

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 checked="" type="radio"/> Plan <input 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 type="radio"/> Initial <input checked="" 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: Montana			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1810302402B2		* c. Organizational DUNS: 05-16-59352	
* d. Address:			
* Street 1:	Intergovernmental Human Services Bureau	* Street 2:	PO Box 202956
* City:	Helena	* County:	
* State:	MT	* Province:	
* Country:	United States	* Zip / Postal Code:	59620 - 2956

e. Organizational Unit:

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

Prefix:	* First Name: Marcia	Middle Name: J	* Last Name: Lemon
Suffix:	Title: Energy & Community Services Program Manager	Organizational Affiliation:	
* Telephone Number: (406) 447-4267	Fax Number (406) 447-4287	* Email: mlemon@mt.gov	

*** 8a. TYPE OF APPLICANT:**
A: State Government

b. Additional Description:

*** 9. Name of Federal Agency:**

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

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant MT	b. Program/Project:
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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?

- YES
 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**

** 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)

11/10/2015

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
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SECTION 1

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

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

1.1a. Lead agency	Montana Department of Public Health and Human Services
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1.1b. Cabinet or administrative department of this lead agency *[Check one option and narrative where applicable]*

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe

1.1c. Division, bureau, or office of the CSBG authorized official	Human and Community Services Division
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1.1d. Authorized official of lead agency	Jamie Palagi, Administrator, Human and Community Services Division
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1.1e. Street Address	PO Box 202925
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1.1f. City	Helena	1.1g. State MT	1.1h. Zip 59620
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1.1i. Telephone number and extension (406) 444 - 6676 ext.	1.1j. Fax number: (406) 444 - 2547
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1.1k. Email address jpalagi@mt.gov	1.1l. Lead agency website http://dphhs.mt.gov/
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1.2. Provide the following information in relation to the designated State CSBG point of contact

1.2a. Agency name	Intergovernmental Human Services Bureau
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1.2b. Name of the point of contact	Kane Quenemoen
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1.2c. Street address	PO Box 202956
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1.2d. City	Helena	1.2e. State MT	1.2f. Zip 59620
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1.2g. Point of contact telephone number (406) 447 - 4267 ext.	1.2h. Fax number (406) 447 - 4287
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1.2i. Point of contact email address kquenemoen@mt.gov	1.2j. Point of contact agency website http://dphhs.mt.gov/hcsd
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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
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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

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

Montana Code Annotated (MCA) 2011 - <http://dphhs.mt.gov/Portals/85/hcsd/documents/csbmanual/100-3CSBG%2807232012%29.pdf> Administrative Rules of Montana (ARM) for the Community Services Block Grant Program - <http://dphhs.mt.gov/Portals/85/hcsd/documents/csbmanual/100-4CSBG%2807232012%29.pdf>

2.4. State Authority:

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

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

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

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

Section 3: State Plan Development and Statewide Goals

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

Montana Department of Public Health and Human Services mission: To improve and protect the health, well being and self-reliance of all Montanans. Goals: 1) All Montana children are healthy, safe and in permanent, loving homes. 2) All Montanans have the tools and support to be as self-sufficient as possible. 3) All Montanans are injury-free, healthy and have access to quality health-care. 4) All Montanans can contribute to the above through community service. Human and Community Services Division (HCSD) : The mission of the HCSD of the Montana Department of Public Health and Human Services is to support the strengths of families and communities by promoting employment and providing the assistance necessary to help families and individuals meet basic needs and work their way out of poverty.

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. Effective Agencies - a. Goal: Ensure overall effectiveness of agencies in meeting the needs of their respective community. b. Strategies: Gathering and tracking, and sharing information on what programs work and do not work by analyzing data and outcomes, provide statewide CSBG related trainings, and yield an effective monitoring process. 2. Community Needs Assessment - a. Goal: Support eligible entities in conducting thorough Community Needs Assessments. b. Strategy: Structured guidance on enhancing the approach to the Community Needs Assessment and a facilitated process. 3. Organizational Standards - a. Goal: Support eligible entities in meeting all organizational standards. b. Strategy: Targeted training and technical assistance (as described in Sec. 8). 4. Data Systems - a. Goal: All eligible entities continue to use a statewide data system and system training needs are met. b. Strategies: Allocation of discretionary/remainder funds for IT purchases and/or data system training and technical assistance for eligible entities. Identification of training needs, facilitation of a User Group, development of new/alternate training methods and staying abreast of Federal data needs. (As detailed in Sec. 7, Use of Funds, and Section 8, training and technical Assistance, respectively.) 5. Discretionary Funds - o Goal: Develop a comprehensive process for targeting special projects and training activities as recipients of discretionary funds. o Strategies: Allocation of discretionary/remainder funds for eligible entity special projects and training needs. Development of a standardized process of application and selection.

