

# CSBG State Plan

Program Community Services Block Grant  
Name:

Grantee Name: North Dakota

Report Name: CSBG State Plan

Report Period: 10/01/2019 to 09/30/2020


Report Status: Submitted

## Report Sections

1. CSBG Cover Page (SF-424M) .....	2
2. Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter .....	4
3. Section 2: State Legislation and Regulation .....	6
4. Section 3: State Plan Development and Statewide Goals .....	7
5. Section 4: CSBG Hearing Requirements .....	9
6. Section 5: CSBG Eligible Entities .....	10
7. Section 6: Organizational Standards for Eligible Entities .....	12
8. Section 7: State Use of Funds .....	14
9. Section 8: State Training and Technical Assistance .....	18
10. Section 9: State Linkages and Communication .....	20
11. Section 10: Monitoring, Corrective Action, and Fiscal Controls .....	23
12. Section 11: Eligible Entity Tripartite Board .....	26
13. Section 12: Individual and Community Eligibility Requirements .....	27
14. Section 13: Results Oriented Management and Accountability (ROMA) System .....	28
15. Section 14: CSBG Programmatic Assurances and Information Narrative .....	30
16. Section 15: Federal Certifications .....	34

## CSBG Cover Page (SF-424M)

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires:06/30/2021	
<b>COVER PAGE</b>			
* 1.a. Type of Submission: <b>Plan</b>	* 1.b. Frequency: <b>Other (2 Year)</b>	* 1.c. Consolidated Application /Plan/Funding Request?  Explanation:	* 1.d. Version: <b>Initial</b>
		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:
<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: <b>North Dakota Department of Commerce</b>			
* b. Employer/Taxpayer Identification Number (EIN/TIN): <b>1450309764 a6</b>		* c. Organizational DUNS: <b>802741843</b>	
* d. Address:			
* Street 1:	1600 East Century Avenue, Ste. 2	Street 2:	
* City:	Bismarck	County:	
* State:	ND	Province:	
* Country:	United States	* Zip / Postal Code:	58502 -
e. Organizational Unit:			
Department Name: <b>Department of Commerce</b>		Division Name: <b>Division of Community Services</b>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: <b>Rikki</b>	Middle Name: <b>L</b>	* Last Name: <b>Roehrich</b>
Suffix:	Title: <b>CSBG Program Manager</b>	Organizational Affiliation:	
* Telephone Number: <b>(701) 328-2687</b>	Fax Number <b>(701) 328-5320</b>	* Email: <b>rroehrich@nd.gov</b>	
* 8a. TYPE OF APPLICANT: <b>A: State Government</b>			
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 <b>North Dakota Community Services Block Grants Program</b>			
12. Areas Affected by Funding:			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant <b>ND</b>		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): <b>\$0</b>	b. Match (\$): <b>\$0</b>

<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>	
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.	
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>	
<input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) <b>**I Agree</b> <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
	08/27/2019
<b>Attach supporting documents as specified in agency instructions.</b>	

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:06/30/2021	
<h2 style="margin: 0;">SECTION 1</h2> <h3 style="margin: 0;">CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter</h3>			
1.1. Identify whether this is a One-Year or a Two-Year Plan		<input type="radio"/> one-year <input checked="" type="radio"/> two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One 2020	Year Two 2021
1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by <a href="#">Section 676(a)</a> of the CSBG Act.			
<i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information in regards to the state lead agency has changed since the last submission of the state plan? <input checked="" type="radio"/> Yes <input type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated 06/08/2018			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input checked="" type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input checked="" type="checkbox"/> Business Number	<input type="checkbox"/> Fax Number	
<input checked="" type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		North Dakota Department of Commerce	
1.2b. Cabinet or administrative department of this lead agency <i>(Select one option and narrative where applicable)</i>			
<input checked="" type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Other, describe			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Division of Community Services	
1.2d. Authorized official of the lead agency			
Name: <b>Bonnie Malo</b>		Title: Director, Division of Community Services	
1.2e. Street Address		1600 East Century Avenue, Suite 2	
1.2f. City		Bismarck	1.2g. State <b>ND</b>
1.2i. Telephone number and extension 701 <b>328 - 2476</b> ext.		1.2j. Fax number 701 <b>328 - 5320</b>	
1.2k. Email address <b>bmalo@nd.gov</b>		1.2l. Lead agency website <a href="https://www.communityservices.nd.gov/">https://www.communityservices.nd.gov/</a>	
1.3. Designation Letter:			
Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the			

designated agency has changed.

1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has Information in regards to the state point of contact has changed since the last submission of the state plan?  Yes  No

If yes, provide the date of change and select the fields that have been updated **Date picker and check all the apply** 06/08/2018

<input type="checkbox"/>	Agency Name	<input checked="" type="checkbox"/>	Point of Contact	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code	<input checked="" type="checkbox"/>	Office Number
<input type="checkbox"/>	Fax Number	<input checked="" type="checkbox"/>	Email Address	<input type="checkbox"/>	Website

1.4a. Agency Name **Department of Commerce**

1.4b Point of Contact Name

Name: **Rikki Roehrich**

Title: **Program Administrator**

1.4c. Street Address

1600 East Century Avenue, Suite 2

1.4d. City

Bismarck

1.4e. State **ND**

1.4f. Zip **58502**

1.4g. Telephone Number **701 328 - 2687** ext.

