

Community Services Block Grant (CSBG) Model State Plan

Any comments about the plan should be emailed to CSBG@development.ohio.gov
by the close of business on Thursday August 20, 2015.



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08072015

We are providing a Microsoft Word version of the revised draft Model State Plan (MSP) for CSBG state agencies to use for planning and development of their FY 2016 State plan. While OMB may require further adjustments to the MSP after they have finalized their review (currently undergoing), this document is the final clearance version.

Community Services Block Grant (CSBG) Model State Plan

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Mandatory Grant Application SF-424

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SECTION 1 – pre-populated in OLDC
CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

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

Lead agency **[Narrative, 2500 Characters]**

1.1b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- Community Services Department
- Human Services Department
- Social Services Department
- Governor’s Office
- Community Affairs Department
- Other, describe: **[Narrative, 2500 characters]**

1.1c. Division, bureau, or office of the CSBG authorized official **[Narrative, 2500 Characters]**

1.1d. Authorized official of the lead agency **[Narrative, 2500 Characters]**

Instructional note: The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

1.1e. Street address **[Narrative, 2500 characters]**

1.1f. City **[Narrative, 2500 characters]**

1.1g. State **[Dropdown]**

1.1h. Zip **[Narrative, 5 characters]**

1.1i. Telephone number and extension **[Narrative, 10 – 15 characters which includes option for 5 digit extension]**

1.1j. Fax number **[Narrative, 10 characters]**

1.1k. Email address **[Narrative, 2500 characters]**

1.1l. Lead agency website **[Narrative, 2500 characters]**

This version of the MSP is currently under review by OMB, which may result in additional edits.

1.1. Provide the following information in relation to the designated State CSBG point of contact.

Instructional Note: The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name **[Narrative, 2500 characters]**

1.2b. Name of the point of contact **[Narrative, 2500 characters]**

1.2c. Street address **[Narrative, 2500 characters]**

1.2d. City **[Narrative, 2500 characters]**

1.2e. State **[Dropdown]**

1.2f. Zip **[Narrative, 5 characters]**

1.2g. Point of contact telephone number **[Narrative, 10 – 15 characters which includes option for entering up to 5 digit extension]**

1.2h. Fax number **[Narrative, 10 characters]**

1.2i. Point of contact email address **[Narrative, 2500 characters]**

1.2j. Point of contact agency website **[Narrative, 2500 characters]**

1.2. Designation Letter: Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[Attach a document]**

Instructional Note: The letter should be from the chief executive officer of the State and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

SECTION 2 State Legislation and Regulation

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG? **X** Yes
 No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG? **Yes**
 No
- 2.3.** If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Attach a document and/or provide a link]**
- 2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? **Yes**
 No
- 2.4b.** Did the State establish or amend regulations for CSBG last year? **Y** **No**
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? **Yes**
 No

SECTION 3 State Plan Development and Statewide Goals

- 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. **[Narrative, 2500 characters]**

The Ohio Development Services Agency's Office of Community Assistance (OCA) administers the Community Services Block Grant (CSBG), the Home Energy Assistance Program (HEAP) including the Summer and Winter Crisis programs, the Home Weatherization Assistance Program (HWAP) and the electric Percentage of Income Payment Plan Plus, and its companion Electric Partnership Program (EPP). Housed within the Community Services Division, the OCA coordinates its programs to form a comprehensive strategy to build stronger families and healthier communities throughout Ohio.

- 3.2. State Plan Goals:** Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan. **[Narrative, 2500 characters]**

Goals for state administration of this plan include to:

- **support Ohio CAAs in meeting all organizational standards,**
- **provide training and information to support better formation, understanding of responsibilities and accountability among CAA tri-partite boards, and,**
- **Improve Customer Service**

Instructional Note: For examples of "goals," see State Accountability Measure 1Sa(i).

