

## APPENDIX A

### Community Services Block Grant/Human Services Infrastructure (CSBG/HSI) Application

*This section presents the required outline that must be followed when submitting an application in response to this RFA. Applications must include a Table of Contents that exactly conforms with the required application outline (below). Applications must include all the sections listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete applications will not be evaluated.*

A. [Cover Sheet](#), embedded as a hyperlink

B. Table of Contents

C. Declaration of Confidential Information

D. Conflict of Interest Disclosure Statement

E. Executive Summary

F. **Minimum Requirements** – To submit a responsive submission, **THE APPLICANT SHALL:** provide one (1) electronic copy of each of the items listed below. An application that does not include the required items will be deemed non responsive and will not be considered any further.

1.	Organization's Articles of Incorporation
2.	Documentation of organization's current tax exempt status e.g. 501(c)3
3.	Current copy of Applicant's annual report filed with CT's Secretary of State
4.	Evidence that organization is geographically located in Greater Stamford catchment area or is contiguous to Greater Stamford catchment area <i>and</i> is already providing services in Greater Stamford catchment area
5.	Agency Audited Financials performed within the past two fiscal years, including the management letter and agency response. The audit must have been conducted in compliance with standards adopted by the American Institute of Certified Public Accountant's Government Auditing Standards
6.	Documentation of current fidelity, liability and vehicle insurance
7.	Organizational Chart (agency-wide)
8.	Organizational Budget with list of current funding sources and line of credit
9.	*Resumes <b>AND</b> job descriptions of current staff essential to CSBG

10.	List of organizations and agencies that have current partnerships and collaborative relationships with the applicant
11.	Current organization's Board of Directors By-Laws
12.	Current Board Roster indicating the sector represented and local affiliation for each member, if identified as an eligible entity
13.	Applicant's strategic plan, which at a minimum establishes goals and objectives for the organization's current programs and describe how the organization plans to meet its goals and objectives
14.	The applicant must disclose if the organization or any of its officers are presently debarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded by any Federal department or agency. An applicant may provide justification documentation that supports its ability to receive federal funding, if applicable
15.	Copy of Agency's Annual Report
16.	Provide three (3) specific programmatic references for the applicant. The applicant shall direct to each reference, <a href="#">Reference Reply Questionnaire</a> (hyperlink) and require the reference to submit the completed questionnaire to <a href="mailto:Crystal.Redding@ct.gov">Crystal.Redding@ct.gov</a>

**G. ORGANIZATION CAPACITY - Maximum page limitation for this section is ten (10) single-sided pages.** To submit a responsive submission, **THE APPLICANT SHALL** include an Organizational Capacity Statement that documents the applicant's experience and ability to perform the functions of a CAA as described in the RFA, including the requirement for sound administration and fiscal management. Describe your organization's current experience serving low income communities. At a minimum, include the following:

1. A brief history of the organization including its mission, current locations and accessibility to the low-income population. Include the organization's experience and ability to directly or indirectly through subcontractors, deliver services and programs aimed at reducing poverty for low-income clients including demonstrated positive outcomes; the organization's administrative and technology capacity; and describe how the organization serves the ethnic and language groups in its current service areas. Include any experience the applicant has working with state or federal oversight agencies that fund programs aimed at reducing poverty.
2. A description of the overall staffing and experience of staff in administering and operating programs that serve the low-income population. Explain how the applicant will add staff or expertise to the organization to deliver the programs proposed in this application. Provide a description of proposed project staff, including bilingual/multicultural capacity, proposed organization charts for the agency and essential personnel dedicated to the CSBG program. At minimum, CSBG staff shall include: Program Manager, fiscal and program positions. Include a description of how new positions relate to the existing staff and organizational structure.

\* Resumes and job descriptions shall be provided in Minimum Requirements #9.

3. A description of your organization's partnerships, experience and linkages with other public and private community-based organizations in your current service area that work with the low-income population. Include how your organization currently involves partners and coordinated collaborative relationships in your service area to maximize service delivery. If your primary service area is outside but contiguous to Greater Stamford catchment area, describe how you will build these partnerships and relationships within that area.
4. A business plan for assuming responsibility for the CAA functions set forth in the RFA beginning January 1, 2015 and performing the duties of the CAA over the 1<sup>st</sup> year of operation. Include a chart or tool that details time line(s) for the start-up phase of operations and milestones to be achieved. The designated CAA selected through this RFA process will be expected to operate as the CAA for the Greater Stamford catchment area effective January 1, 2015. Your timeline should include the dates by which certain milestones should be achieved prior to January 1 to allow for operation effective January 1.
5. A description of the administrative and financial management processes that the agency will put into place to oversee the operation of the agency, including but not limited to accounting, record keeping and confidentiality, data collection, reporting and case management functions.
6. Identify and include a brief description of any **state or federal program** operated by the applicant that was forced to terminate or was not renewed due to the applicant's failure to perform or to properly administer the program during the past five (5) years. Include a brief description of the program(s) involved, the nature of the problem and the outcome.
7. For each of the programs currently administered or operated by the applicant, include a brief description of monitoring results conducted by the program funders. The description should include but should not be limited to best practice, concerns, areas for improvement, corrective action and action taken by the agency.

**H. SCOPE OF SERVICES - Maximum page limit for this section is ten (10) single-sided pages.** To submit a responsive submission, **THE APPLICANT SHALL:**

1. **Describe how your organization will implement the functions of a CAA to serve the Greater Stamford catchment area. At a minimum the applicant shall include the following:**
  - a. How the applicant will conduct needs assessments or obtain needs information sufficient to perform community action planning.
  - b. How the applicant will network with other agencies in the community to ensure coordination of services and avoid duplication.
  - c. How the applicant will leverage and mobile other resources to achieve the purposes of the act.
  - d. Include a proposed administrative structure with an accompanying organization chart, including positions, anticipated costs and cost allocation to various initiatives.

