

# Needs Assessment

The PDG Birth to 5 application process is intended to result in the development of a strategic plan, driven by a **needs assessment**, which recommends collaboration, coordination, and quality improvement activities for existing early childhood programs to support school readiness and improve transitions into the K-12 system by aligning and strengthening the delivery of existing programs. An important aspect of this step of the process will be to inventory currently existing state needs assessments, reports, and strategic planning efforts and align them with the needs assessment questions to identify gaps. Below is a list of federally mandated needs assessments.

Program Name	Needs Assessment Requirement	Agency Responsibility	Data Reports
<a href="#"><u>Child Care and Development Block Grant</u></a>	Under 45 CFR 98.45(c) and (d)(1), To identify supply shortages, the Lead Agency may analyze available data from market rate surveys, alternative methodologies (if applicable), child care resource and referral agencies, facilities studies and other community needs assessments, Head Start needs assessments, and other sources. ACF recommends that the Lead Agency examine all localities in its jurisdiction, recognizing that each local child care market has unique characteristics—for example, many rural areas face supply shortages. Further, we recommend that the Lead Agency's analysis consider all categories of care, recognizing that a community with an adequate supply of one category of care (e.g., centers) may face shortages for another category (e.g., family child care).	State Department of Human Services, US Department of Human Services (and others)	<a href="https://www.acf.hhs.gov/opre/research/project/child-care-and-development-fund-ccdf-policies-database-2008-2013">https://www.acf.hhs.gov/opre/research/project/child-care-and-development-fund-ccdf-policies-database-2008-2013</a>
<a href="#"><u>Head Start</u></a>	Under 45 CFR 1302.11(b), programs must conduct a community needs assessment and must use data that describes community strengths, needs, and resources and include, at a minimum: <ol style="list-style-type: none"> <li>1. The number of eligible infants, toddlers, preschool age children, and expectant mothers, including their geographic location, race, ethnicity, and languages they speak.</li> <li>2. Children experiencing homelessness.</li> <li>3. Children in foster care.</li> <li>4. Children with disabilities, including types of disabilities and relevant services and resources provided to these children by community agencies.</li> <li>5. The education, health, nutrition and social service needs of eligible children and their families, including prevalent social or economic factors that impact their well-being.</li> <li>6. Typical work, school, and training schedules of parents with eligible children.</li> <li>7. Other child development, child care centers, and family child care programs that serve eligible children, including home visiting, publicly funded state and local preschools, and the approximate number of eligible children served.</li> <li>8. Resources that are available in the community to address the needs of eligible children and their families.</li> <li>9. Strengths of the community.</li> </ol> The needs assessment must be completed once every five years.	Local Grantees and delegates	<a href="https://eclkc.ohs.acf.hhs.gov/sites/default/files/pdf/service-snapshot-all-programs-2015-2016.pdf">https://eclkc.ohs.acf.hhs.gov/sites/default/files/pdf/service-snapshot-all-programs-2015-2016.pdf</a>



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<p><b>Head Start</b></p>	<p>Head Start State Collaboration Offices exist “to facilitate collaboration among Head Start agencies...and entities that carry out activities designed to benefit low-income children from birth to school entry, and their families.” They provide a structure and a process for the Office of Head Start (OHS) to work and partner with state agencies and local entities. Together, these partners work to leverage their common interests around young children and their families to formulate, implement, and improve state and local policy and practices. The Director of each Head Start State Collaboration Office must conduct an assessment that addresses the needs of Head Start agencies in the state with respect to the collaboration, coordination, and alignment of services, and develop a strategic plan that is based on the assessment that will enhance collaboration and coordination of Head Start services with other entities providing early childhood education and development.</p> <p>These partnerships are intended to:</p> <ol style="list-style-type: none"> <li>1. Assist in building early childhood systems.</li> <li>2. Provide access to comprehensive services and support for all low-income children.</li> <li>3. Encourage widespread collaboration between Head Start and other appropriate programs, services, and initiatives.</li> <li>4. Augment Head Start’s capacity to be a partner in state initiatives on behalf of children and their families.</li> <li>5. Facilitate the involvement of Head Start in state policies, plans, processes, and decisions affecting target populations and other low-income families.</li> </ol> <p>Methods of Coordination</p> <p>The methods by which these Office’s coordinate and lead efforts for diverse entities to work together include:</p> <ol style="list-style-type: none"> <li>1. Communication – Convene stakeholder groups for information sharing, planning, and partnering, and serve as a conduit of information between Regional Offices and state and local early childhood systems.</li> <li>2. Access – Facilitate Head Start agencies’ access to and utilization of appropriate entities so Head Start children and families can secure needed services and critical partnerships are formalized.</li> <li>3. Systems – Support policy, planning, partnerships, and implementation of cross agency state systems for early childhood, including the State Advisory Council, that include and serve the Head Start community.</li> </ol>	<p>Local Grantees and delegates</p>	<p><a href="https://eclkc.ohs.acf.hhs.gov/programs/head-start-collaboration-offices-state">https://eclkc.ohs.acf.hhs.gov/programs/head-start-collaboration-offices-state</a></p>

