

Model State Plan(CSBG)
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: <input type="radio"/> Application <input type="radio"/> Plan <input checked="" type="radio"/> Other (2 Year)	* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		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: [Virginia](#)

* b. Employer/Taxpayer Identification Number (EIN/TIN): [1540959533A2](#) * c. Organizational DUNS: [015571326](#)

* d. Address:

* Street 1:	801 East Main Street	Street 2:	15th Floor
* City:	Richmond	County:	
* State:	VA	Province:	
* Country:	United States	* Zip / Postal Code:	23219 - 2901

e. Organizational Unit:

Department Name: [Virginia Department of Social Services](#) Division Name: [Community and Volunteer Services](#)

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Matt	Middle Name:	* Last Name: Fitzgerald
Suffix:	Title:	Organizational Affiliation:	
* Telephone Number: (804) 726-7142	Fax Number:	* Email: matt.fitzgerald@dss.virginia.gov	

* 8a. TYPE OF APPLICANT:
[A: State Government](#)

b. Additional Description:

* 9. Name of Federal Agency:

10. CFDA Numbers and Titles	Catalog of Federal Domestic Assistance Number: 93569	CFDA Title: Community Services Block Grant
-----------------------------	---	---

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant
[7](#)

b. Program/Project:

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 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

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 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	Virginia Department of Social Services		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
<input type="radio"/> Community Services Department			
<input checked="" type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Other, describe			
1.1c. Division, bureau, or office of the CSBG authorized official	Division of Community and Volunteer Services, Office on Volunteerism and Community Services		
1.1d. Authorized official of lead agency	Commissioner Margaret Schultze		
1.1e. Street Address	801 East Main Street		
1.1f. City	Richmond	1.1g. State VA	1.1h. Zip 23219
1.1i. Telephone number and extension (804) 726 - 7142 ext.		1.1j. Fax number: (804) 726 - 7088	
1.1k. Email address matt.fitzgerald@dss.virginia.gov		1.1l. Lead agency website http://www.dss.virginia.gov/community/csbg.cgi	

1.2. Provide the following information in relation to the designated State CSBG point of [contact](#)

1.2a. Agency name	Virginia Department of Social Services		
1.2b. Name of the point of contact	Matt Fitzgerald		
1.2c. Street address	801 E. Main Street		
1.2d. City	Richmond	1.2e. State VA	1.2f. Zip 23219
1.2g. Point of contact telephone number (804) 726 - 7142 ext.		1.2h. Fax number (804) 726 - 7088	
1.2i. Point of contact email address matt.fitzgerald@dsds.virginia.gov		1.2j. Point of contact agency website http://www.dss.virginia.gov/community/csbg.cgi	

1.3. Designation Letter:

Attach the State's official [CSBG designation letter](#). If either the governor or designated agency has changed, update the letter accordingly.

Section 2: State Legislation and Regulation

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 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.

<http://law.lis.virginia.gov/vacode/title2.2/chapter54/section2.2-5408/>

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

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 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.

The Virginia Department of Social Services mission: People helping people triumph over poverty, abuse and neglect to shape strong futures for themselves, their families and communities. Vision: A Commonwealth in which individuals and families have access to adequate, affordable, high-quality human/social services that enable them to be the best they can. Major focus areas of VDSS include, food and nutrition, childcare, early childhood education, domestic violence, refugee resettlement and licensing.

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.)

1) Ensure that citizens of the Commonwealth can identify the services available within the Virginia Community Action network by locality, and access them when needed. 2) Assist the network of CSBG eligible entities to operate effectively, deliver quality services, lead in their communities and improve the lives of low-income individuals. 3) Promote and assist the continued development of partnerships and collaboration to further the impact of Community Action in each locality. 4) Work closely with the Virginia State Association to coordinate and maximize the delivery of technical assistance and training, particularly with regard to meeting Organizational Standards. 5) Provide effective, efficient, thoughtful, and impactful training and technical assistance to the Virginia Community Action network, utilizing all available technologies and training strategies.

