOS/DCS is challenged to provide access to training that meets the range of needs experienced by grantees. While DOS does not provide training directly, grantees are concerned that training offered via the office does not fully meet grantee needs. In addition, the need for consistent board training and fiscal training were specifically noted as was the need for increased use of technology such as video conferencing.

DOS/DCS Response:

DOS contracts with NYSCAA to provide training to grantees. DOS also makes referrals to trainers that best meet the needs of grantees. DOS invested significant resources with NYSCAA and the Council of Community Services to develop and produce a training DVD and manual for grantees' boards of directors. DOS mailed copies to grantees and posted the board training manual on the NYSCAA website. As other training needs were made evident in the past, DOS also purchased and distributed other resource materials to grantees. DOS awarded mini-grants to each agency for staff and board development and technology improvement. In the refunding application for 2008-2009, DOS requested that grantees identify training needs.

Actions to be taken:

DCS will:

- continue to work in partnership with NYSCAA to ensure that training needs are identified by grantees and that they are met in the most effective way possible given available resources;
- collect and compile the information submitted by grantees in the 2008-2009 refunding application and share the list with NYSCAA;
- organize or arrange for training to grantees, this will be dependent upon the availability of additional CSBG funds;
- work with NYSCAA to collect and share best practices and innovations among the network;
- revisit the issue of organizing regional training for grantees board of directors;
- work with NYSCAA and the CSBG Advisory Council to
 - o develop and implement a mentoring program for new executive directors and fiscal officers, and
 - o develop a regional training and technical assistance resource and directory for grantees;
- explore the use of technology to support teleconferencing to provide training to staff and grantees in the regional offices.

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Appendix C: Community Services Block Grant 2007 Administrative Review and Assessment

- 4) **Technical assistance is strong yet has room for improvement.** In-network development and distribution of best practices is an opportunity that DOS should continue to promote and support. Utilizing NYSCAA for such dissemination is an opportunity.

DOS/DCS Response:

Sharing information between grantees is one of the best ways to provide technical assistance. Program analysts and fiscal representatives often consult among each other when assistance is needed or there is a request for good sample documents or procedures. These are shared with grantees. DOS collects information from grantees regarding innovative and successful programs. This information is published annually as an Appendix to the Annual Report to the Governor and the Legislature. The reports are mailed to grantees and are posted on the DOS website.

Actions to be taken:

DCS will continue to work with NYSCAA to collect and disseminate information on best practices.

- 5) **The geographic diversity of the State poses challenges.** It should be noted that the review highlighted the continuing struggle of serving a state of the size and diversity of New York. The differing needs of upstate and downstate communities as well as urban, rural and increasingly suburban were noted. In order to facilitate better service in the New York City office, this committee recommends re-establishing a private office for the DOS Director of Community Services, in New York City.

Actions to be taken:

- Efforts will be made to increase the presence of the DCS director in each regional office and especially the New York City Office; however, these visits are sometimes reduced due to travel restrictions, lack of resources, and lack of space.
- The differing needs for upstate, downstate, urban and rural areas will continue to be addressed through individual monitoring plans developed for each grantee.

- 6) **NYSDOS should engage in a department-wide strategic planning process.** The challenges posed by succession planning, upstate/downstate needs, rural/urban/ suburban issues, the changing face of poverty, etc. provide the impetus for long-term department planning. The knowledge, dedication and, devotion to the program by current staff offers an opportunity to plan strategically with the "best minds" at the table and with the pending departure of these "best minds", this opportunity needs to be realized soon and should not be lost.

DOS/DCS Response:

This review is one of the voluntary steps taken by DOS/DCS to gain outside knowledge and feedback on the actions necessary to address some of the challenges in administering CSBG. The recommendations presented by this report will be used by DOS/DCS to develop a division-wide strategic plan.

Action to be taken: As a result of this review, the DCS director attended a workshop on Succession Planning. Materials and information from the workshop will be used to begin the process. In addition, DCS will:

- conduct a staff meeting in August 2007 to discuss the recommendations of the Advisory Council;
- discuss the process for developing a strategic plan;
- continue the process of collecting and cataloguing documents used in the administration of CSBG;
- develop and distribute a Guide to CSBG Operations.

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**Appendix C: Community Services Block Grant 2007
Administrative Review and Assessment**

- 7) **DOS is a strong, supportive advocate for CSBG and low-income New Yorkers; however there is concern about the level of knowledge elected officials and others have of CSBG and Community Action.** The positive advocacy role that DOS plays was clearly evident from interviews, site visits, and the online survey. Whether derived from personal experience, longevity, or dedication to the programs, all levels of DOS staff expressed support and appreciation for CSBG and the work grantees do in the local communities. Grantees reported a high level of support for the advocacy of the State office and see DOS as a champion of low-income New Yorkers at the local and state levels. There is a concern, however, that the broader community and elected officials are not fully aware of the impact of CSBG in the community or the work of Community Action Agencies.

DOS/DCS Response:

DOS will continue to share information regarding the CSBG program and grantees. The Annual Report is provided to each member of the New York State Legislature and the Governor. Staff serve on a number of committees, workgroups and taskforces of other agencies where they share information about grantees. Grantees are encouraged to provide DOS with specific recommendations for other tasks that should be undertaken.

- 8) **Increase the role and visibility of the CSBG Advisory Council.** Given the role of the Council and the needs of NYSDOS and grantees, increasing the visibility of the Advisory Council in advocacy, training, oversight, and education of lawmakers would have long term benefits for the CSBG program in New York State and for NYSDOS.

DOS/DCS Response:

Due to its composition, the Advisory Council probably is the best equipped body to inform elected officials about the use of CSBG funds and the good work of Community Action.

CONCLUSION: This document will be shared with grantees and posted on the DOS website. DCS will develop a work plan to implement the actions listed above. The action steps will be included in monthly reports to DOS Executive. An annual report will be presented to the Advisory Council in September 2008.

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Appendix D: Lexicon – Frequently Used Terms

Frequently-used terms in the Community Action Network

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)
ASL	American Sign Language
AVE	Adolescent Vocational Exploration
BAE	Basic Adult Education
BOCES	Board of Cooperative Educational Services (NYS)

C

CAA	Community Action Agency
CAB	Community Action Board (NYC)
CAP	Community Action Program or Community Action Plan or Community Action Partnership
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
CFR	Code of Federal Regulations
CPB	Consumer Protection Board (NYS)
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)
DSA	Division of State Assistance (US OCS)
DSS	Department of Social Services (County)
DYCD	Department of Youth and Community Development (NYC)

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)

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Appendix D: Lexicon – Frequently Used Terms

Frequently-used terms in the Community Action Network

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
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)
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)

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)

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
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

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Appendix D: Lexicon – Frequently Used Terms

Frequently-used terms in the Community Action Network

O

OASAS	Office of Alcoholism and Substance Abuse Services (NYS)
OBRA	Omnibus Budget Reconciliation Act
OCS	Office of Community Services (US) (DHHS)
OCSL	Office of Community Services Liaison
OFCS	Office of Family & Children's Services (NYS)
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)
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

R

RDA	Rural Development Administration (US) (Formerly Federal Housing Administration)
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

S

SAPA	State Administrative Procedure Act (NYS)
SAT	Scholastic Assessment Test
SED	State Education Department (NYS)
SEMO	State Emergency Management Office (NYS)
SENSES	Statewide Emergency Network for Social & Economic Security
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

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Frequently-used terms in the Community Action Network

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)