

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: NORTH DAKOTA

Report Name: Model State Plan(CSBG)

Report Period: 10/01/2017 to 09/30/2018

Report Status: Saved

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

COVER PAGE

* 1.a. Type of Submission: Plan	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: Initial
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: North Dakota Department of Commerce			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1450309764a6		* c. Organizational DUNS: 802741843	
* d. Address:			
* Street 1:	1600 East Century Avenue, Ste. 2	* Street 2:	
* City:	Bismarck	* County:	NORTH DAKOTA
* State:	ND	* Province:	
* Country:	United States	* Zip / Postal Code:	58502-2057
e. Organizational Unit:			
Department Name: Department of Commerce		Division Name: Division of Community Services	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Tran	Middle Name: N	* Last Name: Doan
Suffix:	Title: CSBG Program Manager	Organizational Affiliation:	
* Telephone Number: (701) 328-2290	Fax Number (701) 328-5320	* Email: tdoan@nd.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project North Dakota Community Services Block Grants Program			
12. Areas Affected by Funding: North Dakota - Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant ND		b. Program/Project: ND	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			

Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

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SECTION 1

CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency	North Dakota Department of Commerce		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>	Community Services Department		
1.1c. Division, bureau, or office of the CSBG authorized official	Division of Community Services		
1.1d. Authorized official of lead agency	Bonnie Malo		
1.1e. Street Address	1600 East Century Avenue, Suite 2		
1.1f. City	Bismarck	1.1g. State ND	1.1h. Zip 58502
1.1i. Telephone number and extension (701) 328 - 2476 ext.	1.1j. Fax number: (701) 328 - 5320		
1.1k. Email address bmalo@nd.gov	1.1l. Lead agency website https://www.communityservices.nd.gov/		
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Division of Community Services		
1.2b. Name of the point of contact	Tran Doan		
1.2c. Street address	1600 East Century Avenue, Suite 2		
1.2d. City	Bismarck	1.2e. State ND	1.2f. Zip 58502
1.2g. Point of contact telephone number (701) 328 - 2290 ext.	1.2h. Fax number (701) 328 - 5320		
1.2i. Point of contact email address tdoan@nd.gov	1.2j. Point of contact agency website https://www.communityservices.nd.gov/		
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

2.3. If yes was selected in item 2.1 and/or 2.2, *attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.*

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No

2.4b. Did the State establish or amend regulations for CSBG last year? Yes No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes No

Section 3: State Plan Development and Statewide Goals

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

North Dakota's CSBG program continues the tradition of supporting community based anti-poverty programs. The CAAs funded under CSBG are organized as non-profit corporations under North Dakota's legal definition. Each agency's board of directors is required by the CSBG Act to include equal numbers of local, elected public officials, representatives of the private sector, and representatives of low income persons. The responsibility for planning and implementing the CSBG activities is vested in the board of directors. Agency community action plans are developed from an assessment of local needs, currently available services and locally available public and private resources. The plans emerging from this process emphasize three major themes: 1. Dealing with personal crisis; 2. helping individuals attain or maintain self-sufficiency; and 3. collaborating with public and private entities to create more efficient and effective services and to fill the identified gaps in services. Reporting on National Indicators and outcome measures is monitored to evaluating the agencies' successes in promoting self-sufficiency, family stability and community revitalization. While the local agency retains primary responsibility for program planning and implementations, the Division of Community Services (DCS) has assumed an active role in CSBG program development. DCS has established uniform standards for statewide activities, trained and certified sub-grantee personnel and coordinated CSBG programming with the activities of other state agencies.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

State has provided opportunities for eligible entities to contribute in the development of the State Plan and provide feedback on it, including opportunities such as public comments at a public hearing. The state also attends eligible entities' state association meetings as well as board meetings to provide training and technical assistance as well as to gather input on the State's management of the CSBG program.

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that apply and narrative where applicable]



State Performance Indicators and/or National Performance Indicators (NPIs)



U.S. Census data



State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

3.3b. Consultation with [Check all that apply and narrative where applicable]



Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe) State CDBG, HOME, and ESG programs. State Housing Finance Agency.