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)
- National organizations (describe)
- 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 involved CSBG eligible entities and the State Association through meetings, comment periods and phone conferences. The State Plan was available online for an initial 30 day comment period for eligible entities. Suggestions were taken into consideration and changes were made. A detailed presentation of the entire State Plan was delivered at the State Association annual conference, and additional comments on the plan were accepted and incorporated into the 2nd draft. The state will also hold a 30 day public comment period from July 15, 2016- August 15, 2016, this was publicized in a regional newspaper. The state CSBG office will present the state plan to the Joint Sub-Committee on Block Grants for approval during a legislative hearing. Eligible entities and program recipients attended and provided statements at the hearing.

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 1Sb\(i\) and \(ii\)](#) and may pre-populate the State's annual report form)

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: [65](#)

(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

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 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.

The state held a 30 day public comment period was held from July 15, 2016-August 15, 2016, this notice was publicized in a regional newspaper and the plan was available online.

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.

The state publicized the date of the public hearing 30 days in advance, the State Plan was available for review online and comments were accepted via email and mail.

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			

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

Section 5: CSBG Eligible Entities

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 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, Tribe 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	Alexandria Office of Community Services	Public	Community Action Agency (CAA)	City of Alexandria	
2	Appalachian Community Action and Development Agency	Nonprofit	Community Action Agency (CAA)	Counties of Lee, Scott and Wise; City of Norton	
3	Arlington Department of Community Planning, Housing and Development	Public	Community Action Agency (CAA)	County of Arlington and City of Falls Church	
4	Bay Aging	Nonprofit	Community Action Agency (CAA)	Counties of Essex, Gloucester, Lancaster, Mathews, Middlesex, Northumberland, Richmond and Westmoreland	
5	CAPSAW - Community Action Partnership of Staunton, Augusta and Waynesboro	Public	Community Action Agency (CAA)	County of Augusta; Cities of Staunton and Waynesboro	
6	CAPUP - Capital Area Partnership Uplifting People	Nonprofit	Community Action Agency (CAA)	Cities of Hopewell, Petersburg, Richmond and Counties of Dinwiddie and Prince George	
7	Clinch Valley Community Action	Nonprofit	Community Action Agency (CAA)	Tazewell County	
8	Eastern Shore Area Agency on Aging & Community Action Agency	Nonprofit	Community Action Agency (CAA)	Counties of Accomack and Northampton	
9	Fairfax Department Of Family Services	Public	Community Action Agency (CAA)	County of Fairfax and City of Fairfax	
10	Goochland County Community Action Program	Public	Community Action Agency (CAA)	Goochland County	
11	Lynchburg Community Action Group (LynCAG)	Nonprofit	Community Action Agency (CAA)	Counties of Amherst, Appomattox, Bedford, Campbell; Bedford, Lynchburg	
12	Monticello Area Community Action Agency (MACAA)	Nonprofit	Community Action Agency (CAA)	Counties of Albemarle, Fluvanna, Louisa, and Nelson; City of Charlottesville	
13	Mountain Community Action Program	Nonprofit	Community Action Agency (CAA)	Counties of Bland, Smyth, and Wythe	
14	New River Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Counties of Floyd, Giles, Montgomery, and Pulaski; City of Radford	
15	Hampton Roads Community Action Program (Formally Office Of Human Affairs)	Nonprofit	Community Action Agency (CAA)	Cities of Hampton and Newport News	
				Counties of Buchanan, Clarke, Culpeper,	