1.4h. Fax Number **701 328 - 5320**

1.4i. Email Address **rroehrich@nd.gov**

1.4j. Agency Website **<https://www.communityservices.nd.gov/>**

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state.  Yes  No

Has Information in regards to the state Community Action Association has changed since the last submission of the state plan?  Yes  No

If yes, provide the date of change and select the fields that have been updated **Date picker and check all the apply**

<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Executive Director	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	State	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead		

1.5a. Agency Name

1.5b. Executive Director or Point of Contact

Name:

Title:

1.5c. Street Address

1.5d. City

1.5e. State

1.5f. Zip **58104**

1.5g. Telephone number - ext.

1.5h. Fax number -

1.5i. Email Address

1.5j. State Association Website

1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead  Yes  No

## Section 2: State Legislation and Regulation

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

State has a statute authorizing CSBG  Yes  No

**2.2. CSBG State Regulation:**

State has regulations for CSBG  Yes  No

**2.3. Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.

<https://www.legis.nd.gov/assembly/66-2019/bill-index/bi1018.html>

**2.4. State Authority:**

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

**2.4a. Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year  Yes  No

**2.4b. Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year  Yes  No

**2.4c. Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency  Yes  No

## Section 3: State Plan Development and Statewide Goals

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

Form Approved  
 OMB No: 0970-0382  
 Expires:06/30/2021

### SECTION 3

#### State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:**

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

The ND Department of Commerce's mission statement is to lead ND's efforts to attract, retain and expand wealth. In doing so, we target 5 industries to broaden the state's economic base, create new wealth, and generate quality jobs for people. North Dakota's CSBG program continues the tradition of supporting community-based anti-poverty programs. The CAAs funded under CSBG are organized as non-profit corporations under North Dakota's legal definition. Each agency's board of directors is responsible for planning and implementing the CSBG activities and private resources based upon an assessment of local community needs, which the state agency oversees. The responsibility of the state's lead agency is to deliver, within established regulations and guidelines, support and training to the CAAs so that they may serve our state's diverse population. The state agency is responsible for evaluating the reporting on the National Performance Indicators and outcome measures to evaluate the agencies' successes in promoting self-sufficiency, family stability and community revitalization. It also assists with program development, training, and technical assistance.

**3.2. State Plan Goals:**

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

*(Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)*

The goals of the State CSBG office are: 1. Distribution of funds to eligible entities in compliance with all program regulations. 2. Complete reporting requirements and data collection for the CSBG program within the required timeframes. 3. Monitoring of eligible entities to ensure all regulations and compliance requirements are met. 4. To provide training and technical assistance to assist eligible entities in complying with CSBG regulations, program objectives, ROMA, and Organizational Standards.

**3.3. State Plan Development:**

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

**3.3a. Analysis of state-level tools** *[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)*
- Monitoring Visits/Assessments
- Tools not identified above *(specify)*

**3.3b. Analysis of local-level tools** *[Check all that apply and narrative where applicable]*

- Eligible entity community needs assessments
- Eligible entity community action plans
- Public Hearings/Workshops
- Tools not identified above *(e.g., State required reports)* *(specify)*

**3.3c. Consultation with** *[Check all that applies and narrative where applicable]*

- Eligible entities *(e.g., meetings, conferences, webinars; not including the public hearing)*
- State Association
- National Association for State Community Services Programs (NASCSPP)
- Community Action Partnership (The Partnership)
- Community Action Program Legal Services (CAPLAW)
- CSBG Tribal Training and Technical Assistance (T/TA) provider
- Regional Performance Innovation Consortium (RPIC)
- Association for Nationally Certified ROMA Trainers (ANCRT)
- Federal CSBG Office
- Organizations not identified above *(Specify)*

**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 office works closely with the Community Action Partnership of North Dakota (CAPND) on a weekly basis. The State attends the CAPND Board meetings on a regular basis to provide updates on the CXBG program and to gather information regarding community action activities and needs. The State also attends eligible entities' board meetings to provide board trainings as well as to gather feedback from board members. The State assisted each of its 7 community action agencies in conducting regional needs assessments in 2017. The draft state plan was provided to the CAAs in July, 2019, for distribution to all interested parties. Comments and feedback was solicited and the agencies were all invited to attend the public hearing on August 16, 2019.

**3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous plans in order to:**

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

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

*(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)*

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

**3.5. Eligible Entity Overall Satisfaction:**

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

Year One	58	Year Two	68
----------	----	----------	----

**Instructional Note:** The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent [American Customer Survey Index \(ACSI\) survey](#) of the state's eligible entities.

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



## Section 4: CSBG Hearing Requirements

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 4 CSBG Hearing Requirements

**4.1. Public Inspection:**

**Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.**

For the Legislative Public Hearing on the FY 2020-2021 Community Services Block Grant/State Plan, the Legislative Council published ads in the Bismarck Tribune (Bismarck, ND) and the Fargo Forum (Fargo, ND) on December 27, 2018 to notify the public that a hearing would be held at 8:30 AM in the Roughrider Room of the State Capital Building in Bismarck, ND. The hearing was before the House Appropriations Committee and was part of the House Bill 1018 regarding the budget and appropriations for the ND Department of Commerce. Interested individuals were informed that information as to the proposed use and distribution plan for the block grant and a summary of the plan for FY2020-2021 was available at the Legislative Council, State Capital Building, 600 East Boulevard Avenue, Bismarck, ND 58505, prior to the hearing.