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<p><a href="#"><u>Every Student Succeeds Act (ESSA)</u></a></p>	<p>Under ESSA Section 1008(b)(6), a school wide program shall develop a comprehensive plan that is based on a comprehensive needs assessment of the entire school that takes into account information on the academic achievement of children in relation to the challenging state academic standards, particularly the needs of those children who are failing, or are at-risk of failing, to meet the challenging state academic standards and any other factors as determined by the local educational agency. Through the needs assessment, a school must consult with a broad range of stake holders and examine data to understand students' most pressing needs.</p> <p>Additionally, under Section 4106(d), a local educational agency or consortium of such agencies shall conduct a comprehensive needs assessment of the local educational agency or agencies proposed to be served under this subpart in order to examine the needs and improvement of:</p> <ul style="list-style-type: none"> <li>A. Access to, and opportunities for, a well-rounded education for all students.</li> <li>B. School conditions must include a healthy and safe school environment for student learning.</li> <li>C. Access to personalized learning experiences supported by technology and professional development for the effective use of technology</li> </ul> <p>Each local educational agency or consortium of local educational agencies shall conduct the needs assessment once every 3 years.</p> <p>Under section 4625(a), with regard to full-service community schools, a needs assessment is required that identifies the academic, physical, nonacademic, health, mental health and other needs of students, families and community residents.</p> <p>Under Section 9831(f), with regard to preschool development grants, a state acting through the state entity appointed under subsection(d)(1), that receives a grant under subsection (d)(1), that receives a grant under subsection (C)(1) shall use the grant funds for all of the activities of conducting a periodic statewide needs assessment of the:</p> <ul style="list-style-type: none"> <li>A. Availability and quality of existing programs in the state, including such programs serving the most vulnerable or underserved populations and children in rural areas.</li> <li>B. To the extent practicable, the unduplicated number of children being served in existing programs.</li> <li>C. To the extent practicable, the unduplicated number of children awaiting service in such programs.</li> </ul>	<p>State Education Agencies, Local Education Agencies</p>	<p><a href="https://www2.ed.gov/policy/elsec/leg/essa/index.html">https://www2.ed.gov/policy/elsec/leg/essa/index.html</a></p>