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

- 3.3. State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

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

- XState Performance Indicators and/or National Performance Indicators (NPIs)
- XU.S. Census data
- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Other data (describe) **[Narrative, 2500 characters]**
- XEligible entity community needs assessments
- XEligible entity plans
- Other information from eligible entities, e.g., State required reports (describe) **[Narrative, 2500 characters]**

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

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- XEligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- XState community action association and regional CSBG T & TA providers
- XState partners and/or stakeholders (describe) **[Narrative, 2500 characters]**
- National organizations (describe) **[Narrative, 2500 characters]**
- XOther (describe) **[Narrative, 2500 characters]**

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities. **[Narrative, 2500 Characters]**

A survey of eligible entities was conducted early in 2015 to learn what new programs, if any, local agencies expected to add during the 2016-2017 grant period. Eligible Entity representatives from 5 geographic regions of the state and representing Ohio's six urban CAAs are members of a CSBG Advisory Committee. CSBG Advisory Committee meetings are open to all CAAs and all CAAs are invited and encouraged to participate in the CSBG public hearing. In addition, copies of the draft CSBG plan are shared with each local agency.

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

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

3.4b. Performance Management Adjustment: How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

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

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

3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period: _____. **[Numerical, 3 digits]**

Instructional Note: The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

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

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SECTION 4

CSBG Hearing Requirements

4.1. Public Inspection: Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act. **[Narrative, 2500 Characters]**

- **Prior to the CSBG Public Hearing, a copy of the draft plan is provided to each local agency for review and feedback and display in their lobbies along with a notice of the hearing and how agency customers or other stakeholders can provide input.**
- **The draft plan is also posted on the ODSA website.**

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 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

- **Two CSBG Advisory Committee meetings were held prior to the Public Hearing and dates of the public hearing were made known several months in advance.**
- **A notification of the hearing was released by ODSA in advance of the hearing and the date of the hearing is also posted on the public ODSA calendar.**

4.3. Public and Legislative Hearings: Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
August 20, 2015	State Library of Ohio 274 E. 1st Ave, Cols. Ohio 43201	<ul style="list-style-type: none"> • Public -X • Legislative • Combined
ADD a ROW function Note: rows will be able to be added for each additional hearing		

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings. **[Attach a document or provide a hyperlink.] This will include information on the attendees and transcript of the public hearing.**

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SECTION 5 CSBG Eligible Entities

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

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
[Narrative, 2500 characters]	[Select Public or Nonprofit]	<ul style="list-style-type: none"> • Community Action Agency • Limited Purpose Agency • Local Government Agency • Migrant or Seasonal Farmworker Organization • Tribe or Tribal Organization • Other (describe in column 5) 	[Narrative, 2500 characters]	[Narrative, 2500 characters] If "Other" is selected in column 3, provide further detail here
ADD A ROW function Note: rows will be able to be added for each eligible entity funded in the State				
CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
Adams/Brown Counties Economic Opportunities, Inc.	nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Adams County • Brown County 	
Lima/Allen Council on Community Affairs	nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Allen County • Auglaize County • Mercer County 	
Kno-Ho-Co-Ashland Community Action Commission	NonProfit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Knox County • Holmes County • Coshocton County • Ashland County 	
Ashtabula County Community Action Agency	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Ashtabula County 	
Hocking, Athens, Perry Community Action	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Hocking County 	

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CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
			<ul style="list-style-type: none"> • Perry County • Athens County 	
Community Action Commission of Belmont County	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Belmont County 	
Supports to Encourage Low-income Families, Inc. (SELF)	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Butler County 	
Har-Ca-Tus Tri-County Community Action Organization	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Harrison County • Carroll County • Tuscarawas County 	
Opportunities Industrialization Center of Clark County	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Clark County 	
Clermont County Community Services, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Clermont County 	
Clinton County Community Action Program	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Clinton County 	
Community Action Agency of Columbiana County, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Columbiana County 	
Ohio Heartland Community Action Commission (OHCAC)	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Crawford County • Marion County • Morrow County 	
Council for Economic Opportunities in Greater Cleveland	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Cuyahoga County 	
Community Action Partnership of the Greater Dayton Area	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Darke County • Greene County • Montgomery County • Preble County • Warren County 	
Northwestern Ohio Community Action Commission, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Defiance County • Fulton County • Henry County • Paulding County • Van Wert County • Williams 	