National organizations (describe) NASCSP, Community Action Partnership



Federal Office of Community Services



Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

The State works closely with the Community Action Partnership of North Dakota (CAPND) on a weekly basis. The State attends the CAPND Board meetings on a regular basis to provide updates on the CSBG program and to gather information regarding community action activities and needs. The State also attends eligible entities' board meetings to provide board trainings as well as to gather feedback from board members. The State assisted each of its 7 community action agencies in conducting regional needs assessments in 2017.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

**How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order
1) to encourage eligible entity participation and**

2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with State Accountability Measures ISb(i) and (ii) and may pre-populate the State's annual report form)

The State attended more eligible entities' board meetings as well as the State Association meetings to gather input than in the previous plan. Eligible entities participate by conducting needs assessments, customer satisfaction surveys, and providing feed back through one on one conversations with the State or through the State Association.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's target for eligible entity Overall Satisfaction during the performance period: 75

(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

For the Legislative Public Hearing on the FY 2018-2019 Community Services Block Grant / State Plan, the Legislative Council published ads in the Bismarck Tribune, Bismarck, ND on Tuesday December 27, 2016 to notify the public that a hearing would be held at 8:30 AM on Tuesday January 10, 2017 in the Harvest Room, of the State Capitol, Bismarck, ND. The hearing was before the Senate Appropriations Committee, and was part of the Senate Bill 2018 regarding the budget and appropriations for the North Dakota Department of Commerce. Interested individuals were informed that information as to the proposed use and distribution plan for the block grant and a summary of the plan for FY 2018-2019 was available at the Legislative Council, State Capitol Building, 600 East Boulevard Avenue, Bismarck, ND 58505, prior to the hearing.

4.2. Public Notice/Hearing:

Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

Notices about the Public Hearing were sent to the 10 daily newspapers in the State, seven Community Action Agencies, the Executive Director of the Community Action Partnership of North Dakota, the statewide association for the CAAs. The CAAs and the CAPND were asked to help notify interested individuals on the availability of the plan and the upcoming public hearing (August 18, 2017). Copies of the DRAFT State Plan were made available at the DCS as well as the DCS website. The public was advised, through notices sent by DCS, of the opportunity to review and comment on the DRAFT State Plan for FY2018 & FY2019 through 5:00 PM (CST) August 18, 2017. The notices informed the public of the locations where the State Plan would be available for review and where comments were to be sent if they were unable to attend the public hearing.

4.3. Public and Legislative Hearings:

Specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.)

	Date	Location	Type of Hearing [Select an option]
1	01/10/2017	Harvest Room of the State Capitol	Legislative
2	08/18/2017	North Dakota Department of Commerce- Icelandic Rm. 1600 East Century Avenue, Suite 2, Bismarck, ND	Public

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribal or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Community Action Partnership Region I & VIII	Nonprofit	Community Action Agency (CAA)	Divide, Williams, McKenzie, Golden Valley, Billings, Dunn, Stark, Slope, Hettinger, Bowman, and Adams.	
2	Community Action Partnership - Minot Region	Nonprofit	Community Action Agency (CAA)	Burke, Renville, Bottineau, Mountrail, Ward, McHenry, and Pierce.	
3	Dakota Prairie Community Action	Nonprofit	Community Action Agency (CAA)	Rolette, Towner, Cavalier, Ramsey, Benson, and Eddy.	
4	Red River Valley Community Action Agency	Nonprofit	Community Action Agency (CAA)	Pembina, Walsh, Nelson, and Grand Forks.	
5	Southeastern ND Community Action Agency	Nonprofit	Community Action Agency (CAA)	Steel, Trail, Cass, Ransom, Barnes, Logan, LaMoure, McIntosh, and Dickey.	
6	Community Action Region VI, Inc.	Nonprofit	Community Action Agency (CAA)	Wells, Foster, Griggs, Stutsman, Barnes, Logan, LaMoure, McIntosh, and Dickey.	
7	Community Action Program Region VII, Inc.	Nonprofit	Community Action Agency (CAA)	Mercer, McClean, Sheridan, Oliver, Burleigh, Kidder, Morton, Grant, Sioux, and Emmons.	