16	People Incorporated of Virginia	Nonprofit	Community Action Agency (CAA)	Dickenson, Fauquier, Frederick, Page, Prince William, Rappahannock, Russell, Shenandoah, Warren, and Washington; Cities of Bristol, Manassas and Manassas Park
17	Pittsylvania County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Counties of Henry and Pittsylvania, Cities of Danville and Martinsville
18	Powhatan County Community Action Program	Public	Community Action Agency (CAA)	County of Powhatan
19	Quin Rivers, Inc.	Nonprofit	Community Action Agency (CAA)	Counties of Caroline, Charles City, Hanover, King and Queen, King George, King William, New Kent, Spotsylvania, and Stafford; City of Fredericksburg
20	Rooftop Of Virginia Community Action Program	Nonprofit	Community Action Agency (CAA)	Counties of Carroll and Grayson, City of Galax
21	Skyline Community Action Program	Nonprofit	Community Action Agency (CAA)	Counties of Greene, Madison, and Orange
22	STEP, Incorporated	Nonprofit	Community Action Agency (CAA)	Counties of Franklin and Patrick
23	STEPS, Inc.	Nonprofit	Community Action Agency (CAA)	Counties of Amelia, Buckingham, Cumberland, Lunenburg, Nottoway and Prince Edward
24	STOP Incorporated (formally The STOP Organization)	Nonprofit	Community Action Agency (CAA)	Counties of Isle of Wight and Southampton, Cities of Chesapeake, Franklin, Norfolk, Portsmouth, Suffolk, and Virginia Beach
25	Total Action for Progress, (TAP)	Nonprofit	Community Action Agency (CAA)	Counties of Allegheny, Bath, Botetourt, Craig, Roanoke; Cities of Rockbrige, Buena Vista, Covington, Lexington, Roanoke, and Salem
26	Tri-County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Counties of Charlotte, Halifax, and Mecklenburg
27	The Improvement Association	Nonprofit	Community Action Agency (CAA)	Counties of Brunswick, Greensville, Sussex, and Surry; City of Emporia
28	Williamsburg/James City County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Counties of James City and City of Williamsburg

5.2 Total number of CSBG eligible entities **28**

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

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 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

- attach the complete list of alternative organizational standards,
- describe the reasons for using alternative standards, and
- 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)
- The State will use an alternative set of organizational standards

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.

Each eligible entity completed a self-assessment of Organizational Standard in May, 2015, the state then developed training and technical assistance plans with each entity based on the standards that were assessed at partially met or unmet. The state has been working with each entity over the past year to provide resources and assistance to help them meet each standard. The state will do a desk audit of documentation during the application process and on an ongoing basis through June 30, 2017. We will provide feedback and training/technical assistance plans for the standards that agencies have not met. On-site monitoring will be used to confirm documentation.

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)* 65%

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

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 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.

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other, describe

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	Alexandria Office of Community Services	\$0	1.50%	\$0	1.50%
2	Appalachian Community Action and Development Agency	\$0	2.62%	\$0	2.62%
3	Arlington Department of Community Planning, Housing and Development	\$0	1.66%	\$0	1.66%
4	Bay Aging	\$0	2.75%	\$0	2.75%
5	CAPSAW - Community Action Partnership of Staunton, Augusta and Waynesboro	\$0	2.08%	\$0	2.08%
6	CAPUP - Capital Area Partnership Uplifting People	\$0	7.10%	\$0	7.10%
7	Clinch Valley Community Action	\$0	1.50%	\$0	1.50%
8	Eastern Shore Area Agency on Aging & Community Action Agency	\$0	1.50%	\$0	1.50%
9	Fairfax Department Of Family Services	\$0	6.07%	\$0	6.07%
10	Goochland County Community Action Program	\$0	1.50%	\$0	1.50%
11	Lynchburg Community Action Group (LynCAG)	\$0	4.56%	\$0	4.56%
12	Monticello Area Community Action Agency (MACAA)	\$0	3.51%	\$0	3.51%
13	Mountain Community Action Program	\$0	1.79%	\$0	1.79%
14	New River Community Action, Inc.	\$0	3.98%	\$0	3.98%
15	Hampton Roads Community Action Program (Formally Office Of Human Affairs)	\$0	4.36%	\$0	4.36%
16	People Incorporated of Virginia	\$0	11.17%	\$0	11.17%
17	Pittsylvania County Community Action Agency	\$0	4.16%	\$0	4.16%
18	Powhatan County Community Action Program	\$0	1.50%	\$0	1.50%
19	Quin Rivers, Inc.	\$0	4.89%	\$0	4.89%
20	Rooftop Of Virginia Community Action Program	\$0	1.59%	\$0	1.59%
21	Skyline Community Action Program	\$0	1.50%	\$0	1.50%