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]

State required progress report, Agency Self Assessment of Organizational Standards, Third Party Risk Assessment Evaluation, State assurances and required narrative

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) LIHEAP, Weatherization and ESG programs are facilitated by the same bureau as CSBG. Program Staff and Monitors reviewed CSBG goals, the new Organizational Standards and agency workplans to provide input and ideas for improvement.

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 has involved eligible entities throughout the entire State Plan application process from conception to finalization as a collaborative effort. The CSBG Program Officer began State Plan discussions in the fall of 2014 focusing on the implementation of the new organizational standards which were in draft form at that time. Eligible entities began conducting self-assessments and worked with a third party contractor to conduct agency risk assessments, identifying both strengths and needed improvements. In January 2015, a State Plan kickoff meeting was held, framing the process, state and eligible entity expectations, items to be completed, and a timeline. Eligible entities were expected to turn in their self-assessments for the development of a State training and technical assistance plan, a FY2014 progress report, a current board membership list, a statement of assurances and supplemental narrative, a prospective 2016-2017 budget and a 2016-2017 ROMA focused work plan. Eligible entities were invited to review the state plan, attend the public hearing and provide comment. Efforts to update and amend monitoring processes are currently underway as well. The State developed a comprehensive CSBG monitoring tool, merging current practices with the new organizational standards, which is in a review/comment period. Eligible entities have until August 31 to submit questions, comments, concerns, or suggestions to the State for consideration before a final tool is completed and accepted. The public hearing was held on 8/18/2015. Eligible Entities were invited to attend and participate. The attached Presiding Officer Report indicates that there were no witnesses, and no testimony was presented at the hearing. Therefore, no adjustments will be made to the plan. The CSBG Monitoring Tool has since been finalized with input from Eligible

Entities. A copy of the tool in its current form is attached, but it is the intent of the State Office to use the tool as a living document, that can be adjusted as needed due to changing regulations on the federal and state level. (Attachments can be found under 'Report Attachments')

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

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and**
- 2) to ensure the State Plan reflects input from eligible entities?**

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

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

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:

(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
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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

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

The State Plan was made available to the public seven (7) days prior to the public hearing. Notice was published in the State's major newspapers. Hard Copies were available upon request and individuals had ten (10) days to submit comment.

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.

Notice of the public hearing was published in the State's major newspapers. A copy of the notice is attached. The Montana State Plan process begins nearly a year before the submission deadline involving eligible entities in every step. A timeline of key dates, including eligible entity work plan and community assessments submission dates, and potential public hearing and legislative hearing dates, is created at the beginning of the planning process. If dates are adjusted or officially finalized, all parties involved in the state planning process are notified. The timeline is communicated through regular email notifications and reminders. The State CSBG office is committed to continuing its practice of conducting state plan hearings in advance of the formal CSBG State Plan Submission date.

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 <small>[Select an option]</small>
1	8/18/2015	Helena, MT	Public
2	1/29/2013	Helena, MT	Legislative
3	2/3/2015	Helena, MT	Legislative

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

Documentation for the public hearing is attached. State CSBG activities were included in the Human and Community Service's Division presentations to the Montana Legislature, Health and Human Services Joint Appropriations Sub Committee on both January 29, 2013 and Feb 3, 2015. For the legislative hearings' agenda, please use the following hyperlink: <http://leg.mt.gov/css/Video-and-Audio/archives/av.asp>

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

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

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, 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	Action for Eastern Montana	Nonprofit	Community Action Agency (CAA)	Carter, Custer, Daniels, Dawson, Fallon, Garfield, McCone, Phillips, Powder River, Prairie, Richland, Roosevelt, Rosebud, Sheridan, Treasure, Valley, Wibaux	
2	District IV Human Resource Development Council	Nonprofit	Community Action Agency (CAA)	Hill, Liberty and Blaine	
3	Opportunities Incorporated	Nonprofit	Community Action Agency (CAA)	Cascade, Chouteau, Teton, Pondera, Toole and Glacier	
4	District 6 Human Resource Development Council	Nonprofit	Community Action Agency (CAA)	Fergus, Golden Valley, Judith Basin, Musselshell, Petroleum, and Wheatland	
5	District VII Human Resource Development Council	Nonprofit	Community Action Agency (CAA)	Big Horn, Carbon Stillwater, Sweet Grass and Yellowstone	
6	Rocky Mountain Development Council	Nonprofit	Community Action Agency (CAA)	Lewis and Clark, Broadwater and Jefferson	
7	District IX Human Resource Development Council	Nonprofit	Community Action Agency (CAA)	Gallatin, Park and Meagher	
8	Community Action Partnership of Northwest Montana	Nonprofit	Community Action Agency (CAA)	Flathead, Lake, Lincoln and Sanders	
9	District XI Human Resource Council	Nonprofit	Community Action Agency (CAA) Local Government Agency	Mineral, Missoula, and Ravalli	
10	District XII Human Resource Development Council	Nonprofit	Community Action Agency (CAA)	Beaverhead, Deer Lodge, Granite, Madison, Powell and Silver Bow	