5.2 Total number of CSBG eligible entities 7

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

Section 6: Organizational Standards for Eligible Entities

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SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?[Check all that apply.]

- Peer-to-peer review (with validation by the State or State-authorized third party)
- Self-assessment (with validation by the State or State-authorized third party)
- Self-assessment/peer review with State risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

6.4a. Describe the assessment process.

North Dakota uses the State Assessment Tool for Private CAAs created by the National Community Action Partnership. This document is a well laid out indispensable tool for reviewing and capturing where our agencies/grantees are at with each of their organization standards. During our review, we used this document along with supporting documents submitted by each agency to show their progress toward meeting all 58 Organizational Standards. For standards that have not been met, we ask for progress to date, what are the next action steps, and what are the timelines and estimated completion dates.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 Yes No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 86%

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

Section 7: State Use of Funds

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SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Base + Formula

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? Yes No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Community Action Partnership Region I & VIII	\$441,906	0.00%	\$441,906	0.00%
2	Community Action Partnership - Minot Region	\$390,472	0.00%	\$390,472	0.00%
3	Dakota Prairie Community Action	\$337,609	0.00%	\$337,609	0.00%
4	Red River Valley Community Action Agency	\$420,194	0.00%	\$420,194	0.00%
5	Southeastern ND Community Action Agency	\$619,413	0.00%	\$619,413	0.00%
6	Community Action Region VI, Inc.	\$284,444	0.00%	\$284,444	0.00%
7	Community Action Program Region VII, Inc.	\$493,349	0.00%	\$493,349	0.00%
Total		\$2,987,387	0.00%	\$2,987,387	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Distribution of Funds to Eligible Entities The CAAs in North Dakota rely heavily on the CSBG pass-through funds to provide services within their respective regions. Most local governments and counties do not contribute towards CAA operations. The CAAs operate in multi-county jurisdictions, differing in size and population. In FY 2012 DCS, in coordination with the seven CAAs, revised the formula for distributing pass-through monies among the CAAs which reflects the distribution of the low income population based on the 2010 U.S. Census, the relative size of areas served and a minimum base funding level for each agency. The funding formula provides a base funding level equal to 37.78 percent of the pass-through funds, which is divided equally among the eight regions. Although there are eight geographical regions in the State, there are seven CAAs, since the Community Action Partnership Program serves both Regions I and VIII. The remaining pass-through funds are distributed in direct proportion to each CAA service areas share of the State's low income population using the 2012 census data. The formula was used beginning in 2014 and will end when a new formula is developed and agreed upon by the CAAs. That process will be followed until a new funding formula is devised. A minimum pass-through level of \$1,120,000 is required by the distribution formula in order to provide base funding under the new funding formula. A total State allotment of \$1,230,769 would be required to provide a pass-through funding level of \$1,120,000. In the event that the State's FY 2018 or FY 2019 allotments would be less than \$1,230,769 each year, DCS will reduce or eliminate the 5 percent Discretionary fund set-aside and pass-through up to 95 percent of the CSBG funds received. The State may utilize a portion of State CSBG Administrative and/or Discretionary funds to alleviate some of the impact on the CAAs for the decrease in CSBG funding, the shift in population within the State, and the decrease in funds the CAAs have also had from other funding sources. CAAs receiving supplemental funding is contingent upon adequate State administrative and/or discretionary CSBG funding and CAAs having CSBG carryover of 20 percent or less from the previous grant year. Projected CSBG distributions to the seven CAAs for FY 2018 and FY 2019, based on the funding formula, can be found in Table III. We will be considering the amount of CSBG carryover available to the agency from the previous year in considering if any bonus/supplemental funds are awarded to eligible agencies. TABLE III POTENTIAL CSBG DISTRIBUTIONS FOR FY2018 & FY2019 Region % of Allocation Allocation II 13.06% 390,472 III 11.32% 337,609 IV 14.04% 420,914 V 20.58% 619,413 VI 9.58% 284,444 VII 16.44% 493,349 VIII & I 14.99% 441,906 TOTALS 100.00% 2,987,387 Proportional share of CSBG pass-through based on projected FY18 CSBG allocation - funding formula used to derive the % - based on a base allocation for each region and percentage of low income people residing in the service area. The state intends to distribute funds within 30 days of the date we receive our award letter. A public Legislative Hearing on the State's proposed use and distribution of CSBG funds was held on January 10, 2017.