22	STEP, Incorporated	\$0	1.53%	\$0	1.53%
23	STEPS, Inc.	\$0	2.58%	\$0	2.58%
24	STOP Incorporated (formally The STOP Organization)	\$0	12.99%	\$0	12.99%
25	Total Action for Progress, (TAP)	\$0	6.00%	\$0	6.00%
26	Tri-County Community Action Agency	\$0	2.18%	\$0	2.18%
27	The Improvement Association	\$0	1.93%	\$0	1.93%
28	Williamsburg/James City County Community Action Agency	\$0	1.50%	\$0	1.50%
Total		\$0	100.00%	\$0	100.00%

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).

Upon receipt of a funding letter from HHS (currently received each quarter), VDSS/OVCS begins by determining the amount of funds to be distributed to each entity. According to Virginia Administrative Code, 22VAC40-901-20, all increased state or federal funds shall be distributed to local community action agencies based on the following formula: 75% based on low-income population, 20% based on number of jurisdictions, and 5.0% based on square mileage served. This formula shall be adjusted to ensure that no agency receives less than 1.5% of any increase. Because of the allocation formula outlined above once the state receives our funding letter from OCS, it takes about 2 days to complete the allocation. Upon completion of the allocation, budget solicitation documents are created for internal use, and contract documents are created to be sent to eligible entities. These are distributed for signature, and returned. This process takes at least a week, usually more for some of the public entities. After receiving the returned documents, they are routed through the signature process in VDSS. This can take 7 to 14 days. Fully executed documents are then returned to the eligible entity.

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 has increased electronic distribution of contracts, and we also have the ability to receive the signed copies electronically, which allows us to speed up the process. The state has also streamlined staff responsibilities and created internal procedures surrounding contract administration, these coordinated efforts have brought improvements to the contract administration process.

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 \$ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **6**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **5**

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(See Section 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	\$0.00	0.00%	\$0.00	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	\$0.00	0.00%	\$0.00	0.00%	
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%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	5.00%	\$0.00	5.00%	Use of Virginia CSBG Discretionary Funds are dictated in the Virginia Administrative Code AA§ 2.2-5408. Three statewide Organizations are funded using the 5% Discretionary Funds. Three Statewide organizations are funded through the discretionary funds. Those organizations are Southeast Rural Community Assistance Project, Inc., providing assistance to rural low-income communities and families in obtaining safe and affordable drinking water and sanitary waste disposal facilities. Virginia Cares, a statewide ex-offender service and Project Discovery, a statewide organization that provides educational intervention for secondary school students from disadvantaged families, encouraging them to remain in school and pursue post-secondary education or training.
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	\$0.00	5.00%	\$0.00	5.00%	

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)
- 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
- 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 use of discretionary funds is in State Code, we have not considered changes to the state code at this point.

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)

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

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 3Sc](#) and 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	FY1-Q3	Training	Other	Training for Fiscal Officers at Annual Virginia Community Action Partnership Conference
2	FY1-Q4	Training	Other	Training for Fiscal Officers at Annual Virginia Community Action Partnership Conference
3	FY2-Q3	Training	Other	Training for Fiscal Officers at Annual Virginia Community Action Partnership Conference
4	FY2-Q4	Training	Other	Training for Fiscal Officers at Annual Virginia Community Action Partnership Conference
5	Ongoing / Multiple Quarters	Both	ROMA	
6	FY1-Q1	Training	Community Assessment	
7	Ongoing / Multiple Quarters	Training	Other	Monthly Webinars based on current topics relevant to Virginia Community Action Agencies
8	FY1-Q2	Training	Strategic Planning	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$0

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).

Each eligible entity has a Training/Technical Assistance Plan for current unmet needs as defined in a self assessment, the standards will be reassessed by June, 2017 and Training/Technical Assistance Plans will be updated.

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 State CSBG Office

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 Office is now focusing on regional in person training's and monthly training webinars. The state association will be focusing on individual agency needs.