5.2 Total number of CSBG eligible entities 10

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
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OMB No: 0970-0382
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SECTION 6 Organizational Standards for Eligible Entities

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

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

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

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

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.

Eligible entities completed the NASCSP Organizational Standards Self-Assessment Toolkit and worked with a third party contractor, Civicus, to complete an organization Risk Assessment. The majority of eligible entities submitted both documents to the CSBG Program Officer. The one that did not submit the full documents submitted summary versions of strengths and areas in need for improvement for training and technical services. The Program Officer reviewed each assessment to identify common strengths and training needs to evaluate the agencies' level of compliance and to develop a state-wide training and technical assistance plan. The Program Officer checked in with each eligible entity for an update in August. The State also developed a comprehensive CSBG monitoring tool, merging current practices with the new organizational standards, which is in a review/comment period. Eligible entities have until August 31 to submit questions, comments, concerns, or suggestions to the State for consideration before a final tool is completed and accepted.

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) %

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
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SECTION 7
 State Use of Funds

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

7.1. Formula:

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

- 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	Action for Eastern Montana	\$240,678	0.00%	\$240,678	0.00%
2	District IV Human Resource Development Council	\$124,407	0.00%	\$124,407	0.00%
3	Opportunities Incorporated	\$350,176	0.00%	\$350,176	0.00%
4	District 6 Human Resource Development Council	\$102,887	0.00%	\$102,887	0.00%
5	District VII Human Resource Development Council	\$457,792	0.00%	\$457,792	0.00%
6	Rocky Mountain Development Council	\$215,628	0.00%	\$215,628	0.00%
7	District IX Human Resource Development Council	\$300,809	0.00%	\$300,809	0.00%
8	Community Action Partnership of Northwest Montana	\$429,110	0.00%	\$429,110	0.00%
9	District XI Human Resource Council	\$452,851	0.00%	\$452,851	0.00%
10	District XII Human Resource Development Council	\$234,719	0.00%	\$234,719	0.00%
Total		\$2,909,057	0.00%	\$2,909,057	0.00%

7.3. Distribution Process:

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

Every year, a master contract is drawn between the State and each eligible entity that includes information about the total planned amount. Although eligible entities submitted a prospective work plan and budget during the planning and application phase, they are required to submit an updated work plan and budget reflecting any changes that may be needed based on funding levels. This step can take anywhere up to 30 days or less depending on work plan and detailed budget submission. As quarterly allocations are received from HHS, contracts are issued or amended immediately allowing eligible entities access to the funding. Finalizing the process can take anywhere from 1-7 days, contingent on signature response rate.

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.

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

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

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **10**

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

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

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

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

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

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

Note: This information is associated with State Accountability Measures 35a and may pre-populate the State's annual report form

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$32,864	0	\$32,864	0	
b. Coordination of State-operated programs and/or local programs	\$77,750	0	\$77,750	0	Please refer to section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities	\$1,000	0	\$1,000	0	Please refer to section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0	0	\$0	0	N/A
e. Asset-building programs	\$0	0	\$0	0	N/A
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$30,000	0	\$30,000	0	Each program year, agencies are invited to apply competitively for \$30,000. The agencies presenting a project that best fits with the intent of CSBG goals including a ROMA based plan, and aligned to the needs of their community, will be granted an award.
g. State charity tax credits	\$0	0	\$0	0	N/A
h. Other activities, specify in column 6	\$20,000	0	\$20,000	0	IT Systems - Montana Central Database System and the Montana Homeless Management Information System
Total	\$161,614	0	\$161,614	0	

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) **10**
- 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.