7.4. Distribution Timeframe:

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:

How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.

The State works with all seven CAAs on a regular basis. Administrative procedural changes are a result of necessity and normally is a collaboration of the State, the State Association, and the seven CAAs. The State do take to heart the results of the ACSI survey and consider the feedback seriously although solutions are not always immediately available.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5 \$ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 3

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 1

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? Yes No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, Item 14.2.

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$20,000.00	0.00%	\$20,000.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	
c. Statewide coordination and communication among eligible entities	\$100,000.00	0.00%	\$100,000.00	0.00%	The State intends to provide funding to the State Association(CAPND) to coordinate technical resources and provide education and technical assistance activities to the seven eligible entities and to the public.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	North Dakota may provide State General funds as match for Asset-building programs applied for by the CAPND.
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$45,966.00	0.00%	\$45,966.00	0.00%	Feeding low income children/students on the weekends (no school lunches) continues to be a huge need. Processing of donated game animals to provide a terrific source of protein for low income folks continue to be a priority.
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$0.00	0.00%	\$0.00	0.00%	
Total	\$165,966.00	0.00%	\$165,966.00	0.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.[Check all that apply and narrative where applicable]

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 7
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)

- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other** Other religious organizations with a 501 (c)(3) designation for the IRS.
- None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:
 How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 3Sb](#), and may pre-populate the State's annual report form.

The State does not plan to make any adjustments to the discretionary funds.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Community Assessment	
2	Ongoing / Multiple Quarters	Both	Reporting	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
5	FY1-Q3	Training	Other	Family Development Certification Training

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$331,932**

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? Yes No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the Community Services Block Grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to: a. inform the entity of the deficiency to be corrected; b. require the entity to correct the deficiency; c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate; d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form

The State added ROMA Next Generation and the NEW annual report in it's T/TA plan.

Section 9: State Linkages and Communication

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 9 State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

To strengthen the service delivery system for low income people in North Dakota, the Department of Commerce - Division of Community Services (DCS) and the CAAs have continued to coordinate and establish linkages with local, regional and statewide entities to eliminate gaps in service and to avoid duplication of efforts. DCS currently administers the State Weatherization funds; HUD's Community Development Block Grants program, HUD's HOME program, McKinney-Vento Emergency Solutions Grant program, HUD's Shelter Plus Care program, and we also work with the State Health and Human Services department in the administration of LIHEAP funds. CAA staff utilize information and referrals, case management and follow-up activities with other entities in order to ensure that the low income individuals and families are able to access needed services. Some issues, such as issues with social security, medicare, health insurance, etc., cannot be successfully addressed by local efforts. However, the CAA staff attempt to address those needs that they can and work with others who might better be able to address some of those issues. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

See attached file. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.]

Note: This response will link to the corresponding CSBG assurance, item 14.5.

See attached file. *[Click paper clip to attach file]*

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

Each CAA, and the State, will coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low income individuals and to avoid duplication of such services. Each agency has developed a current list of linkages. The CSBG Certification, which is attached to the grant agreement between the DCS and each CSBG subgrantee, will also reference this Assurance which is required of each subgrantee. The Certification form is signed by the Board Chair of each CAA board.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation

and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? Yes No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

CSBG was included in the State memorandum of understanding when it was developed. CAAS and the State CSBG Program Manager were actively involved in providing service/program information to the initial computer based website that was developed to serve as a means to meet the One-Stop Service approach required by WIA. CAA programs, contact information, etc., were included in the website data to ensure that individuals were aware of and able to access the information. The website was an opportunity for all staff of involved agencies to become better informed of the services and programs available from various providers in an attempt to strengthen the collaborative opportunities to better serve clients.