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CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
			County	
Community Action Organization of Delaware/Madison/Union Counties, Inc. (DMU)	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Delaware County • Madison County • Union County • Shelby County • Champaign County • Logan County 	
Community Action Commission of Erie, Huron, & Richland Counties, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Erie County • Huron County • Richland County 	
Community Action Program Commission of the Lancaster/Fairfield Area	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Fairfield County 	
Community Action Commission of Fayette County	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Fayette County 	
IMPACT Community Action	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Franklin County 	
Gallia-Meigs Community Action Agency, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Gallia County • Meigs County 	
Geauga Community Action, Inc.	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Geauga County 	
G-M-N Tri-County Community Action Committee	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Guernsey County • Monroe County • Noble County 	
Cincinnati/Hamilton County Community Action Agency	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Hamilton County 	
HHWP Community Action Commission	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency 	<ul style="list-style-type: none"> • Hancock County • Hardin County • Wyandot County • Putnam County 	
Highland County	Nonprofit	<ul style="list-style-type: none"> • Community 	<ul style="list-style-type: none"> • Highland 	

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CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
Community Action Organization		Action Agency	County	
Jackson/Vinton Community Action, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Jackson County Vinton County 	
Jefferson County Community Action Council, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Jefferson County 	
Lifeline for the Empowerment and Development of Consumers, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Lake County 	
Ironton/Lawrence County Area Community Action Organization	NonProfit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Lawrence County 	
LEADS	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Licking County 	
Lorain County Community Action Agency, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Lorain County 	
PATHWAY	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Lucas County 	
Mahoning Youngstown Community Action Partnership (MYCAP)	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Mahoning County 	
Community Action Wayne/Medina	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Medina County Wayne County 	
Miami County Community Action Council	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Miami County 	
Community Action Program Corporation of Washington/Morgan Counties	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Morgan County Washington County 	
Muskingum Economic Opportunity Action Group, Inc. (MEOAG)	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Muskingum County 	
WSOS Community Action Commission, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Ottawa County Sandusky County Seneca County Wood County 	
Pickaway County CAO (PICCA)	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Pickaway County 	
Community Action Committee of Pike County	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Pike County 	
Community Action Council of Portage	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Portage County 	

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CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
County, Inc.				
Ross County Community Action Commission, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Ross County 	
Community Action Commission of Scioto County	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Scioto County 	
Stark County Community Action Agency	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Stark County 	
Akron/Summit Community Action, Inc.	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Summit County 	
Trumbull Community Action Program	Nonprofit	<ul style="list-style-type: none"> Community Action Agency 	<ul style="list-style-type: none"> Trumbull County 	
ADD A ROW function Note: rows will be able to be added for each eligible entity funded in the State				

5.2. Total number of CSBG eligible entities: ## [This will automatically update based on chart in 5.1]

5.3. **Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State’s last State Plan submission? If yes, briefly describe the changes. X Yes No [If yes is selected – Narrative, 2500 characters]

Two eligible entities relinquished CSBG funds in 2014:

- **SOURCES previously serving Auglaize and Mercer counties and,**
- **Tri-County CLS Community Action Agency that previously served in Champaign, Logan and Shelby counties.**
- **Neighboring CAAs have been designated to provide services in the counties that became “un-served” following action of their tri-partite board to relinquish their CSBG funds.**

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act. **N/A**

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

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SECTION 6 Organizational Standards for Eligible Entities

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

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.
- X**The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
 - The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**
- 6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes **X** No
- 6.2a.** If yes was selected in item 6.2, describe the State’s proposed minor modification to the COE-developed organizational standards, and provide a rationale. **[Narrative, 2500 characters]**
- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State’s administrative procedures act? If “Other” is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative where applicable]**
- Regulation
 - X**Policy
 - X**Contracts with eligible entities
 - Other, describe: **[Narrative, 2500 characters]**
- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? **[Check all that applies]**
- Peer-to-peer review (with validation by the State or State-authorized third party)
 - Self-assessment (with validation by the State or State-authorized third party)
 - Self-assessment/peer review with State risk analysis
 - State-authorized third party validation
 - X**Regular, on-site CSBG monitoring
 - Other

6.4a. Describe the assessment process. [Narrative, 2500 characters]