Section 8: State Training and Technical Assistance

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

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SECTION 8
State Training and Technical Assistance

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

Note: This information is associated with State Accountability Measure 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-Q2	Training	Reporting	
2	FY2-Q2	Training	Reporting	
3	FY1-Q2	Training	Community Assessment	
4	All quarters	Technical Assistance	Community Assessment	
5	All quarters	Technical Assistance	Other	HOPWA
6	Ongoing / Multiple Quarters	Training	ROMA	
7	All quarters	Both	Technology	
8	Ongoing / Multiple Quarters	Training	Other	Fiscal
9	FY1-Q2	Training	Strategic Planning	
10	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
11	Ongoing / Multiple Quarters	Both	Standards for eligible entities with unmet standards on TAPs and QIPs	
12	FY1-Q2	Training	Monitoring	
13	Ongoing / Multiple Quarters	Technical Assistance	Monitoring	
14	All quarters	Technical Assistance	Other	Civic Consulting
15	FY1-Q4	Training	Other	Director's Training Topic Changes
16	FY2-Q4	Training	Other	Director's Training Topic Changes

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$323,228**

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).

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

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

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

8.4. Performance Management Adjustment:

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

making any adjustments, provide further detail.

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

Section 9: State Linkages and Communication

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

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

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

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

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

State Low Income Home Energy Assistance Program (LIHEAP) office

State Weatherization office

State Temporary Assistance for Needy Families (TANF) office

State Head Start office

State public health office

State education department

State Workforce Innovation and Opportunity Act (WIOA) agency

State budget office

Supplemental Nutrition Assistance Program (SNAP)

State child welfare office

State housing office

Other

Montana Continuum of Care, Homeless Management Information System, Commodities *[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 Intergovernmental Human Services Bureau (IHSB) works locally through the eligible entities that implement CSBG funded programs, develop and maintain relationships with local government and other social services, and provide a network of referred services to clients. Please review Eligible Entity attachments for further detail. Documents attached to 14.1a. IHSB also works locally through coordinated activities of other funded programs like the Montana Continuum of Care and Housing Opportunities for People with AIDS. *[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 uses a multipronged approach to assure that all eligible entities coordinate and establish linkages in their communities. The approach assures the effective delivery and coordination of CSBG services to low-income people and communities, avoiding duplication of services. The State first reviews the Community Assessment of Need for each eligible entity. This survey should identify the resources that may be lacking in their area but also what services are already being provided and if prospective clients know about them. Eligible entities use this information to develop their CSBG work plan that includes outcomes specific to linkages, coordination of services and referrals or they will submit a description on how they are engaging in such coordination. The CSBG Program Officer and Monitors review these documents, provide input and approve the final version. Monitors will then use the documents to evaluate the work eligible entities conduct throughout the year and during monitoring visits. Eligible entities are also required to report on linkage activity and referrals at least once per year. The State maintains a state-wide database, the Centralized Database System (CDS), in which eligible entities are required to capture client information including demographics, services provided and programs utilized. Eligible entities are able to track referrals in the database as well. CDS interfaces with a number of other state-wide databases including CHIMES (TANF and SNAP), CCUBS (State Child Care Database), HMIS (HUD's Homeless Management Information System), and MASTS (Montana Aging Services Tracking System). *[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.

While eligible entities provide a number of important and key services, they also have vast relationship networks in their respective communities, having been established for decades. Relationships have been developed and maintained throughout the years with existing service based organizations. As new services become available, eligible entities gather the necessary information for clients and create open channels of communication where appropriate. Eligible entities staff serves on boards, local planning committees and other collaborative activities to ensure gaps in services are filled. While techniques and procedures differ between the 10 unique Community Action

Agencies in Montana, all ten work to meet the needs of their client and his/her family. During the initial application process, eligible entities attempt to gather enough information to look at the client's full situation. If there are needed services outside the scope of the eligible entity, they will provide information and referrals to other organizations. These are documented in the client's case file and/or CDS. Case management and follow-up consultations are provided depending on program requirements. Eligible entities will track whether the client sought the referred service and depending on response, will attempt to have a final consultation with the client before exiting them from the program.

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.

DPHHS is a member of the statewide Workforce Investment Act Board and several Eligible Entities function in a similar manner at the local level. Many of the programs operated by Eligible Entities are coordinated by the DPHHS including Area Agencies on Aging, LIHEAP, TANF and Head Start. Montana established the Central Database System (CDS) to coordinate the State/Eligible Entity programs. As the measurement component of ROMA, CDS allows Eligible Entities to look at many facets of programs affecting low-income households to determine the effect on their lives. Eligible entities use CDS to track their WIOA programs and activities.