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.6.

The CAAs also administer funds under the Federal Emergency Management Act (FEMA) and Energy Share of North Dakota, Inc. All expenditures of emergency energy assistance are coordinated with county social service boards, which administer emergency energy assistance under the Low Income Home Energy Assistance Program (LIHEAP). LIHEAP referrals are made to the CAAs for energy services as well as for case management services and other self-sufficiency services under the Self Reliance Program. DCS staff maintain contact with staff of the ND Department of Human Services to maintain open communication between DHS and DCS programs. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. The CSBG Certification, which is attached to the grant agreement between the DCS and each CSBG subgrantee, also references this Assurance which is required of each subgrantee. The Certification form is signed by the Board Chair of each CAA board.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

See attached word document. [Click paper clip to attach file]

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

Through their collaboration efforts, the CAAs and CAPND continue to strengthen their coordination with other service providers serving low income individuals and families on local, regional and state levels. As roll-up TANF funds have become available in the past, the CAAs have submitted proposals and/or been funded to provide supportive services to State Welfare Reform efforts, including GED/basic educational programs and job retention activities. The linkages and numerous coordination and collaboration activities between the CAAs and other programs are detailed in other parts of this application. Working with other programs and entities throughout the service area strengthens the collaborative efforts of meeting the unmet needs of low income citizens, which benefits all providers and programs including State, Regional and County Social and Human Service programs involved in Welfare Reform efforts. CAPND, CAA and DCS staff continue to maintain open communication with staff from the ND Department of Human Services and other state entities. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. These linkages enhance the activities of the state and the CAAs in helping low income people in becoming more self-sufficient and enhances their efforts to become employed or maintain their employment, better educated, financially solvent and more involved in their communities. For FY2016-2017, The State and eligible entities will continue to coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups and community organizations. CAAs continue to refer clients to other related programs as appropriate, and have continued their efforts to have other organizations, including religious organizations, charitable groups and community organizations, become more familiar with the CAA mission and how they can all work together to more effectively address low income issues and needs. CAAs work with local, public, private, religious, charitable and community groups to develop more efficient and effective services for low income persons.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The State Community Action Association (CAPND), the CAA entities and DCS staff maintains an open line of communication . It is rare that the State office does not visit with the CAPND in any given week. The goal is to increase relationships between the State, CAPND, and eligible CAAs are good. The State CSBG office regularly attends the State Community Action Association meetings to provide technical assistance and updates on the CSBG program. The State CSBG office and the State Association visit on a weekly basis to touch base on activities around the state.

9.9 Communication with Eligible Entities and the State Community Action Association:

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	State Legislative Hearings	Other	Other	Legislative hearings are published in the newspapers. E-mails are also sent to the eligible entities and the State Community Action Association. North Dakota's Legislature meets every other year so our Legislative hearing also takes place every other year.
2	Notices for the Public Hearing for	Other	Other	North Dakota's State CSBG Plan is for a two year period. Publish a public hearing notice in 10

	the Draft State Plan			daily newspapers throughout the state. The State also sends out e-mails to eligible entities and the State Community Action Association.
3	Input and changes to programs for FY 2018-2019	Other	Mailing	North Dakota gathered input for eligible entities through the State Associations' quarterly meeting with eligible entities. The State also mailed out informational requests to eligible entities regarding potential changes to their programs in 2018-2019.
4	Monitoring	Other	Mailing	The State monitors eligible entities on a bi-annual basis. Notices of monitoring schedules are mailed to them.

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

The State will provide any OCS feedback to the State Community Action Association and eligible entities within 60 calendar days of the State getting feedback from OCS.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.