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<p><b><u>Maternal and Infant early care home visit (MIECHV)</u></b></p>	<p>Section 511(b) of Social Security Act Title V, as amended by the Affordable Care Act requires that the assessment:</p> <ol style="list-style-type: none"> <li>1. Identify communities with concentrations of premature birth, low-low birth weight infants, and infant mortality, including infant death due to neglect, or other indicators of at-risk prenatal, maternal, newborn, or child health; poverty; crime; domestic violence; high-school drop-outs; substance abuse; unemployment.</li> <li>2. Identify the quality and capacity of existing programs or initiatives for early childhood home visiting in the state, including the number and types of individuals and families who are receiving services under such programs or initiatives; the gaps in early childhood home visiting in the state; and the extent to which such programs are meeting the needs of eligible families.</li> <li>3. Discuss the state's capacity for providing substance abuse treatment and counseling services to individuals and families in need of such services.</li> </ol> <p>The state shall coordinate with, and take into account, other appropriate needs assessments conducted by the state, as determined by the Secretary, including the needs assessment required under section 505(a) (both the most recently completed assessment and any such assessment in progress), the communitywide strategic planning and needs assessments conducted in accordance with section 640(g)(1)(C) of the Head Start Act, and the inventory of current unmet needs and current community-based and prevention-focused programs and activities to prevent child abuse and neglect, and other family resource services operating in the state required under section 205(3) of the Child Abuse Prevention and Treatment Act.</p>	<p>State Department of Human Services</p>	<p><a href="https://www.acf.hhs.gov/sites/default/files/opro/mihope_report_to_congress_research_snapshot.pdf">https://www.acf.hhs.gov/sites/default/files/opro/mihope_report_to_congress_research_snapshot.pdf</a></p> <p><a href="https://mchb.tvisdata.hrsa.gov/">https://mchb.tvisdata.hrsa.gov/</a></p>
<p><b><u>Medicaid</u></b></p>	<p>The needs assessment should identify a community's needs and decide which are the most important. The information should provide a complete picture of the demographics, long-term services and support (LTSS) needs and strengths and resources within the community. Additionally, a needs assessment should provide a picture of the community's current LTSS situation and needs, data to include when writing grant proposals, guidance for developing the program and making policy decisions.</p>	<p>State and Federal Department of Human and Health Services, Center for Medicare and Medicaid Services.</p>	<p><a href="https://www.medicaid.gov/medicaid/program-information/medicaid-and-chip-enrollment-data/index.html">https://www.medicaid.gov/medicaid/program-information/medicaid-and-chip-enrollment-data/index.html</a></p>
<p><b><u>Supplemental Nutrition Assistance Program-Education (SNAP-ED)</u></b></p>	<p>Section 2 of the SNAP-Ed Guidance states the need assessment must:</p> <ol style="list-style-type: none"> <li>1. Be valid and data driven.</li> <li>2. Present the nutrition, physical activity, and obesity prevention needs of the target population as well as its barriers to accessing healthy food and physical activity.</li> <li>3. Consider the diverse characteristics of the target population including race/ethnicity, gender, employment status, housing, language, transportation, mobility needs and other factors.</li> <li>4. Consider the needs of tribal populations and make efforts to include a focus and devotion of resources to tribal nutrition education.</li> <li>5. Indicate why specific population segments were chosen for interventions(s), such as need, trends, readiness for change, availability of effective interventions with sufficient reach and expected impact; likely partners.</li> </ol>	<p>State Department of Human Services</p>	<p><a href="https://fns-prod.azureedge.net/sites/default/files/SNAPedWave1_Summary_0.pdf">https://fns-prod.azureedge.net/sites/default/files/SNAPedWave1_Summary_0.pdf</a></p>