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.

IHSB manages the State's LIHEAP and Weatherization programs. CSBG Eligible Entities are recipients of these funds for the state of Montana. As such, IHSB monitors and oversees the implementation of these programs across the state as well as evaluates performance.

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.

The State assures that all eligible entities coordinate and establish linkages in their communities, including faith-based organizations, charitable groups, and community organizations. Eligible entities submit a CSBG work plan that includes outcomes specific to coordinating and forming partnerships or a description of how they plan to conduct such coordination in their communities. Monitors use these documents to evaluate the work eligible entities conduct throughout the year and during monitor visits. Eligible entities are also required to report on coordinated activities and partnerships at least once a year. Please review Eligible Entity attachments for further detail. Documents attached to 14.1a. *[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.

Eligible entities provide a diverse array of services to their clients, utilizing both public and private funds to achieve maximum results. In a sparsely populated, rural state like Montana, the social fabric of most communities mandates that all groups work closely together. The State's resources are insufficient to allow individual agencies or organizations to go their own way and most funding sources also include specific match requirements, making it essential for eligible entities to also have a diverse funding source.

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 believes it is important to support coordination among eligible entities and the State Community Action Association, keeping an open line of communication throughout the entire year. The State Community Action Agency meets every other month, which is attended by Eligible Entity Executive Directors. The IHSB Bureau Chief attends these meetings. Other staff is invited as appropriate. IHSB funds a yearly Directors training on a topic that the Association chooses as well as other training opportunities that encourage coordination. IHSB also facilitates a number of state-wide round tables and work groups that promote coordination between the organizations. They include a LIHEAP Roundtable that meets annually at the end of each heating season, a Weatherization Round table and a Weatherization Technical Committee that each meet separately and quarterly, and the newly formed annual ESG Round table that met for the first time in 2014. IHSB uses feedback from Eligible Entities to support and create new coordination activities. For example, the ESG roundtable came from numerous requests by Eligible Entities that wanted to learn from each other's programs and best practices.

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	IHSB Programs	Quarterly	Newsletter	
2	IHSB Programs	Other	Website	As Needed
3	System Trainings	Monthly	Email	
4	IS Report	Annually	Meetings/Presentation	
5	IS Report	Other	Email	Jan-March: Technical Assistance, additional information, feedback, all as needed
6	Public Hearing	Other	Email	Every two years
7	Public Hearing	Other	Other	Every two years, Newspaper Announcement

8	State CAA	Other	Meetings/Presentation	Every Other Month
9	State CAA	Daily	Email	
10	Org Standards General	Annually	Meetings/Presentation	
11	Org Standards Assistance	Other	Email	As needed
12	General Correspondences	Daily	Email	
13	Training	Other	Email	As needed
14	Technical Assistance	Other	Email	As needed
15	Monitoring Prep	Other	Other	As needed, Email, Mailing, Phone
16	Monitoring Follow Up	Other	Other	As needed, Email, Mailing, Phone
17	Roundtables	Annually	Meetings/Presentation	
18	Org Standards Assistance	Daily	Meetings/Presentation	
19	General Correspondences	Daily	Other	Phone
20	Legislative Hearing	Other	Email	Every two years

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(ii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

The State will set up a webinar to present feedback from OCS regarding performance on State Accountability Measures. It will invite, by email, local entities and the State Community Action Association. The State will also present the information at a State Community Action Association meeting.

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.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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**SECTION 10
Monitoring, Corrective Action, and Fiscal Controls**

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

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

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

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

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

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Action for Eastern Montana	Full onsite	FY1 Q3	06/15/2015	IHSB monitors all Eligible Entities Annually
2	District IV Human Resource Development Council	Full onsite	FY1 Q3	04/21/2015	IHSB monitors all Eligible Entities Annually
3	Opportunities Incorporated	Full onsite	FY1 Q3	06/24/2015	IHSB monitors all Eligible Entities Annually
4	District 6 Human Resource Development Council	Full onsite	FY1 Q4	07/06/2015	IHSB monitors all Eligible Entities Annually
5	District VII Human Resource Development Council	Full onsite	FY1 Q1	10/06/2014	IHSB monitors all Eligible Entities Annually
6	Rocky Mountain Development Council	Full onsite	FY1 Q1	11/17/2014	IHSB monitors all Eligible Entities Annually
7	District IX Human Resource Development Council	Full onsite	FY1 Q3	06/01/2015	IHSB monitors all Eligible Entities Annually
8	Community Action Partnership of Northwest Montana	Full onsite	FY1 Q4	08/17/2015	IHSB monitors all Eligible Entities Annually
9	District XI Human Resource Council	Full onsite	FY1 Q1	09/22/2014	IHSB monitors all Eligible Entities Annually
10	District XII Human Resource Development Council	Full onsite	FY1 Q3	06/15/2015	IHSB monitors all Eligible Entities Annually