- e. Include a proposed plan for training and technical assistance to meet CSBG requirements.

**2. Describe your organization's program(s) and ability to assess the needs of the community. At a minimum describe the following:**

- a. The current types of programs administered, funding amounts and funding sources allocated for each program, current service area(s), target populations served and the total number of clients served annually. Include the number of clients that achieve self-sufficiency annually.
- b. How the organization conducts assessments that involve community input on determination of low-income services, how the organization provides outreach, identifies clients and integrates services with other community resources.
- c. Describe how client information and data is collected by the organization to evaluate individual client success and program effectiveness. Explain how this data is used to set goals, measure and track the outcomes of services provided. List any ongoing formal reports completed by your organization which utilize this data and are submitted to local, state or federal governments.
- d. Describe how the funds and the designation as a CAA will assist in developing new or expanding program services and delivery strategies, outreach or other approaches in assisting low-income clients achieve self-sufficiency.

**3. Describe the composition of your existing board. At minimum include the following:**

- a. How your organization uses a tripartite board to represent as many groups or needs as possible in the Greater Stamford catchment area. If your organization does not currently have a tripartite board which includes representation from Greater Stamford catchment area; provide a detailed plan for establishing a tripartite board. A plan to recruit a tripartite Board of Directors consisting of not less than 1/3 representatives of low-income people in the neighborhoods served; 1/3 local elected officials; and the balance members of business, labor, religious, communities services, (See Section 676B of the Act for a more detailed description of the requirements for CAA boards.) along with evidence (such as commitment letters from units of local government, other agencies or community organizations to participant on such a board) of the agency's ability to accomplish this task. If applicant is a local government, propose for a tripartite advisory board.
- b. Describe the board's active involvement in planning, implementation, program evaluation and fiscal management.

**I. COST SECTION - Maximum page limit for this section is ten (10) single-sided pages.**

CSBG funds allow organizations to administer programs that identify, address and eliminate the causes of poverty. CSBG funds can be used to provide direct assistance to low-income persons, and to assist with the costs of administering other federal, state and local programs

that provide assistance to the low-income population. CSBG funds allow eligible entities to operate a vast array of programs aimed at identifying, ameliorating and eliminating the causes of poverty and increasing the participation of low-income persons in the activities of their community so that they can assist in solving their own problems

CSBG funds may not be used for the purchase or improvement of land, or the purchase, construction, or improvement of land, or the purchase, construction or permanent improvement of any building or other facility.

CSBG funds cannot be used in the provision of services or the employment or assignment of personnel in a manner supporting or resulting in programs with any partisan or nonpartisan political activity or any political activity. This also prohibits any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with an election or any voter registration activity. To submit a responsive submission, **THE APPLICANT SHALL:**

**1. Fiscal Controls** - Describe your organization's experience in maintaining fiscal controls. At a minimum address the following:

1. How your organization follows sound fiscal management principles and procedures in administering grants to ensure proper checks and balances. Include the process for the board to review the fiscal policies and procedures and when they were last updated and approved by the board.
2. A description of the organization's experience in managing federal grants.
3. Any loss of public or private funding for failure to meet grant or contract requirements.
4. Any loss of public or private funding for failure to meet grant or contract requirements.
5. Any findings or "on-going-concerns" in the submitted agency-wide audit within the past two years that was prepared by a certified public accounting firm.

Note, in F. Minimum Requirements Section (Item # 5, Agency Audited Financials) the required audit will be reviewed to demonstrate the organization's fiscal accountability, soundness and viability. This review will look for a positive fund balance, any losses, material findings and statements regarding "**an on-going concern**".

The please note the following:

- ✓ The proposed allocation is based upon the availability of funds and the proposed amount may change accordingly.
- ✓ The proposed allocation reflects 3 components:
  - CSBG proposed annual allocation: \$362,258.00
  - HSI proposed annual allocation: \$407,683.00
  - CSBG proposed allocation (**one-time funding**): \$362,258.00

- ✓ Please utilize these figures when completing CSBG and HSI component Budget Forms. Funds will be allocated annually thereafter, based upon the amount of federal and state resources allocated to DSS for these purposes.
- 2. **Prepare a budget, a description of current funding sources and a budget narrative. Propose first year budget for CSBG and HSI funds, including the allocation of these funds to administrative and services functions, administrative costs by line item. In addition, identify new and existing positions to be funded. At a minimum include the following:**
  - a. Using the [Instructions](#), embedded as a hyperlink, complete a budget using the format in **Attachment A**, CSBG Budget Forms, detailing how CSBG funds will be expended. Costs should be necessary and reasonable for carrying out the proposed services. The applicant shall submit a list of "Other Agency Operating Funds" as requested on the Budget Summary Form and Supporting Financial Detail Section 70 (see Attachment A: CSBG Budget Forms). If the applicant is awarded the right to negotiate the contract, this budget will become the basis for negotiating the actual contract budget.
  - b. A description of your current funding sources and the services provided with the funds and how the CSBG funds will be integrated into your current method of service delivery to expand programs and resources.
  - c. A budget narrative to explain how each line item cost is determined.

The budget forms and budget narrative do not count in the 10 page Cost Section limitation. Noteworthy: The budget includes 3 components: CSBG annual, HSI annual and CSBG-one-time funding.