Section 9: State Linkages and Communication

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 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

Coordination with Weatherization Office for training and monitoring. Coordination with State TANF, as we receive State TANF funds for CSBG agencies and report on them to state TANF office. Coordination with SNAP in identifying needs in CAA areas. Coordination with State Head Start Office on monitoring and information sharing. add about liheap and wioa... *[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.

The State administers CSBG in a diverse state with varied needs. The State's strategy centers on ensuring local coordination through local services providers. The State requires eligible entities to coordinate services at a local level. The annual community action plan describes the eligible entities efforts within their service area. Eligible entities should work with city, county, schools, non-profits and other local and regional organizations to avoid duplication of services with other providers. Eligible entities are encouraged to participate in local social service and regional coalitions and taskforces to coordinate services. *[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.

The state requires eligible entities to coordinate funds at the local level. The annual community action plan has to describe coordination efforts with other organizations. The state will review these linkages and coordination efforts through quarterly reports and through the application. *[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.

Eligible entities must submit a Community Action Plan annually to the state. This document includes a section where eligible entities describe any gaps in services and the strategy that will be used to address the gaps. If a gap is not currently being addressed or not being sufficiently addressed, entities are instructed to develop and implement a strategy to work with other organizations in their local communities.

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.

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.

pull language from liheap

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.

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services including faith-based organizations, charitable groups, and community organizations. Close coordination and referral takes place with these organizations. The State oversees the Faith-based and Community Initiative, this allows for strong collaboration between eligible entities and Faith-based groups. *[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.

Annually, CSBG eligible entities must submit a Community Action Plan to the State. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services, including private and public organizations. They also provide an agency wide budget, which is an overview of the funds they receive as an agency. Many of the CSBG eligible entities obtain either in-kind assistance or funds from local governments to support the programs that they administer, including donations of space in local government facilities to be utilized by eligible entities to provide CSBG supported services.

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 works closely with the Virginia Community Action Partnership (VACAP). The state attends all VACAP conferences and meetings, we also lead Taskforce groups of State Association members, provide training at VACAP events, and we provide funding for staff members at the State Association to coordinate workshops and training's.

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	Monthly Newsletter for Eligible Entities which includes resources, upcoming training's and network highlights.	Monthly	Newsletter	
2	State Program Representatives will conduct individual monthly calls with each eligible entity. Training/TA plans, Board Vacancies and other pertinent information will be discussed.	Monthly	Other	Phone Meeting
3	The State CSBG office will update the website, as needed, with resources, best practices and policies.	Weekly	Website	
	The State CSBG office will hold quarterly meetings with			

4 eligible entities in coordination with the Virginia Community Action Partnership (VACAP) meetings.	Quarterly	Meetings/Presentation	
--	-----------	-----------------------	--

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 each eligible entity with feedback on their performance related to National Performance Indicators (NPI) through monthly call's and email communication. The state requires that eligible entities submit a quarterly report, these reports are reviewed and any potential errors or discrepancies are reported and technical assistance is provided where necessary. The state will inform eligible entities of their performance within 60 days of receiving feedback from OCS. This information will be sent to eligible entities via email or phone call.

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.

The state has started monthly calls and monthly newsletters. The State is also moving to other communication methods other than email, we also have contacts at all levels of the agency, we no longer just have contact with the Executive Directors. We regularly communicate with Finance and Program staff.

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)