No adjustments as compared to past plans.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Community Action Partnership Region I & VIII	Full onsite	FY1 Q2	05/25/2016	
2	Community Action Partnership - Minot Region	Full onsite	FY1 Q2	06/20/2016	
3	Dakota Prairie Community Action	Full onsite	FY1 Q2	06/13/2017	
4	Red River Valley Community Action Agency	Full onsite	FY1 Q3	09/08/2015	
5	Southeastern ND Community Action Agency	Full onsite	FY1 Q3	09/21/2016	
6	Community Action Region VI, Inc.	Full onsite	FY2 Q2	06/26/2017	
7	Community Action Program Region VII, Inc.	Full onsite	FY1 Q3	10/20/2015	

10.2. Monitoring Policies:

Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

See attachment.

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

60

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? Yes No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

Note: The QIP information is associated with State Accountability Measures 4Sc.

0

10.6. Reporting of QIPs:

Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

The State does not currently have any entities on QIPs. If we put an entity on QIP, we would report this entity to OCS within 30 days of approving the QIP.

10.7. Assurance on Funding Reduction or Termination:

Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding

terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". Yes No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

A determination to terminate the designation or reduce the funding of an eligible entity can be reviewed by the Secretary of the Department of Health and Human Services. The entity will be informed that they can request that the State notify the Secretary of the entity's request for a review of the State's decision to terminate or reduce the award, no later than 5 days prior to the effective date of termination. If a review by the Secretary has been requested, the State will not terminate the award until the review has been completed. The Secretary shall complete the review no later than 90 days after receiving the documentation from the State regarding the termination or reduction of funding. If the Secretary does not complete the review within the 90 days, the State's determination will become final at the end of the 90th day. In the grant attachments to CSBG awards to eligible entities, reference is made to termination of funding. Those citations are in Part II, I and J General Assistance Terms & Conditions and Part III, S - Programmatic Terms & Conditions for the Community Services Block Grant.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? Yes No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The State utilizes an accrual form of accounting which applies a breakdown of funds, projects, and activity numbers specific to each grant. It also identifies expenditures for each subrecipient, administrative costs and discretionary funds. Monthly reports are run and verified to make sure that the funds have been disbursed appropriately. The SF-425 is prepared on a semi-annual and annual basis. Report and spreadsheet documentation are kept on file during the records retention time period. The subrecipients are financially monitored every two years to make sure that they are following their approved budget, have the appropriate internal control system in place, and expenditures are allowable. Our state agency is also audited by our State Auditors office on a biennial basis for the state Single Audit.

10.12. Single Audit Management Decisions:

Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE FOR LINK TO 45 CFR Â§75.521](#)

Note: This information is associated with State Accountability Measure 4Sd.

Assurance 678D(a)1 and 678D(a)2): The DCS, as administering agency of the CSBG on behalf of the State of North Dakota, has established fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the CSBG Act. The DCS is responsible for fiscal control, accountability and proper disbursement of CSBG funds. The DCS requires all CSBG subgrantee accounting systems to meet the requirements established by OMB Super Circular CFR Part 200. Each subgrantee is required to submit an annual audit of its operations to the DCS, prepared in accordance with the audit standards in CFR Part 200.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? Yes No

If this is the first year filling out the automated State Plan, skip the following question.

10.14. Performance Management Adjustment:

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

No adjustment is necessary at this time.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other Full onsite monitoring every two years.

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- Other Every other year at the time we monitor. More often if there are vacancies discovered at monitoring visits.

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

Note: This response will link with the corresponding assurance, item 14.10.

To ensure compliance with the CSBG Act, the State requires that each CAA, as part of the CSBG application process, provide a description of the procedures the agency has in place to ensure that a low income individual, community organization, or religious organization, or representative of low income individuals that considers its organization, or low income individuals, to be inadequately represented on the agency board, can petition for adequate representation on the Board. Each CAA has reviewed agency bylaws, revising them as necessary, to ensure compliance with this provision. A copy of the bylaws section addressing this requirement is provided to DCS with the agency community action plan. The CSBG Certification attached to the grant agreement between the DCS and CSBG subgrantees similarly addresses this compliance issue in that document. The Certification form is signed by the Board Chair of each CAA board.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. Yes No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Yes. State policy is in section C of our administrative manual (attached).