- Each eligible entity will receive a full on-site monitoring visit in 2016 using a monitoring tool that includes the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138).
- Eligible entities will be asked to conduct a self-assessment in advance of the monitoring visit and assemble documentation to document their performance on each standard.
- For each standard, Eligible Entities will be assessed as met or not met at the time of the visit.
- The eligible entity will receive a copy of the completed monitoring tool at the conclusion of the site visit as part of the standard exit interview.
- A follow up letter and report sent to the executive director, CSBG Coordinator (or equivalent), and the Board of Directors will indicate, what, if any, results of the monitoring visit require additional information or corrective action.
- Agencies will have an opportunity to respond and provide evidence of meeting a standard or addressing any other compliance issue(s) subsequent to the on-site visit.
- If warranted and to allow adequate time and provide assistance for an eligible entity to complete the necessary steps to meet any standards determined to be not met and address any other compliance issues, a Technical Assistance Plan (TAP) will be established. TAPs will be established in consultation with the eligible entity.
- For pervasive or protracted issues identified during the monitoring/standards review on-site visit, a Quality Improvement Plan (QIP) will be established in accordance with 678 C(a) (4) and related guidance from the federal Office of Community Services.

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

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. **[Narrative, 2500 characters or attach document]**

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

- 6.6. Performance Target:** What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? **[Insert a percentage]**

95 percent

Note: This information is associated with State Accountability Measures 6Sa and may pre-populate the State’s annual report form.

SECTION 7

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. **[Check one and narrative where applicable]**

- HistoricX
- Base + Formula X
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other **[Narrative, 2500 Characters]**

The CSBG allocation formula is based on historic CAA funding levels and an adjustment based on poverty population. Ninety percent of the Fiscal Year 1983 allocation will serve as each grantees funding base. The total of these base amounts will be subtracted from the total pass-through monies in Fiscal Year 2016, less the amount required by state of Ohio law to be set-aside for Training and Technical Assistance purposes. Remaining funds are allocated to each grantee based on the grantee’s percentage of the state’s total population that fall within 125% of the federal poverty guidelines (based on the 2010 United States Population Census).

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

7.2. Planned Allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds – ATTACHMENT: projection based on current funding				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Will be auto-populated from Section 5, Table 5.1, Column 1	Enter either the dollar amount or percentage for each eligible entity for the first year that this plan covers		Enter either the dollar amount or percentage for each eligible entity for the second year that this plan covers (If this is a one-year plan, these columns can be left blank)	
Total	Totals will be auto-populated		Totals will be auto-populated	

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). **[Narrative, 2500 Characters]**

An amendment included in Ohio’s Biennial Budget passed in June 2015 established new requirements for distribution of CSBG funds in Ohio. Ninety-one (91%) is to go to eligible entities (CAAs). The process for distributing the 91 percent is as follows:

- **Applications for funding for 2-year CSBG grants are submitted to OCA in accordance with OCA policies and procedures.**
- **The applications are submitted electronically and subject to review and approval by an assigned field representative, the field section supervisor, fiscal staff and fiscal manager, deputy chief of the OCA. Final sign-off occurs in the Ohio Development Services Agency Director’s office by the Assistant Director.**
- **Support staff upload fully executed grant agreements to the electronic grant management system where it can be accessed by eligible entities/CAAs for signature.**
- **Funds can then be advanced to eligible entities/CAAs equivalent to 1 month of the 12-month grant allocation.**

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption. **[Narrative, 2500 Characters]**

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the State’s annual report form.

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

7.5. Performance Management Adjustment: How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the State’s annual report form.

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

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

Due to an amendment passed as part of the State of Ohio’s budget bill, the maximum allocation available for administrative activities, under this State Plan is 4.5 percent.