**4.2. Public Notice/Hearing:**

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

Notices about the public hearing were sent to 10 daily newspapers serving all regions of the state, the 7 Community Action Agencies, the Executive Director of the Community Action Partnership of ND (state association). Copies of the DRAFT State Plan were made available at the DCS offices as well as on the DCS website. The public was advised, through the notices sent by DCS, of the opportunity to review and comment on the DRAFT State Plan for FY2020-20201 prior to or at the public hearing scheduled for August 16, 2019. The notices informed the public of the locations where a DRAFT State Plan would be available and where comments could be sent if they were unable to attend the hearing.

**4.3. Public and Legislative Hearings:**

**In the table below, 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.**

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	01/09/2019	Roughrider Room of the State Capitol Building	Legislative	<input type="checkbox"/>
2	08/16/2019	ND Department of Commerce, Icelandic Building	Public	<input type="checkbox"/>

**4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.**

## Section 5: CSBG Eligible Entities

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

Form Approved  
OMB No:0970-0382  
Expires:06/30/2021

### SECTION 5 CSBG Eligible Entities

**5.1. CSBG Eligible Entities:**

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

*Note: Table 5.1 pre-populates the Annual Report, Module 1, Table C.1.*

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

**5.2. Total number of CSBG eligible entities 7**

**5.3. Changes to Eligible Entities List:**

Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: [Check all that apply].

- Designation and/or Re-Designation
- De-designations and/or Voluntary Relinquishments
- Mergers
- No Changes to Eligible Entities List

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

**5.3b. Designation and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)

CSBG Eligible Entity	Reason	Delete

<p><b>5.3c. Mergers:</b> In the table below, provide information about any <b>mergers or other combinations</b> of two or more eligible entities that were each listed in the prior year State Plan.</p>				
Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete

## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<h3 style="margin: 0;">SECTION 6</h3> <h4 style="margin: 0;">Organizational Standards for Eligible Entities</h4>	
<b>Note:</b> Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , for more information on Organizational Standards. Click <a href="#">HERE</a> for IM 138.	
<b>6.1. Choice of Standards:</b> Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period	
<input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards	
<b>6.1a. Modified Organizational Standards:</b> In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.	
<b>6.1b. Alternative Organizational Standards:</b> If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.	
<b>6.1c. Alternative Organizational Standards Changes:</b> If using an alternative set of organizational standards: <ol style="list-style-type: none"> <li>1) provide any changes from the last set provided during the previous State Plan submission;</li> <li>2) describe the reasons for using alternative standards; and</li> <li>3) describe how they are at least as rigorous as the COE- developed standards</li> </ol>	
<input type="radio"/> There were no changes from the previous State Plan submission	
Provide reason for using alternative standards	
Describe rigor compared to COE-developed Standards	
<b>6.2. Implementation:</b> Check the box that best describes how 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. <i>[Check all that apply and narrative where applicable]</i>	
<input type="checkbox"/> Regulation	
<input checked="" type="checkbox"/> Policy	
<input type="checkbox"/> Contracts with eligible entities	
<input type="checkbox"/> Other, describe:	
_____	
<b>6.3. Organizational Standards Assessment:</b> Describe how the state assess eligible entities against organizational standards this federal fiscal year (s). <i>[Check all that apply.]</i>	
<input type="checkbox"/> Peer-to-peer review <i>(with validation by the State or state-authorized third party)</i>	
<input checked="" type="checkbox"/> Self-assessment <i>(with validation by the State or state-authorized third party)</i>	
<input type="checkbox"/> Self-assessment/peer review with state risk analysis	
<input type="checkbox"/> State-authorized third party validation	
<input checked="" type="checkbox"/> Regular, on-site CSBG monitoring	
<input checked="" type="checkbox"/> Other	
<b>6.3a. Assessment Process:</b> Describe the planned assessment process.	
Agencies submit the Self-Assessment Tool for Private CAAs created by the National Community Action Partnership along with all required documentation. This is then reviewed by the State office using the State Assessment Tool for Private CAAs. If there are any discrepancies or clarifications needed, the state will request additional information from the agencies. Taken together, the review captures each agency's progress toward meeting all 58 Organizational Standards. When the review is completed, the State office provides a summary of standards that have not been met to the agencies and requests that they provide information about their progress to date, the next action steps, anticipated timelines and completion dates. The state offers assistance if any of the agencies would like additional help in meeting a standard(s).	
<b>6.4. Eligible Entity Exemptions:</b> Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? <input type="radio"/> Yes <input checked="" type="radio"/> No	

**6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption**

**Total Number of Exempt Entities: 0**

CSBG Eligible Entity	Description / Justification	Delete

**6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period**

Year One	87%	Year Two	87%
----------	-----	----------	-----

*Note: Item 6.5 is associated with [State Accountability Measures 6Sa](#) and populate the Annual report, Module 1, Table D.2.*

## Section 7: State Use of Funds

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 7 State Use of Funds

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

**7.1. Formula:**

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

Base + Formula

**7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.**

The state uses a base of \$140,000 for each agency (37.78% of the pass-through funds). The remaining funds are distributed to the CAAAs based upon the distribution of the low-income population based on the 2010 US Census.

**7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities?**  Yes  No

**7.2. Planned Allocation:**

Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act.

In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Note: This information pre-populates the state's Annual Report, Module 1, Table E.2.