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

Please follow the hyperlink to view current monitoring procedures <http://dphhs.mt.gov/Portals/85/hcsd/documents/csbmanual/400-2CSBG%2807232012%29.pdf> and the monitoring tool <http://dphhs.mt.gov/Portals/85/hcsd/documents/csbmanual/400-3CSBG%2807232012%29.pdf> New monitoring procedures are currently being developed to include the new Organizational Standards. A new monitoring tool that includes the Organizational Standards is in the Eligible Entity Review Phase.

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.

30

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.

^ A full onsite review of each eligible entity is conducted annually. ^ Any newly designated entity will have an onsite review completed immediately after the first year of operation. ^ All monitoring reports require a response to any adverse finding within 30 days. Significant findings that are not satisfactorily addressed will require the State to conduct a follow-up review including a return visit within 90 days of the initial monitoring report. If no further action is required and all findings have been properly addressed, the State will issue a Conclusion Letter^ confirming. ^ The State is available to participate in other appropriate reviews if asked to do so by Federal, State or local grantors.

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).

Should the State ever determine that an eligible entity fails to comply with terms of its contract or the State plan, to provide CSBG services or to meet appropriate standards, goals or other requirements contained in the CSBG statute or regulations, it shall notify the eligible entity of the deficiency to be corrected, provide a timeline for correction, provide a requirement to correct the deficiency, explain the effects of non-compliance and offer training or technical assistance to correct the deficiency, if appropriate. If the State determines that such training and technical assistance is not appropriate, it shall inform the Secretary with a report stating the reasons(s). Any termination or reduction in funding shall be in accordance with the terms of the States contract, CSBG rules and statute. Any such action shall provide notice and an opportunity for a hearing on the record, which shall be forwarded to the Secretary for his or her review.

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.

State regulations mirror Federal regulations. United States Code Title 42 Chapter 106 has been inserted into the the State's CSBG Policy Manual. Â§ 9909. DESIGNATION AND REDESIGNATION OF ELIGIBLE ENTITIES IN UNSERVED AREAS (SEC. 676A) (a) Qualified organization in or near area (1) In general--If any geographic area of a State is not, or ceases to be, served by an eligible entity under this chapter, and if the chief executive officer of the State decides to serve such area, the chief executive officer may solicit applications from, and designate as an eligible entity (A) a private nonprofit organization (which may include an eligible entity) that is geographically located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of this chapter; and (B) a private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area. (2) Requirement--In order to serve as the eligible entity for the area, an entity described in paragraph (1)(B) shall agree to add additional members to the board of the entity to ensure adequate representation (A) in each of the three required categories described in subparagraphs (A), (B), and (C) of section 9910 (a)(2) of this title, by members that reside in the community comprised by the unserved area; and (B) in the category described in section 9910 (a)(2)(B) of this title, by members that reside in the neighborhood to be served. (b) Special consideration--In designating an eligible entity under subsection (a) of this section, the chief executive officer shall grant the designation to an organization of demonstrated effectiveness in meeting the goals and purposes of this chapter and may give priority, in granting the designation, to eligible entities that are providing related services in the unserved area, consistent with the needs identified by a community-needs assessment. (c) No qualified organization in or near area--If no private, nonprofit organization is identified or determined to be qualified under subsection (a) of this section to serve the unserved area as an eligible entity the chief executive officer may designate an appropriate political subdivision of the State to serve as an eligible entity for the area. In order to serve as the eligible entity for that a

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.

Administrative Rules of Montana - 37.2.925 TERMINATION OR REDUCTION OF ALLOTMENT (1) The allotment of a contractor who currently receives CSBG funding or who received funding in the previous program period can be terminated or reduced below the proportional share currently being received or received in the previous program period only for cause. The term "cause" includes but is not limited to: (a) a statewide redistribution of funds in response to: (i) the results of the most recent available census or other appropriate data; (ii) the establishment of a new entity eligible for funding; or (iii) severe economic dislocation; or (b) the contractor's failure to comply with the terms of its agreement to provide services.

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.