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<a href="#"><u>Community Service Block Grant</u></a>	A comprehensive needs assessment is required under CSBG Act Section 676(b) (11) to better understand current needs and assets of lower income community residents with specific focus on education, emergency service, employment, health, housing, income management, linkages, nutrition and self-sufficiency.	State and Federal Department of Human Services	<a href="https://www.acf.hhs.gov/sites/default/files/ocs/rpt_csbg_congressional_fy2014.pdf">https://www.acf.hhs.gov/sites/default/files/ocs/rpt_csbg_congressional_fy2014.pdf</a>
<a href="#"><u>Community Development Block Grant</u></a>	Each CDBG recipient must use a needs assessment to identify its community development and housing needs, including the needs of low- and moderate-income persons, and the activities to be undertaken to meet such needs.	State agencies (i.e., State Department of Community and Economic Development, State Department of Local Affairs)	<a href="https://www.hudexchange.info/programs/cdbg/cdbg-performance-profiles/">https://www.hudexchange.info/programs/cdbg/cdbg-performance-profiles/</a>
<a href="#"><u>Social Services Block Grant</u></a>	Assessment requirements vary by state. The Uniform Definitions of Services, which include 29 service categories, provide guidelines to states for reporting purposes. Service categories most frequently supported by SSBG include child care, child welfare, services for persons with disabilities, case management services, and protective services for adults.	Administration for Children and Families, US and State Department of Health and Human Services	<a href="https://www.acf.hhs.gov/sites/default/files/ocs/rpt_ssbg_annual_report_fy2015.pdf">https://www.acf.hhs.gov/sites/default/files/ocs/rpt_ssbg_annual_report_fy2015.pdf</a>
<a href="#"><u>State Early Childhood Comprehensive Services</u></a>	<p>Performance measures and needs assessments will align with Maternal, Infant Early Childhood Home Visiting Program. The needs assessment must be performed every five years and align to the regulations of the MIECHV.</p> <p>Applicants are required to have the option to plan, if necessary, and implement one of three strategies: 1) Mitigation of toxic stress and trauma in infancy and early childhood across two or more early childhood systems (e.g., health, child care, home visiting, parenting education, etc.); or 2) Coordination of the expansion of developmental screening activities in early care and education settings statewide by connecting pediatric and other child health leaders with child care health consultants to link training and referrals among medical homes, early intervention services, child care programs and families; or 3) Improvement of state infant/toddler child care quality initiatives (e.g., state licensing standards/ Quality Rating and Improvement Systems [QRIS] and/or professional development) by incorporating 10 or more Caring for Our Children 3<sup>rd</sup> edition standards focused especially on the infant/toddler age group.</p>	Collaborative State Departments as determined by the Governor.	<a href="https://mchb.tvisdata.hrsa.gov/">https://mchb.tvisdata.hrsa.gov/</a>



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<p><a href="#"><u>Individuals with Disabilities Education Act Part B</u></a></p>	<p>Under Section 300.304(b) agencies must: Conduct an evaluation. In conducting the evaluation, the public agency must:</p> <ol style="list-style-type: none"> <li>1. Use a variety of assessment tools and strategies to gather relevant functional, developmental, and academic information about the child, including information provided by the parent, that may assist in determining whether the child is a child with a disability under §300.8; and the content of the child’s IEP, including information related to enabling the child to be involved in and progress in the general education curriculum (or for a preschool child, to participate in appropriate activities).</li> <li>2. Not use any single measure or assessment as the sole criterion for determining whether a child is a child with a disability and for determining an appropriate educational program for the child.</li> <li>3. Use technically sound instruments that may assess the relative contribution of cognitive and behavioral factors, in addition to physical or developmental factors.</li> </ol> <p>Each public agency must ensure that:</p> <p>(1) Assessments and other evaluation materials used to assess a child under this part:</p> <ol style="list-style-type: none"> <li>(i) Are selected and administered so as not to be discriminatory on a racial or cultural basis.</li> <li>(ii) Are provided and administered in the child’s native language or other mode of communication and in the form most likely to yield accurate information on what the child knows and can do academically, developmentally, and functionally, unless it is clearly not feasible to so provide or administer.</li> <li>(iii) Are used for the purposes for which the assessments or measures are valid and reliable.</li> <li>(iv) Are administered by trained and knowledgeable personnel.</li> <li>(v) Are administered in accordance with any instructions provided by the producer of the assessments.</li> </ol>	<p>State and Local Education Agencies</p>	<p><a href="https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf">https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf</a></p>
<p><a href="#"><u>Individuals with Disabilities Education Act Part B, Section 619</u></a></p>	<p>A state is eligible for a grant under section 619 of the Act if the state—</p> <ol style="list-style-type: none"> <li>(a) Is eligible under section 612 of the Act to receive a grant under Part B of the Act.</li> <li>(b) Makes FAPE available to all children with disabilities, aged three through five, residing in the state.</li> </ol>	<p>State Education Agencies</p>	<p><a href="https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf">https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf</a></p>