<b>Year One</b>	90.00%	<b>Year Two</b>	90.00%
-----------------	--------	-----------------	--------

#### Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Community Action Partnership Region I & VIII	\$445,919	
Community Action Partnership Minot Region	\$396,680	
Dakota Prairie Community Action	\$342,506	
Red River Valley Community Action Agency	\$427,138	
Southeastern ND Community Action Agency	\$631,294	
Community Action Region VI, Inc.	\$288,024	
Community Action Program Region VII, Inc.	\$502,106	
<b>Total</b>	<b>\$3,033,667</b>	

#### CSBG Eligible Entity Year Two

CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Community Action Partnership Region I & VIII	\$445,919	
Community Action Partnership Minot Region	\$396,680	
Dakota Prairie Community Action	\$342,506	
Red River Valley Community Action Agency	\$427,138	
Southeastern ND Community Action Agency	\$631,294	
Community Action Region VI, Inc.	\$288,024	
Community Action Program Region VII, Inc.	\$502,106	
<b>Total</b>	<b>\$3,033,667</b>	

**7.3. Distribution Process:**

Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step

is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

Distribution of funds to eligible entities in ND relies heavily on the CSBG pass-through funds to provide services within their respective regions. Most local governments and counties do not contribute toward CAA operations. The CAAs operate in multi-county jurisdictions, differing in size and population. In FY2012, DCS and the seven CAAs revised the formula for distributing pass-through monies among the CAAs which reflects the distribution of the low-income population based on the 2010 US Census, the relative size of areas served and a minimum base funding level for each agency. The funding formula provides a base funding level equal to 33.23 of the pass-through funds, which is divided equally among the eight regions. Although there are 8 geographical regions in the state, there are 7 CAAs, since the Community Action Partnership Program serves both Region I & Region VIII. The remaining pass-through funds are distributed in direct proportion to each CAA service area's share of the State's low-income population using the 2010 census data. The formula was used beginning in 2014 and will end when a new formula is developed and agreed upon by the CAAs. A minimum pass-through level of \$1,120,000 is required by the distribution formula in order to provide base funding under the new funding formula. A total State allotment of \$1,230,769 would be required to provide a pass-through funding level of \$1,120,000. In the event that the State's FY2020 or FY2021 allotments would be less than \$1,230,769 each year, DCS will reduce or eliminate the 5% Discretionary funds to alleviate some of the impact on the CAAs for the decrease in CSBG funding, the shift in population in the state, and the decrease in funds the CAAs have received from other funding sources. CAAs receiving supplemental funding is contingent upon adequate State administrative and/or discretionary CSBG funding and CAAs having CSBG carryover of 20% or less from the previous grant year. Projected CSBG distributions to the 7 CAAs for FY2020-2021, based on the funding formula, can be found in Table III. We will be considering the amount of CSBG carryover available to the agency from the previous year in considering if any supplemental funds are awarded to the eligible agencies. TABLE III POTENTIAL CSBG DISTRIBUTIONS FOR FY2020 & FY2021 [REGION, PERCENT OF ALLOCATION, ALLOCATION AMOUNT] Region II, 13.41%, \$396,680 ; Region III, 10.58%, \$342,506 ; Region IV, 15.00%, \$427,138 ; Region V 25.67%, \$631,294 ; Region VI, 7.74%, \$288,024; Region VII, 18.92%, \$502,106; Region 1 & 8, 8.67%, \$445,919. Totals \$3,033,667. The proportional share of CSBG pass-through based on projected FY2020 allocation - funding formula used to derive the % based on base allocation for each region and percentage of low-income people residing in the service area. The State intends to distribute funds within 30 days of the date we receive our award letter. A public Legislative Hearing on the State's proposed use and distribution of CSBG funds was held on January 9, 2019.

**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. Distribution Consistency:** 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.*

**7.5. Performance Management Adjustment:**

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

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

The State works closely with all 7 CAAs on a regular basis. Administrative procedural changes generally happen as a collaborative effort between the state office, the state association, and the CAAs. The state incorporates feedback from the ACSI survey in order to continue improving their ability to address the needs of the agencies.

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

*Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.*

**7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.

Year One (0.00 %)	5.00	Year Two (0.00 %)	5.00
-------------------	------	-------------------	------

**7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan

Year One	3.00	Year Two	3.00
----------	------	----------	------

**7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan

Year One	1.00	Year Two	1.00
----------	------	----------	------

**7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act?  Yes  No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

Year One (0.00 %)	5.00%	Year Two (0.00%)	5.00%
-------------------	-------	------------------	-------

**Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)**

*Note: This response will link to the corresponding assurance, Item 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 Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.*

*Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.*

Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
-----------------------------------	---------------------	--

7.9a. Training/technical assistance to eligible entities	\$20,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$100,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$48,537.00	Funding low-income children on the weekends continues to be a need in the state. Processing of donated game animals to provide a terrific source of protein for low- income individuals will also be a priority.
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$0.00	
<b>Total</b>	<b>\$168,537.00</b>	
<b>Remainder/Discretionary Fund Uses</b>	<b>Year Two Planned \$</b>	<b>Brief description of services/activities</b>
7.9a. Training/technical assistance to eligible entities	\$20,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$100,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$48,537.00	Funding low-income children on the weekends continues to be a need in the state. Processing of donated game animals to provide a terrific source of protein for low- income individuals will also be a priority.
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$0.00	
<b>Total</b>	<b>\$168,537.00</b>	
<b>7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.</b> <i>[Check all that apply and narrative where applicable]</i>		
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)		
<input type="checkbox"/> The state partially carries out some activities		
<input checked="" type="checkbox"/> CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 7		
<input checked="" type="checkbox"/> Other community-based organizations		
<input checked="" type="checkbox"/> State Community Action association		
<input type="checkbox"/> Regional CSBG technical assistance provider(s)		
<input checked="" type="checkbox"/> National technical assistance provider(s)		
<input type="checkbox"/> Individual consultant(s)		
<input type="checkbox"/> Tribes and Tribal Organizations		
<input type="checkbox"/> Other		
<b>Note: This response will link to the corresponding CSBG assurance, item 14.2.</b>		
<b>7.11. Performance Management Adjustment:</b> Describe any adjustments the state will make to 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.		
<b>Note: This information is associated with State Accountability Measures 35b, and may pre-populate the State's annual report form.</b>		