Administrative Rules of Montana - 37.2.925 TERMINATION OR REDUCTION OF ALLOTMENT (2) The allotment of a contractor who currently receives CSBG funding or who received funding in the previous program period can be terminated or reduced only after the contractor has been notified and given an opportunity for a hearing on the record before the director or the director's designee. A request for a hearing on a contractor must be submitted to the department in writing within 30 days of the date of notice of the termination or reduction. The decision of the director or the director's designee shall be subject to review by the secretary of health and human services. (a) Upon request, the secretary shall review the record and issue a written determination stating the secretary's reasons for that determination. (b) In cases where a contractor requests review by the secretary, the termination or reduction of the contractor's allotment is not final until the secretary has affirmed the state's finding of cause.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

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

The State fiscal control procedures and fund accounting is accomplished through established DPHHS fiscal procedure connected with the relevant assurances, contract provisions and any subsequently published administrative rules. All such procedures are reviewed and examined annually by the Legislative Auditor of the State of Montana and published as a department audit. Copies are submitted to the Secretary. Contracts entered into between the State and the eligible entities are paid using a system where invoices must be reviewed and approved by a program manager and bureau fiscal staff for completeness and accuracy. All applicable cost and accounting standards of the Office of Management and Budget are part the State's contracts with the eligible entities. The State has required each eligible entity to establish procedures under which a low-income individual, community organization, or religious organization, or representatives 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. Such procedures shall be spelled out in the by-laws and reviewed and approved by the State

10.12. Single Audit Management Decisions:

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

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

The eligible entities completed audit is reviewed by both the Fiscal Officer at Intergovernmental Human Services Bureau (IHSB) and the Quality Assurance Division within DPHHS. A desk audit with the Quality Assurance Division's comments is sent to the IHSB Bureau Chief. The comments are reviewed. If there is an audit finding in the CSBG program the following steps are taken to resolve. 1. A conference call is set up to discuss the finding with the agency and get more information on the finding. IHSB may request additional information or documentation from the auditee, including a request for auditor assurance related to the documentation, as a way of mitigating

disallowed costs 2. The management decision will clearly state whether or not the audit finding is sustained, the reasons for the decision, and the expected auditee action to repay disallowed costs, make financial adjustments, or take other action. If the auditee has not completed corrective action, a timetable for follow-up should be given. 3. IHSB will follow-up and ensure that the agency takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the agency from IHSB detected through audits, on-site reviews, and other means 4. Depending upon IHSB's assessment of risk posed by the agency, the following monitoring tools may be used to ensure proper accountability and compliance with program requirements and achievement of performance goals: a. Provide training and technical assistance on program-related matters. b. Perform on-site reviews more frequently than annually. The Eligible Entities must comply with the requirements of Federal Office of Management and Budget (OMB) 2 CFR 200 of the Uniform Guidance statutorily and contractually. The agencies are also contractually obligated to provide the CSBG State Office with a copy of their audit. The monitoring process is detailed in the previously submitted answer, but is also subjected to the same process and strategies for technical assistance, corrective action, and re-designation as outlined in Question 10.2.

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

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
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SECTION 11
Eligible Entity Tripartite Board

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

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

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 At least annually, however most eligible entities submit those throughout the year as they arise.

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.

The State evaluates Tripartite Board policies and procedures during its monitoring visit and records information in the Monitoring Tool. Any finding on the Tool will be addressed and corrected by the eligible entity.

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

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

Section 12: Individual and Community Eligibility Requirements

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

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SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

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

[Check one item below.]

125% of the HHS poverty line

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.

Montana CSBG Manual CSBG300-3 Direct Services If CSBG funds are used to provide direct services to households, the Department has determined that the household must be at or below 125% of the current federal poverty level (per 42 USC 9902). Such services must be included in the HRDC's work plan and approved by the Department. A client file is required for each household provided with CSBG direct services. At a minimum, files must contain: A signed and dated agency intake form sufficient to record data required for ROMA (or another agency's form where income and household number are recorded), A verification of income eligibility and household size, A the date(s) and type(s) of assistance provided, A grievance procedures, A and documentation that custodial parents in single-parent families were informed about the availability of child support services and referred to appropriate offices. * * Documentation is required for any custodial parent in a single-parent family that participates in programs, activities or services carried out or provided under the CSBG subtitle.

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.