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99] 22**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99] 9**

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

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

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

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

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the

purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa; the responses may pre-populate the State’s annual report form.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
a. Training/technical assistance to eligible entities					[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs	[Enter either a planned \$ or % for each item listed for the first year that this plan covers. If entering a percentage, the percentages must total 100%.]		[Enter either a planned \$ or % for each item listed second year that this plan covers. If entering a percentage, the percentages must total 100%.]		[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities					[If this is a one-year plan, these columns can be left blank]
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 characters]
e. Asset-building programs					[Narrative, 2500 characters]

This version of the MSP is currently under review by OMB, which may result in additional edits.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
f. Innovative programs/ activities by eligible entities or other neighborhood groups					[REQUIRED Narrative, 2500 characters] Describe here or attach additional information.
g. State charity tax credits					[Narrative, 2500 characters]
h. Other activities, specify_____					<ul style="list-style-type: none"> • To provide assistance in the case of an emergency • To conduct an assessment of eligible entity T&TA Needs in FFY 1, Q.1.
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated	

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

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- X Other community-based organizations**
- X State Community Action association**
- Regional CSBG technical assistance provider(s)
- X National technical assistance provider(s)**
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 characters]**
- None (the State will carry out activities directly)

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

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measures 3Sb, and will pre-populate the State’s annual report form.

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SECTION 8 State Training and Technical Assistance

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

Note: 8.1 is associated with State Accountability Measure 3Sc and may pre-populate the State’s annual report form.

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown options: <ul style="list-style-type: none"> • FY1 – Q1 • FY1 – Q2 • FY1 – Q3 • FY1 – Q4 • FY2 – Q1 • FY2 – Q2 • FY2 – Q3 • FY2 – Q4 • Ongoing / Multiple Quarters • All quarters 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance • Both 	Dropdown Options: <ul style="list-style-type: none"> • Fiscal • Governance/Tripartite Boards • Organizational Standards – General • Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) • Correcting Significant Deficiencies Among Eligible Entities • Reporting • ROMA • Community Assessment • Strategic Planning • Monitoring • Communication • Technology • Other 	[Narrative, 2500 characters] If “Other” is selected in column 3, describe in this column In FY1 – Q1, the state lead agency will carry out a formal assessment of eligible entities training and technical assistance needs. The results of the needs assessment and eligible entity applications will inform OCA’s determination of the types and quantity of programs and services to be provided over the course of the two-year CSBG program.
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but

This version of the MSP is currently under review by OMB, which may result in additional edits.

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
			T/TA
FY1 - Q4	Training	ROMA	
Choose an item.	Choose an item.	Choose an item.	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): _____ **[Prepopulated with the 4.5 % of State Award. budget allocation for years one and two under 7.9a]**

If this is the implementation year for organizational standards, skip question 8.2. -----SKIP

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

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

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

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- X Other community-based organizations
- X State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 characters]**

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

8.4. Performance Management Adjustment: How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

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SECTION 9 State Linkages and Communication

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

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. **[Check all that apply from the list below and provide a Narrative, 2500 Characters].**

- **The Office of Community Assistance administers CSBG, LIHEAP (HEAP), HWAP, state-funded energy assistance and efficiency programs, the DOE-funded State Energy Program and others designed to meet multiple needs and improve the living conditions of income-eligible Ohio citizens. Most (though not all) Ohio CAAs/eligible entities operate this entire slate of programs locally.**
- **In addition, OCA is part of the Community Services Division containing an Office of Community Development (OCD) that administers funds directed to the provision of housing and prevention of homelessness; many Ohio CAAs are also subgrantees of OCD and of other Ohio Development Services Agency programs, such as those directed to entrepreneurs, for example.**
- **Representatives of other state agencies, such as the state education department and state workforce agency serve on/or participate in CSBG Advisory Committee meetings hosted by the state lead agency.**

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

- X State Low Income Home Energy Assistance Program (LIHEAP) office**
- X 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
- X 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 plans 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 (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed. **[Narrative, 2500 Characters]**

- **The Office of Community Assistance reviews and tracks agency partnerships as part of the online CSBG Application and Community Services Plan submitted by local agencies.**
 - **Projects that involve multiple funding streams must be described in eligible entity plans and the nature of the partnership components and activities explained.**
- **In addition, eligible entities customarily recruit board members from among the key interests in their service territory which enables regular exchange of information, coordination and co-funding of projects directed to households that are eligible for services provided by multiple programs.**

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

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination: Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed. **[Narrative, 2500 Characters]**