The state does not plan to make any adjustments to the use of the discretionary funds. The State's use of discretionary funds includes: Assistance to the State's Community Action Association, new and innovative projects assisting people in poverty. If there is remaining discretionary funds after the fiscal year end, the funds are distributed to the State's seven eligible entities based on the same allocation formula for the non-discretionary portion of the CSBG allocation. This method of distribution has worked well for many, many years. We have not received any feedback on this method and do not foresee a need for any adjustments.

## Section 8: State Training and Technical Assistance

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 8 State Use of Funds

**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.**

*(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)*

*Note: This information is associated with State Accountability Measure 3Scand pre-populates the Annual Report, Module 1, Table F.1.*

#### Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Training	Community Assessment	
2	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	
3	FY1-Q1	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Technical Assistance	Reporting	
5	FY1-Q2	Both	Strategic Planning	
6	Ongoing / Multiple Quarters	Training	ROMA	

#### Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	
2	FY2-Q1	Both	Organizational Standards - General	
3	Ongoing / Multiple Quarters	Technical Assistance	Reporting	
4	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
5	Ongoing / Multiple Quarters	Training	Strategic Planning	

**8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan** *(as indicated in the Remainder/Discretionary Funds table in item 7.9):*

<b>Year One</b>	\$20,000	<b>Year Two</b>	\$20,000
-----------------	----------	-----------------	----------

**8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.**

The state office and the state association have a very strong working relationship and communicate weekly to discuss ongoing training and technical assistance needs. Then content is developed jointly to address the T/TA needs. As the regional RPIC lead, our state association serves as a strong resource for the entire region and coordinates communication with other entities or parties that may be of additional assistance. We also work closely with the software vendor (CAP60) that all of the CAAs in the state use to help staff get the T/TA they need on the software itself. A Moodle-based learning platform is being developed to more effectively deliver training content to the CAAs. The agencies are regularly asked for feedback on what types of training they would like.

**8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, 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).*

**8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the state plan, to provide services under the Community Services Block Grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to: a. inform the entity of the deficiency to be corrected; b. require the entity to correct the deficiency; c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate; d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency.**

**8.3. Training and Technical Assistance Organizations: 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 apply.]*

CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) 7

Other community-based organizations

State Community Action association

Regional CSBG technical assistance provider(s)

National technical assistance provider(s)

Individual consultant(s)

Tribes and Tribal Organizations

Other

**8.4. Performance Management Adjustment:** Describe adjustments the state made to 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*

Due to administration changes within CSBG, the State is currently looking at ways in which the T/TA plan can be enhanced and how to become more involved in the RPIC activities within the region. In conjunction with the state association, a Moodle-based learning platform is being developed in order to deliver better and more accessible T/TA content.

## Section 9: State Linkages and Communication

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

Form Approved  
OMB No:0970-0382  
Expires:06/30/2021

### 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, Module 1, Item G.1.*

- 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

**9.2. State Linkages and Coordination at the Local Level:**

**Describe the linkages and coordination at the local level that the state to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under Sections 676(b)(5) - (6))**

*Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.*

To strengthen the service delivery system for low-income people in ND, the DCS and the CAAs have continued to coordinate and establish linkages with local, regional, and statewide entities to eliminate gaps in services and to avoid duplication of efforts. In addition to this, the state works closely with the Creating a Hunger-Free North Dakota Coalition, by participating on a monthly call to discuss various food-related and services that are occurring across the state. CAA staff utilize information and referrals, case management, and follow-up activities with other entities in order to ensure that the low-income individuals and families are able to access needed services. Some issues such as issues with social security, Medicare, health insurance, etc. cannot be successfully addressed by local efforts. However, the CAA staff attempts to address those needs that they can and work with others who might better be able to address some of those issues.

**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)).**

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

Each CAA and the State coordinate and establish linkages between governmental and other social services programs to ensure the effective delivery of such services to low income individuals and to avoid duplication of such services. Each agency developed its own list of linkages, which is a part of their application. These linkages are also verified during monitoring. Each CSBG eligible entity is required to sign a CSBG certification.

**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., and pre-populates the Annual Report, Module 1, Item G.3b.*

Each CAA and the State coordinates and establishes linkages between governmental and other social services programs to ensure the effective delivery of such services to low income individuals and to avoid duplication of such services. Each agency has developed a current list of linkages. The CSBG Certification, which is attached to the grant agreement between the DCS and each CSBG subgrantee, will also reference this Assurance which is required

of each subgrantee. The Certification form is signed by the Board Chair of each CAA board.

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

Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?  Yes  No

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

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

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

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

**9.5. Emergency Energy Crisis Intervention:**

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

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

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

**9.6. 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 agencies present their partnerships and linkages as a part of their Community Action Plan (CAP), many of which are faith-based, charitable, and community-based organizations. These linkages play into how the agencies are able to deliver services and they work together to avoid duplication of services. On-site monitoring is used to verify partnerships and agreements are collected during the annual Organizational Standard review.