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<p><b><u>Individuals With Disabilities Education Act Part C</u></b></p>	<p>Under Section 303.101(a), in order to be eligible for a grant under part C of the Act for any fiscal year, a state must meet the following conditions:</p> <p>(a) Assurances regarding early intervention services and a statewide system. The state must provide assurances to the Secretary that:</p> <p>(1) The state has adopted a policy that appropriate early intervention services, as defined in §303.13, are available to all infants and toddlers with disabilities in the state and their families, including:</p> <p>(i) Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the state;</p> <p>(ii) Infants and toddlers with disabilities who are homeless children and their families.</p> <p>(iii) Infants and toddlers with disabilities who are wards of the state; and</p> <p>(2) The state has in effect a statewide system of early intervention services that meets the requirements of section 635 of the Act, including policies and procedures that address, at a minimum, the components required in §§303.111 through 303.126.</p> <p>(b) State application and assurances. The state must provide information and assurances to the Secretary, in accordance with subpart C of this part, including:</p> <p>(1) Information that shows that the state meets the state application requirements in §§303.200 through 303.212; and</p> <p>(2) Assurances that the state also meets the requirements in §§303.221 through 303.227.</p> <p>(c) Approval before implementation. The state must obtain approval by the Secretary before implementing any policy or procedure required to be submitted as part of the state's application in §§303.203, 303.204, 303.206, 303.207, 303.208, 303.209, and 303.211.</p>	<p>State Education Agencies</p>	<p><a href="https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf">https://www2.ed.gov/about/reports/annual/osep/2017/parts-b-c/39th-arc-for-idea.pdf</a></p>
<p><b><u>Higher Education Act</u></b></p>	<p>Under Title II Teacher Quality Enhancement Section 202(a), a needs assessment of the partners in the eligible partnership is required for approval for partnership grants. Each application should contain a needs assessment with respect to the preparation, ongoing training, profession development, and retention of general education and special education teacher, principals, and as applicable early childhood educators.</p>	<p>State Education Agencies as determined by the Governor</p>	<p><a href="https://title2.ed.gov/Public/Home.aspx">https://title2.ed.gov/Public/Home.aspx</a></p>
<p><b><u>Women, Infant and Children (WIC)</u></b></p>	<p>Under section 17 of the 1966 Child Nutrition Act, a nutrition needs assessment is required in determining the eligibility and providing other relevant services to the participants needs. The assessment should obtain and synthesize relevant and accurate information in order to:</p> <ol style="list-style-type: none"> <li>1. Assess applicant's nutrition and risk.</li> <li>2. Design appropriate nutrition education counseling.</li> <li>3. Tailor the food package to address nutrition needs.</li> <li>4. Make appropriate referrals.</li> </ol>	<p>State Department of Health and Human Services</p>	<p><a href="https://www.fns.usda.gov/pd/wic-program">https://www.fns.usda.gov/pd/wic-program</a></p>