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Exceptions to the eligibility criteria could include food pantries, donations centers, assistive equipment items that are donated to the agency to be donated to eligible clients of the agency. If an individual needs food or assistive equipment and the entity has it available, a client should not be prevented from accessing because they don't meet the guidelines. Clients who claims no income must sign and date a self-declaration form attesting to the fact. The eligibility worker must also sign and date that form.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

The State reviews the eligible entities regional needs assessment to ensure the services are targeted at communities with demonstrated need. In addition to needs assessment, the State may ask for additional data to back up the needs assessment. The additional data can be in the form of regional planning data, city and county commission meeting notes, board of director minutes, and feedback from clients and community groups if available.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 13 Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act
- An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

See attachment.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

See attachment in 13.1a

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

Note: This response will also link to the corresponding assurance, Item 14.12.

The State reviews quarterly data submitted by eligible entities to look at/compare progress of activities submitted in their work plans. When applications and workplans are submitted, the State reviews data such as local planning documents, needs assessments, board minutes, census data, past outcome data, and client satisfaction surveys (if conducted) to ensure service delivery is efficient and effective.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

The State requires eligible entities to submit an application packet prior to awarding funds to the entity. The application requires, among many other documents, the submission of a CSBG work-plan (see attached document).

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

The State and the State Community Action Association (CAPND) assisted each eligible entity in conducting a Needs Assessment to meet the requirements of the CSBG Act. The State and the State's seven Community Actions are have completed a 2017 Needs Assessment Survey for 2018-2019 CSBG application. This survey covered all 53 counties served by the North Dakota Community Services Block Grants program.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (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 community, which may include 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 individual and family needs;
- (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;

See attachment.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

See attachment

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Through their collaboration efforts, the CAAs and CAPND continue to strengthen their coordination with other service providers serving low income individuals and families on local, regional and state levels. As roll-up TANF funds have become available in the past, the CAAs have submitted proposals and/or been funded to provide supportive services to State Welfare Reform efforts, including GED/basic educational programs and job retention activities. The linkages detailed in Section F, State Community Services Program Implementation, 1. Program Overview, b. Linkages, in the CSBG Narrative section of this plan documents numerous coordination and collaboration activities between the CAAs and other programs. The availability of programs and services to address unmet needs strengthens the service delivery within the State. Working with other programs and entities throughout the service area strengthens the collaborative efforts of meeting the unmet needs of low income citizens, which benefits all providers and programs including State, Regional and County Social and Human Service programs involved in Welfare Reform efforts. CAPND, CAA and DCS staff continue to maintain open communication with staff from the ND Department of Human Services and other state entities. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. These linkages enhance the activities of the state and the CAAs in helping low income people in becoming more self-sufficient and enhances their efforts to become employed or maintain their employment, better educated, financially solvent and more involved in their communities.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

a. Service Delivery System: The State has limited eligibility for CSBG funding to the seven (7) existing Community Action Agencies receiving federal anti-poverty funding in 1981: Region II Community Action Partnership Region III Dakota Prairie Community Action Agency Region IV Red River Valley Community Action Region V Southeastern North Dakota Community Action Agency Region VI Community Action Region VI Region VII Community Action Program Region VII Regions VIII & I Community Action Partnership CSBG funded CAAs serve the entire State. Each CAA develops a community action plan that they submit to the State for their request for CSBG funding. That plan addresses the determined needs of the service area, the services they will provide and coordinate through their CSBG award, a description of how services will be delivered and how the agency will coordinate services with other service providers in their service areas. The plans also address how the programs will be targeted to low income individuals and families. Since North Dakota has the statewide provision of community action services, the services delivered and coordinated in each region will be addressed through the CAA community action plans. If any geographic area of the State would cease to be served by an existing eligible entity, and the Governor of North Dakota, as the Chief Executive Officer, decides to serve the unserved area, he may solicit applications from and designate as an eligible entity (1) A private nonprofit organization, which may include an eligible entity, that is located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of the CSBG Act; and (2) A private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area. The entity would need, prior to being designated as an eligible entity, to add additional members to the board to ensure that they meet the tripartite board requirements outlined in Section 676B(a) of the CSBG Act. (3) If there is no private nonprofit organization identified or determined to be qualified to serve the unserved area as an eligible entity, the Governor may designate a political subdivision of the State to serve as an eligible entity for the unserved area.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