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

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

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

Through their collaboration efforts, the CAAs and CAPND continue to strengthen their coordination with other service providers serving low-income individuals and families on local, regional and state levels. As roll-up TANF funds have become available in the past, the CAAs have submitted proposals and/or been funded to provide supportive services to State Welfare Reform efforts, including GED/basic educational programs and job retention activities. The linkages and numerous coordination and collaboration activities between the CAAs and other programs are detailed in other parts of this application. Working with other programs and entities throughout the service area strengthens the collaborative efforts of meeting the unmet needs of low-income citizens, which benefits all providers and programs including State, Regional and County Social and Human Service programs involved in Welfare Reform efforts. CAPND, CAA and DCS staff continue to maintain open communication with staff from the ND Department of Human Services and other state entities. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. These linkages enhance the activities of the state and the CAAs in helping low-income people in becoming more self-sufficient and enhances their efforts to become employed or maintain their employment, better educated, financially solvent and more involved in their communities. For FY2020-2021, The State and eligible entities will continue to coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups and community organizations. CAAs continue to refer clients to other related programs as appropriate, and have continued their efforts to have other organizations, including religious organizations, charitable groups and community organizations, become more familiar with the CAA mission and how they can all work together to more effectively address low-income issues and needs. CAAs work with local, public, private, religious, charitable and community groups to develop more efficient and effective services for low-income persons.

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

Describe state activities for supporting coordination among the eligible entities and the state community action association.

*Note: This information will pre-populate the Annual Report, Module 1, Item G.5.*

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

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

In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

**Communication Plan**

Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	Meetings/Presentation	
State Plan Development	Biannual	Website	
Organizational Standards Progress	Annually		
State Accountability Measures Progress	Annually		
Community Needs Assessments /Community Action Plans	Annually		
State Monitoring Plans and Policies	Biannual	1:1	
Training and Technical Assistance (T /TA) Plans	Annually		
ROMA and Performance Management	As needed		
State Interagency Coordination	Upon Request		
CSBG Legislative/Programmatic Updates	Quarterly	Meetings/Presentation	
Tripartite Board Requirements	Biannual		

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Test	Not Applicable		

**9.10. Feedback to Eligible Entities and State Community Action Association:**  
Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

*Note: This information is associated with State Accountability Measure 55(iii), and will pre-populate the Annual Report, Module 1, Item G.6*

The State will provide any OCS feedback to the State Community Action Association and eligible entities within 60 calendar days of the State getting feedback from OCS. The agencies have been receiving periodic updates via email and at their quarterly Executive Directors meetings on the entire process for the annual report. State performance regarding the State Accountability Measures will be provided through an email and then in-person at the next scheduled Executive Director meeting.

**9.11. Performance Management Adjustment:**  
Describe any adjustments the state made to 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 75b; this response may pre-populate the state's annual report form.*

No adjustments as compared to past plans.

## Section 10: Monitoring, Corrective Action, and Fiscal Controls

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 10</b> <b>State Use of Funds</b>	

**Monitoring, Corrective Action and Fiscal Controls**  
(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.**

*Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module I, Table H.I.*

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Community Action Partnership Region I & VIII	Full On-site	Onsite Review	FY1 Q2	05/15/2018	08/17/2018	
2	Community Action Partnership Minot Region	Full On-site	Onsite Review	FY1 Q2	06/26/2018	06/27/2018	
3	Southeastern ND Community Action Agency	Full On-site	Onsite Review	FY1 Q3	09/17/2018	09/19/2018	
4	Community Action Program Region VII, Inc.	Full On-site	Onsite Review	FY1 Q4	11/05/2018	11/07/2018	
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Dakota Prairie Community Action	Full On-site	Onsite Review	FY2 Q2	05/14/2019	05/15/2019	
2	Red River Valley Community Action Agency	Full On-site	Onsite Review	FY2 Q3	08/19/2019	08/20/2019	
3	Community Action Region VI, Inc.	Full On-site	Onsite Review	FY2 Q3	10/17/2017	10/18/2017	

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

See attachment.

**10.3. Initial Monitoring Reports:**  
According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

60

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

**10.4. Closing Findings:**  
Are state procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above?  Yes  No

**10.4a. Closing Findings Procedures:** If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

**10.5. Quality Improvement Plans (QIPs):**  
Provide the number of eligible entities currently on QIPs, if applicable.

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

0

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

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

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

**10.7. Assurance on Funding Reduction or Termination:**

The state assures, "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)" per Section 676(b)(8).  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. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities?**  Yes  No

**10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.**

**10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public**

New designation would require a statutory change to ND Century Code 50-44.5. The public would be informed through legislative communication and public notices.

**10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities**  Yes  No

**10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.**

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

**10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public**

**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.**

**10.10b. If No, describe State procedures for re-designation of existing eligible entities.**

Redesignation is assumed unless notice is made that an agency has been de-designated.

**Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:**

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

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

**10.12. Single Audit Management Decisions:**

Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

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

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

**10.13. Assurance on Federal Investigations:**

The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act.  Yes  No

*Note: This response will link with the corresponding assurance, Item 14.7.*

**10.14. Performance Management Adjustment:**

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

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

Based on the limited results of the ACSI survey regarding monitoring and a meeting with the State Association Director's meeting, the State will strive to



be more timely on sending out monitoring results. The State will continue to try to improve communication with all agencies on a regular basis. The state is looking forward to the results from the 2019 ACSI survey in order to determine how to better improve the performance of the State office.