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

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	Alexandria Office of Community Services	Full onsite	FY2 Q1	12/01/2014	
2	Appalachian Community Action and Development Agency	Full onsite	FY1 Q1	09/30/2013	
3	Arlington Department of Community Planning, Housing and Development	Full onsite	FY2 Q3	02/23/2016	
4	Bay Aging	Full onsite	FY2 Q4	06/01/2016	
5	CAPSAW - Community Action Partnership of Staunton, Augusta and Waynesboro	Full onsite	FY1 Q2	08/01/2013	
6	CAPUP - Capital Area Partnership Uplifting People	Full onsite	FY1 Q3	02/01/2014	
7	Clinch Valley Community Action	Full onsite	FY2 Q2	11/01/2015	
8	Eastern Shore Area Agency on Aging & Community Action Agency	Full onsite	FY2 Q3	01/24/2016	
9	Fairfax Department Of Family Services	Full onsite	FY2 Q3	03/21/2016	
10	Goochland County Community Action Program	Full onsite	FY2 Q4	06/01/2016	
11	Lynchburg Community Action Group (LynCAG)	Full onsite	FY1 Q3	03/01/2014	
12	Monticello Area Community Action Agency (MACAA)	Full onsite	FY1 Q1	08/01/2014	
13	Mountain Community Action Program	Full onsite	FY1 Q1	03/01/2013	
14	New River Community Action, Inc.	Full onsite	FY2 Q3	04/01/2016	
15	Hampton Roads Community Action Program (Formally Office Of Human Affairs)	Full onsite	FY1 Q2	09/01/2014	
16	People Incorporated of Virginia	Full onsite	FY2 Q4	05/01/2016	
17	Pittsylvania County Community Action Agency	Full onsite	FY2 Q1	03/01/2015	
18	Powhatan County Community Action Program	Full onsite	FY1 Q3	01/25/2013	
19	Quin Rivers, Inc.	Full onsite	FY2 Q1	02/01/2014	
20	Rooftop Of Virginia Community Action Program	Full onsite	FY1 Q2	10/01/2013	
	Skyline Community Action				

21	Program	Full onsite	FY2 Q2	10/01/2015	
22	STEP, Incorporated	Full onsite	FY1 Q4	05/01/2015	
23	STEPS, Inc.	Full onsite	FY2 Q2	10/01/2015	
24	STOP Incorporated (formally The STOP Organization)	Full onsite	FY1 Q4	05/01/2014	
25	Total Action for Progress, (TAP)	Full onsite	FY1 Q2	12/01/2013	
26	Tri-County Community Action Agency	Full onsite	FY2 Q2	08/01/2015	
27	The Improvement Association	Full onsite	FY2 Q1	10/01/2014	
28	Williamsburg/James City County Community Action Agency	Full onsite	FY1 Q4	06/01/2015	

10.2. Monitoring Policies:

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

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 will contact the Office of Community Services either by phone or through email to inform them of eligible entities on a Quality Improvement Plan.

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.

See State Administrative Code at <http://lis.virginia.gov/cgi-bin/legp604.exe?000+reh+22VAC40-901-60+700041>, <http://lis.virginia.gov/cgi-bin/legp604.exe?000+reg+22VAC40-901-40>, <http://law.lis.virginia.gov/vacode/title2.2/chapter54/section2.2-5407/>

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.

look for..

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.

See State Administrative Code at <http://lis.virginia.gov/cgi-bin/legp604.exe?000+reh+22VAC40-901-60+700041>, <http://lis.virginia.gov/cgi-bin/legp604.exe?000+reg+22VAC40-901-40>, <http://law.lis.virginia.gov/vacode/title2.2/chapter54/section2.2-5407/>

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).

• Maintain a list of all CSBG sub-recipients. • Review OMB A-133 and the VDSS, DOF - General Services • Sub-recipient or Contractor Determination Form • to determine which sub-recipients require Single Audits. • Follow up with sub-recipients to obtain a copy of their Single Audit Report within the time allowed. The time allowed is nine months after the sub-recipient's fiscal year end or 30 days after issue of the audit report; whichever comes first. • Record the results of the audit tests on the spreadsheets, using the appropriate tick mark. Identify possible financial, compliance, internal control findings and questioned costs relevant to the VDSS. • Post the name of the Non-Profit, findings and questioned costs to the schedule of Non-Profit Financial Audit Findings The schedule should include the program, condition, criteria, cause, effect, questioned costs and recommendation. • Determine if a corrective action plan was present and if the plan adequately addressed the stated findings and questioned costs. The reviewing auditor should consider the nature and materiality of the findings before requesting a corrective action plan. Such a plan is not necessary for immaterial and isolated examples of non-compliance. • Obtain copy of corrective action plan if not included with the audit report. • Communicate with the appropriate VDSS Grant Managers and / or VDSS Management to confirm that adequate corrective action has taken place for the findings and questioned costs. • Discuss the findings and questioned costs with the Deputy Commissioner -Operations depending upon significance of findings and questioned costs and in the Sub-Recipient Monitors Coordinators meetings. • The appropriate VDSS Grant Manager is responsible for and provides follow up with the Non-Profit Organization to address findings and questioned costs. • Determine whether the audits were conducted in accordance with the Single Audit Act of 1984 and its amendments: OMB Circular A-133; The Code of Virginia, Section 15.2-2511; and United States Code, Title 31, Chapter 75, Section 7502, (f), (2), (c) & (h), (1) and (B).