a. Service Delivery System: The State has limited eligibility for CSBG funding to the seven (7) existing Community Action Agencies receiving federal anti-poverty funding in 1981: Region II Community Action Partnership Region III Dakota Prairie Community Action Agency Region IV Red River Valley Community Action Region V Southeastern North Dakota Community Action Agency Region VI Community Action Region VI Region VII Community Action Program Region VII Regions VIII & I Community Action Partnership CSBG funded CAAs serve the entire State. Each CAA develops a community action plan that they submit to the State for their request for CSBG funding. That plan addresses the determined needs of the service area, the services they will provide and coordinate through their CSBG award, a description of how services will be delivered and how the agency will coordinate services with other service providers in their service areas. The plans also address how the programs will be targeted to low income individuals and families. Since North Dakota has the statewide provision of community action services, the services delivered and coordinated in each region will be addressed through the CAA community action plans. If any geographic area of the State would cease to be served by an existing eligible entity, and the Governor of North Dakota, as the Chief Executive Officer, decides to serve the unserved area, he may solicit applications from and designate as an eligible entity (1) A private nonprofit organization, which may include an eligible entity, that is located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of the CSBG Act; and (2) A private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area. The entity would need, prior to being designated as an eligible entity, to add additional members to the board to ensure that they meet the tripartite board requirements outlined in Section 676B(a) of the CSBG Act. (3) If there is no private nonprofit organization identified or determined to be qualified to serve the unserved area as an eligible entity, the Governor may designate a political subdivision of the State to serve as an eligible entity for the unserved area.

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

Each CAA, in FY2018 and FY2019, will continue to maintain, as part of their annual CSBG-funded program, emergency food banks, direct assistance (food vouchers to grocery stores). The CAAs also utilize CSBG funding to administer and/or support other programs with little or no administrative funding, including FEMA, HOME, TEFAP and other funding sources they receive which are directed to the emergency needs of low income clients. In addition to providing direct services to clients needing emergency assistance, the CAAs, through their networking, assist clients in accessing needed information and services from other service providers as needed. FEMA funds, Energy Share, CSBG and other private donations are used to provide and/or coordinate emergency services, including food, transportation, medical, energy, shelter assistance for displaced persons or families and safe homes for abused adults and children. The emergency assistance funds are used to provide short-term assistance to homeless and other low income clients in need. The effort focuses on meeting basic needs of these households utilizing community resources, and helping individuals and families look beyond the current emergency need to plan for the future so they can prevent or minimize additional emergency or crisis situations. Self Reliance and other CAA staff are available to assist clients in devising long-term solutions to their situations. The CAAs have seen and continue to monitor increases in emergency service

needs and clients due to a number of factors including increases in the cost of living, limited job opportunities, low paying jobs, lay-offs and welfare reform. The CAAs have strengthened their efforts to make sure that client intakes and assessments are looking at the total picture of the client's situation and needs, instead of just meeting the identified emergency need for which the client is seeking assistance. This provides clients with more information on CAA services as well as other programs or resources that could assist them. This approach helps to better assess the needs in an effort to help the client look at and address barriers to self-sufficiency instead of a band-aid approach that only meets the current emergency need that brought them to the agency.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

 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 to 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).**

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) 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)

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

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

** 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant**

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. 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.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:



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

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 \$1000 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.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.