## Section 11: Eligible Entity Tripartite Board

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 11</b> State Use of Funds	
<b>11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act[Check all that applies and narrative where applicable]</b>	
<input checked="" type="checkbox"/> Attend Board meetings	
<input checked="" type="checkbox"/> Organizational Standards Assessment	
<input checked="" type="checkbox"/> Monitoring	
<input checked="" type="checkbox"/> Review copies of Board meeting minutes	
<input type="checkbox"/> Track Board vacancies/composition	
<input type="checkbox"/> Other	
<b>11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc..[Select one and narrative where applicable]</b>	
Annually	
Biannually at the monitoring visit, and annually while reviewing the Organizational Standards. If regular vacancies are a persistent problem, we may check in with the agency more frequently.	
<b>11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act</b>	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
To ensure compliance with the CSBG Act, the State requires that each CAA, as part of the CSBG application process, provide a description of the procedures the agency has in place to ensure that a low income individual, community organization, or religious organization, or representative of low income individuals that considers its organization, or low income individuals, to be inadequately represented on the agency board, can petition for adequate representation on the Board. Each CAA has reviewed agency bylaws, revising them as necessary, to ensure compliance with this provision. A copy of the bylaws section addressing this requirement is provided to DCS with the agency community action plan. The CSBG Certification attached to the grant agreement between the DCS and CSBG subgrantees similarly addresses this compliance issue in that document. The Certification form is signed by the Board Chair of each CAA board.	
<b>11.4. Tripartite Board Alternative Representation: 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 participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input type="radio"/> Yes <input checked="" type="radio"/> No</b>	
<b>11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.</b>	

## Section 12: Individual and Community Eligibility Requirements

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 12</b> Individual and Community Income Eligibility Requirements	
<b>12.1. Required Income Eligibility:</b> Provide the income eligibility threshold for services in the state. <i>[Check one item below.]</i>	
<input checked="" type="radio"/> 125% of the HHS poverty line <input type="radio"/> X% of the HHS poverty line (fill in the threshold) <input type="radio"/> Varies by eligible entity	
0%	% <i>[Response Option: numeric field]</i>
<b>12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.</b>	
Excerpt from manual: Client eligibility for direct CSBG services is based upon income level. The State of NorthDakota, as permitted by Section 673(2) of the CSBG Act, has always established the eligible income level for CSBG services at 125% of the official poverty line as defined by the Secretary of the Department of Health and Human Services based on information provided by the Office of Management and Budget	
<b>12.2. Income Eligibility for General/Short-Term Services:</b> Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical),An example of these services is emergency food assistance.	
Exceptions to the eligibility criteria could include food pantries, donations centers, assistive equipment items that are donated to the agency to be donated to eligible clients of the agency. If an individual needs food or assistive equipment and the entity has it available, a client should not be prevented from accessing because they don't meet the guidelines. Clients who claims no income must sign and date a self- declaration form attesting to the fact. The eligibility worker must also sign and date that form.	
<b>12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).</b>	
The State reviews the eligible entities regional needs assessment to ensure the services are targeted at communities with demonstrated need. In addition to needs assessment, the State may ask for additional data to back up the needs assessment. The additional data can be in the form of regional planning data, city and county commission meeting notes, board of director minutes, and feedback from clients and community groups if available.	

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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 13</b> <b>Results Oriented Management and Accountability (ROMA) System</b>	
<b>13.1. Performance Measurement System:</b> Identify the performance measurement system that the state and all eligible entities use, as required by <a href="#">Section 678E(a)</a> of the CSBG Act and the assurance under <a href="#">Section 676(b)(12)</a> of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item 1.1.</i>	
The Results Oriented Management and Accountability (ROMA) System	
Section 678E(b) of the CSBG Act	
<b>13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.</b>	
Excerpt from attached application/program guide: In meeting the required Assurance contained in Section 676(b) (12) of the CSBG reauthorization, the law states that State and community action compliance is required with the Results Oriented Management and Accountability (ROMA) System, or another performance system approved by the Secretary of Health and Human Services. The State has required CAA participation in ROMA since 1997 when the Office of Community Services (OCS) initially began requiring State and CAA participation in ROMA. Beginning in 2005, OCS has required reporting on the National Indicators which document CAA efforts in the areas of self-sufficiency, family stability, and community revitalization. The State Plan and Annual CSBG Report are required to report on the outcome/National Indicator information that will be collected and the results of the data.	
<b>13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.</b>	
<b>13.2. Outcome Measures: 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 <a href="#">Section 676(b)(12)</a> of the CSBG Act.</b>	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
Excerpt from attached application/program guide: Each agency is required to review the enclosed 2018 National Indicators that they are currently tracking, and revise the document, if necessary, to reflect what will be tracked for the 2020 and 2021 grant years. The updated document is to be submitted as part of the community action plan for the FY2020 and FY2021 grant years. If any changes are made in the National Indicators at the Federal level, DCS will provide that information to you as soon as it is received. Agencies are also encouraged to develop additional appropriate outcomes which would provide a better picture of their service area and what is being accomplished through the efforts of and partnerships with the CAA. Those additional outcomes should also be submitted to DCS with the workplan.	
<b>13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.</b>	
<i>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.</i>	
The state office is working with the state association to develop more comprehensive ROMA T/TA material. Feedback on ROMA reporting compliance is provided to the eligible entities during the annual Organizational Standards review.	
<b>13.4. Eligible Entity Use of Data:</b> Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
The State reviews quarterly data submitted by eligible entities to look at/compare progress of activities submitted in their work plans. When applications and workplans are submitted, the State reviews data such as local planning documents, needs assessments, board minutes, census data, past outcome data, and client satisfaction surveys (if conducted) to ensure service delivery is efficient and effective.	
<b>Community Action Plans and Needs Assessments</b>	
<b>13.5. Community Action Plan: 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 <a href="#">Section 676(b)(11)</a> of the CSBG Act.</b>	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
The State requires eligible entities to submit an application packet prior to awarding funds to the entity. The application requires, among many other documents, the submission of a CSBG work-plan (see attached document).	
<b>13.6. Community Needs Assessment:</b> 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 <a href="#">Section 676(b)(11)</a> of the CSBG Act.	