Eligible entities use a variety of methods to generally verify income eligibility for general/short term services like emergency food assistance including asking program participants income information at in-take, examining census data to demonstrate the percentage of residents that meet eligibility thresholds in the area, and reviewing income information of existing and past clients in the state's Central Database System (CDS) that participated in programs that have already verified income. It is often the case that these services are sought by individuals or families that have already accessed a service with more demanding income verification processes. Because eligible entities are required to enter such clients into CDS, they are able to track all services sought by a client within the network state-wide. Because CDS interfaces with a number of other state-wide databases including CHIMES (TANF and SNAP), CCUBS (State Child Care Database), HMIS (HUD Homeless Management Information System), and MASTS (Montana Aging Services Tracking System), eligible entities can retrieve income information for a vast number of individuals without having to go through the process themselves at that moment.

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?

Eligible entities can examine census data to demonstrate the percentage of residents that meet eligibility thresholds in the area as well as local economic and infrastructure information about the demographic make-up of towns and neighborhoods. Because CDS includes all eligible entity programmatic services and interfaces with a number of other state-wide databases including CHIMES (TANF and SNAP), CCUBS (State Child Care Database), HMIS (HUD Homeless Management Information System), and MASTS (Montana Aging Services Tracking System), eligible entities can retrieve income information for a vast number of individuals that sought services by a targeted geographical area.

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)**

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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.

The State of Montana uses all NASCSP <http://www.nascsp.org/CSBG/594/ROMA.aspx?iHt=13> and Association of National Certified ROMA Trainers guidelines. http://www.roma-nptp.org/module_home_page.html

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**

The state evaluates both the IS report and work plan progress reports, which are created using ROMA, in order to measure eligible entity performance in promoting self-sufficiency, family stability and community revitalization.

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 believes that ROMA is an essential tool for eligible entities. The CSBG Program Officer is currently undergoing training to become a ROMA Trainer. The State also provides funding for ROMA training, including and encouraging each eligible entity to train at least one staff person to be a Certified ROMA Trainer and assistance in funding ROMA trainings held locally. Agencies are required to use ROMA when developing their CSBG work plans. Centralized Database System (CDS). was created in order to give eligible entities the ability to comply with CSBG, ROMA and NPI goals and reporting requirements. To accomplish this purpose, a data warehouse was required to be used as a common storage facility for all 10 eligible entities statewide and from which data could be drawn for the required reports. Workers at the CAAs primarily use the Client Information System (CIS) portion of CDS to enter client and household information and services. State employees maintain the reference tables and enter some survey information.

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.

Please see attachment

Community Action Plans and Needs Assessments

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

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

The State requires eligible entities to submit a prospective Community Action Plan, or a work plan as part of the State Plan Application process. At the beginning of each fiscal year, eligible entities are given the opportunity to make amendments or adjustments to their Plan based on evaluation of programs, identified community needs and funding availability. It is a requirement met by all 10 eligible entities.

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 a Community Needs Assessment is conducted in order to create the Community Action Plan referred to in 13.5. It is part of the State Plan Application process and is a requirement met by all 10 eligible entities.

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The State evaluates and monitors the progress of each eligible entities' work plan application submission. Please review Eligible Entity attachments for further detail. Documents attached here.

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;

The State evaluates and monitors the progress of each eligible entities' work plan application submission which include services that meet the needs of youth. Please review Eligible Entity attachments for further detail. Documents attached to 14.1a.

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)

The State evaluates and monitors the progress of each eligible entities' work plan application submission which includes information about program coordination. Please review Eligible Entity attachments for further detail. Documents attached to 14.1a.

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;

The State evaluates and monitors the progress of each eligible entities' work plan application submission which includes a description of each eligible entity's service delivery system. Please review Eligible Entity attachments for further detail. Documents attached to 14.1a.

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).

For a description of how eligible entities use their CSBG allotted funds, please review Eligible Entity attachments for further detail. Documents attached to 14.1a. The State also uses a percent of its remainder/discretionary funds to support these type of programs. Each program year, agencies are invited to apply competitively for about \$30,000. The agencies presenting a project that best fits the intent of CSBG goals including a ROMA based plan, and aligned to the needs of their community, will be granted an award.

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."

The Intergovernmental Human Services Bureau, which is the CSBG operating unit of DPHHS, is also the USDA contractor for the State's federal commodity program. As such, it is prepared to deliver food in case of an emergency to the eligible entities, as well as other feeding sites. The eligible entities also have access to the State's food bank network and other local sources of food to be able to meet any local emergency. Please review Eligible Entity attachments (Documents attached to 14.1a.) for details on local need and services that are being provided on a local level. Eligible Entities are required to assure compliance with this assurance and submit information of how it will be conducted in their region. The State Office uses the State Plan application process to review individual need assessments and work plans as well as the State's monitoring process and annual report to review and verify Eligible Entity compliance in the fulfillment of this requirement.

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.