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 §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 §75.521](#)

Note: This information is associated with [State Accountability Measure 4Sd](#).

The State follows Generally Accepted Accounting Principles (GAAP) and GASB (Government Accounting Standards Board) pronouncements with respect to our accounting practices while adhering to state and federal law as to the allowable spending of Block grant funds. Our system or accounting string in FAAS/CARS allow us to segregate expenditures by fund, program, cost code, project, etc. and allows for a clear delineation of each type of transaction. Therefore it is easy to categorize or group expenditures specifically as it relates to CSBG or any grant for that matter. Our state auditors coupled with the federal monitoring/audits of our various programs ensure the integrity of our transactions and the reporting of them.

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 4Sb](#) and may pre-populate the State's annual report form.

The State has reviewed and revised the monitoring procedures to more efficiently monitor eligible entities. The has modified the public monitoring checklists to fit Public Community Action Agencies. We also have developed a pre-monitoring checklist to allow for a further in-depth desk audit prior to monitoring. We have also made slight modifications to the monitoring letter in order to be clearer.

Section 11: Eligible Entity Tripartite Board

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 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

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

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.

Section 676B of the Community Services Block Grant Act and Section 2.2-5403 of the Virginia Community Action Act both require eligible entities to have a tripartite governing board in order to be a community action agency. Virginia statutes provide that, in the case of a public community action agency, the local governing body determines the authority of the tri-partite advisory board. As part of their annual application to the State, agencies must submit a listing of board members detailing the tri-partite structure of the board, current terms, and other information. These listings are reviewed prior to execution of annual CSBG contracts and again as part of the monitoring process. In addition, during on-site monitoring reviews, agency by-laws are reviewed to ensure that tri-partite board structures are maintained. State staff conduct monthly calls with each agency and discuss the tri-partite board on each monthly call to determine vacancies and discuss best practices in regards to obtaining a full tri-partite board. And finally, community action agencies in Virginia are required to have procedures in their by-laws to ensure that various community stakeholders who feel they are underrepresented can petition for adequate representation on the tripartite 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)

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

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

X% of the HHS poverty line (fill in the threshold) % *[Response Option: numeric field]*

Varies by eligible entity

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

The state uses the HHS Poverty Guidelines, each entity also must conduct income verification with each intake. The intake forms and income verification information is reviewed during monitoring.

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.

If proof of income is not possible or practical, the applicant must complete and sign a self certification form. The forms are reviewed during on-site monitoring visits.

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?

For services that provide a community-wide benefite, eligible entities provide documentation for the community they are working, this documentation could include, census data, community survey's or other income verification information.

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.

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.

The State provides training and technical assistance on ROMA elements. The state has 1 certified ROMA trainer within the office, who is available to work with agencies on ROMA Principles. The state is piloting the Certified ROMA Implementer program with a goal of having 1 ROMA trained individual in each agency and 2 additional state office staff trained as ROMA Implementer's. The State Office staff participate in Region 3 RPIC, which also helps to provide ROMA training to entities.

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 validates that eligible entities are using data to improve service delivery through quarterly reports and through the needs assessment.

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 that a Community Action Plan is submitted annually with their application. The staff reviews Community Action Plans and provides technical assistance to eligible entities when needed.

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 requires that each eligible entity submit their most recent community needs assessment each year with their application. The state provides training and technical assistance as needed to ensure entities complete a community needs assessment every 3 years.

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)

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

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;

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;

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)

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;

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).

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."

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.

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.