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

The State and the State Community Action Association (CAPND) assisted each eligible entity in conducting a Needs Assessment to meet the requirements of the CSBG Act. The State and the State's seven Community Actions are have completed a 2017 Needs Assessment Survey for 2020-2021 CSBG application. This survey covered all 53 counties served by the North Dakota Community Services Block Grants program. The State and the association are in the planning process for the next statewide needs assessment, which will be conducted in early 2020.

## Section 14: CSBG Programmatic Assurances and Information Narrative

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 14 State Use of Funds

#### 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;

Agencies determine the supportive activities based upon the community needs assessment. With this info, each agency develops their Community Action Plan (CAP) that discusses their proposed activities. This plan is reviewed before funds are administered. The State ensures these activities are supported during on-site monitoring.

##### 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;

Agencies determine their youth supportive services based on the results of the regional needs assessment. With this information, each agency develops their Community Action Plan (CAP) that discusses their proposed youth development activities. This plan is reviewed before funds are administered and the State ensures these activities are supported during on-site monitoring.

##### 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)

Eligible entities coordinate with many other types of agencies, such as other non-profits, faith-based organizations, governmental agencies, service providers and volunteers. Linkages and other coordination efforts are addressed in the Community Action Plan (CAP), which outlines the partnerships that the agency has engaged in. The CAP plan is reviewed by the State and linkages are updated during the on-site monitoring visit.

**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;**

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

**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.*

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

**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.*

Through their collaboration efforts, the CAAs and CAPND continue to strengthen their coordination with other service providers serving low-income individuals and families on local, regional and state levels. As roll-up TANF funds have become available in the past, the CAAs have submitted proposals and/or been funded to provide supportive services to State Welfare Reform efforts, including GED/basic educational programs and job retention activities. The linkages and numerous coordination and collaboration activities between the CAAs and other programs are detailed in other parts of this application. Working with other programs and entities throughout the service area strengthens the collaborative efforts of meeting the unmet needs of low-income citizens, which benefits all providers and programs including State, Regional and County Social and Human Service programs involved in Welfare Reform efforts. CAPND, CAA and DCS staff continue to maintain open communication with staff from the ND Department of Human Services and other state entities. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. These linkages enhance the activities of the state and the CAAs in helping low-income people in becoming more self-sufficient and enhances their efforts to become employed or maintain their employment, better educated, financially solvent and more involved in their communities. For FY2020-2021, The State and eligible entities will continue to coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups and community organizations. CAAs continue to refer clients to other related programs as appropriate, and have continued their efforts to have other organizations, including religious organizations, charitable groups and community organizations, become more familiar with the CAA mission and how they can all work together to more effectively address low-income issues and needs. CAAs work with local, public, private, religious, charitable and community groups to develop more efficient and effective services for low-income persons.

**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).*

Service Delivery System: The State has limited eligibility for CSBG funding to the seven (7) existing Community Action Agencies receiving federal anti-poverty funding in 1981: Region II Community Action Partnership Region III Dakota Prairie Community Action Agency Region IV Red River Valley Community Action Region V Southeastern North Dakota Community Action Agency Region VI Community Action Region VI Region VII Community Action Program Region VII Regions VIII & I Community Action Partnership CSBG funded CAAs serve the entire State. Each CAA develops a community action plan that they submit to the State for their request for CSBG funding. That plan addresses the determined needs of the service area, the services they will provide and coordinate through their CSBG award, a description of how services will be delivered and how the agency will coordinate services with other service providers in their service areas. The plans also address how the programs will be targeted to low income individuals and families. Since North Dakota has the statewide provision of community action services, the services delivered and coordinated in each region will be addressed through the CAA community action plans. If any geographic area of the State would cease to be served by an existing eligible entity, and the Governor of North Dakota, as the Chief Executive Officer, decides to serve the unserved area, he may solicit applications from and designate as an eligible

entity (1) A private nonprofit organization, which may include an eligible entity, that is located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of the CSBG Act; and (2) A private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area. The entity would need, prior to being designated as an eligible entity, to add additional members to the board to ensure that they meet the tripartite board requirements outlined in Section 676B(a) of the CSBG Act. (3) If there is no private nonprofit organization identified or determined to be qualified to serve the unserved area as an eligible entity, the Governor may designate a political subdivision of the State to serve as an eligible entity for the unserved area.

**Eligible Entity Emergency Food and Nutrition Services**

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

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

**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." Yes**

*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)." Yes**

*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.*

To ensure compliance with the CSBG Act, the State requires that each CAA, as part of the CSBG application process, provide a description of the



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

**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:06/30/2021

### SECTION 15 Federal Certifications

#### 15.1. 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.

## 15.2. 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).**

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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

Alternate II. (Grantees Who Are Individuals)

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

**(b)If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.**

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

**15.3. 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.

**15.4. 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.