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<a href="#"><u>Children Health Insurance Program</u></a>	States have broad discretion in setting their income eligibility standards, and eligibility varies across states. In accordance with Medicaid, CHIP must also assess the needs of applicants including family income.	State and Federal Department of Human and Health Services, Center for Medicare and Medicaid Services	<a href="https://www.medicaid.gov/medicaid/program-information/medicaid-and-chip-enrollment-data/index.html">https://www.medicaid.gov/medicaid/program-information/medicaid-and-chip-enrollment-data/index.html</a>
<a href="#"><u>Striving Readers Comprehensive Literacy Program</u></a>	Under FY 2010 Consolidated Appropriations Act (Pub. L. No. 111-117) under the Title I demonstration authority (Part E, Section 1502 of the Elementary and Secondary Education Act (ESEA), The Federal SRCL programs requires that all Local Education Agencies submit a literacy plan that is informed by a comprehensive needs assessment that is aligned with the state comprehensive literacy plan. The needs assessment should include information addressing the literacy needs and implementation of strategies in the areas of: <ol style="list-style-type: none"> <li>1. Birth to age 5.</li> <li>2. Kindergarten to grade 5.</li> <li>3. Grades 6 to 8.</li> <li>4. Grades 9-13.</li> </ol> state literacy Team must assist with the development of the plan. <i>**SRCLP is now a part of the LEARN Act, requirements of the needs assessment under SRCLP remains consistent.</i>	State Education Agencies and Local Education Agencies, US Department of Education	<a href="https://www2.ed.gov/programs/strivingreaders/performance.html">https://www2.ed.gov/programs/strivingreaders/performance.html</a>
<a href="#"><u>Career and Technical Education</u></a>	Under Section 131 of the Strengthening Career and Technical Education for the 21st Century Act, eligible recipients of the Perkins CTE funding are required to conduct a needs assessment that should review the following five elements: <ol style="list-style-type: none"> <li>1. Student performance on performance indicators, including the performance of special population and subgroups.</li> <li>2. Whether programs are of sufficient size, scope, and quality to meet the needs of all students served by the eligible recipient and are meeting labor market needs.</li> <li>3. Progress toward the implementation of CTE programs and programs of study.</li> <li>4. How the eligible recipient will improve recruitment, retention and training of CTE professional, including underrepresented groups.</li> <li>5. Progress toward implementation of equal access to high-quality career and technical education courses and programs of study for all students.</li> </ol> The assessment must be completed at least once every two years.	US Department of Education, Local education agencies, state agencies, education service agencies	<a href="https://perkins.ed.gov/pims/DataExplorer/CTEConcentrator">https://perkins.ed.gov/pims/DataExplorer/CTEConcentrator</a>
<a href="#"><u>Workforce Innovation and Opportunity Act</u></a>	The Unified or Combined State Plan must include an assessment of employers' employment needs with regard to the industry sector and occupations for which demand is emerging. The assessment should include a description of the knowledge, skills, and abilities required, including credentials and license. They must also provide the strengths and weaknesses of the workforce development activities.	State Department of Education, US Department of Labor in coordination with US Department of Education and Health and Department of Human Services	<a href="http://wioadashboards.org/">http://wioadashboards.org/</a> Full dashboard data coming soon. (Fall 2018)



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<p><u><a href="#">Temporary Assistance to Needy Families program</a></u></p>	<p>Under section 402 of Title IV of the Social Security Act, states are eligible for a grant with a written document that outlines how the state intends to do the following:</p> <ul style="list-style-type: none"> <li>(i) Conduct a program, designed to serve all political subdivisions in the state (not necessarily in a uniform manner), that provides assistance to needy families with (or expecting) children and provides parents with job preparation, work and support services to enable them to leave the program and become self-sufficient.</li> <li>(ii) Require a parent or caretaker receiving assistance under the program to engage in work (as defined by the state) once the state determines the parent or caretaker is ready to engage in work, or once the parent or caretaker has received assistance under the program for 24 months (whether or not consecutive), whichever is earlier, consistent with section 407(e)(2).</li> <li>(iii) Ensure that parents and caretakers receiving assistance under the program engage in work activities in accordance with section 407.</li> <li>(iv) Take such reasonable steps as the state deems necessary to restrict the use and disclosure of information about individuals and families receiving assistance under the program attributable to funds provided by the Federal Government.</li> <li>(v) Establish goals and take action to prevent and reduce the incidence of out-of-wedlock pregnancies, with special emphasis on teenage pregnancies, and establish numerical goals for reducing the illegitimacy ratio of the state (as defined in section 403(a)(2)(C)(iii)).</li> <li>(vi) Conduct a program, designed to reach state and local law enforcement officials, the education system, and relevant counseling services, that provides education and training on the problem of statutory rape so that teenage pregnancy prevention programs may be expanded in scope to include men.</li> <li>(vii)[4] Implement policies and procedures as necessary to prevent access to assistance provided under the state program funded under this part through any electronic fund transaction in an automated teller machine or point-of-sale device located in a place described in section 408(a)(12), including a plan to ensure that recipients of the assistance have adequate access to their cash assistance.</li> <li>(viii)[5] Ensure that recipients of assistance provided under the state program funded under this part have access to using or withdrawing assistance with minimal fees or charges, including an opportunity to access assistance with no fee or charges, and are provided information on applicable fees and surcharges that apply to electronic fund transactions involving the assistance, and that such information is made publicly available.</li> </ul>	<p>US. Department of Health and Human Services, State Departments of Human Services</p>	<p><a href="https://www.acf.hhs.gov/ofa/resource/tanf-caseload-data-2017">https://www.acf.hhs.gov/ofa/resource/tanf-caseload-data-2017</a></p>