- **The Office of Community Assistance, is continuing to promote and track eligible entity partnerships and document how partners work together on cross-cutting community projects.**

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

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. **[Narrative, 2500 Characters]**

- **OCA has asked eligible entities to create processes to demonstrate that the referrals they make have resulted in some assistance being provided by the agency to which the customer was referred.**

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

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

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

9.4a If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. **[Narrative, 2500 Characters]**

9.4b. If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. **[Narrative, 2500 Characters]**

- **OCA and the state workforce office are working more closely together to develop a common understanding of workforce transformation and development needs and assure that each entity's efforts are in alignment with the other's.**
- **This collaboration has manifested in participation of the workforce agency in CSBG Advisory Committee meetings and OCA participation in workforce agency meetings and conferences.**
- **The Ohio Office of Workforce Transformation established by the Governor in 2012 has prioritized its work with four strategic goals that drive its work and provide focus:**
 - **Identify businesses most urgent job needs**
 - **Align the skills needs of employers with job training and education offerings**
 - **Reform Ohio's workforce delivery system**
 - **Enhance state provided employer services**
- **The Ohio Development Services Agency is in the process of reforming the service delivery system directed to small businesses and entrepreneurs. The Office of Community Assistance is participating for the purpose of enhancing the opportunities for CSBG-eligible individuals to start a business or micro-enterprise and grow the business into a self-sustaining operation.**

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). **[Narrative, 2500 Characters]**

- **The Office of Community Assistance (OCA) administers LIHEAP and its winter crisis and summer crisis components.**
- **Through OCA's oversight, local delegate energy assistance entities (most of them CAAs) are required to deliver energy assistance benefits on an emergency basis in strict conformance with OCA's energy assistance guidelines.**

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

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 2500 characters OR attach a document]**

- **Information on partnerships and collaborations, including those with faith-based, charitable groups and community organizations is submitted to OCA by eligible entities as part of their CSBG Application and Community Services Plans reviewed and approved by OCA. Such organizations are also represented on eligible entity tri-partite boards.**

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

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. **[Narrative, 2500 Characters]**

- All Ohio CAAs understand the important opportunities for income-eligible households that result from coordination of CSBG funds with other public and private resources.
- Such coordination is reflected in the Community Services Plans contained in eligible entity applications for funding, and reported on quarterly as part of agency workplans.

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

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. **[Narrative, 2500 Characters]**

- The Office of Community Assistance typically provides funding to the state community action association to conduct two statewide conferences attended by eligible entities, provide technical assistance to agencies in need, and communicate with agencies on issues of interest locally and statewide, among other activities and initiatives.
- In 2015, OCA hosted the national Community Action Partnership, in cooperation with the state association, at a statewide meeting to discuss requirements and resources and review Ohio eligible entity readiness to meet all organizational standards in 2016, and funded a history of the War on Poverty event attended by CAA staff and other stakeholders.

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

OCA communications with the State Community Action Agency Association and Eligible Entities take place regularly using a variety of methods.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of “Other”
	Dropdown Options: <ul style="list-style-type: none"> • Daily • Weekly • Twice-Monthly • Monthly 	Dropdown Options: <ul style="list-style-type: none"> • Newsletter • Mailing • Meetings/Presentation • Blog 	[Narrative, 2500 characters] If “Other” is selected in columns 2 and/or 3, describe in this column

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Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
	<ul style="list-style-type: none"> • Quarterly • Semi-Annually • Annually • Other 	<ul style="list-style-type: none"> • Email • Website • Social Media • Other 	
Grant Application Training	Annually & As needed	Mailings & webinars	
CSBG Coordination			
CSBG Hearings/mtgs	Annually	Other	In-Person Meeting
ROMA Reporting	Quarterly	Email, Posting in electronic grant mgmt system	
OCA Updates	Semi-Annually	Meetings/Presentations @Statewide Confs.	
Program Information	As warranted	ODSA website	
Guidance	As warranted	Phone, Email, Posting in OCEAN system	

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

The Office of Community Assistance will share information with eligible entities and the state community action association within 60 days of receiving feedback from OCS in the form of a letter from the Office Chief containing a summary the feedback received from OCS.

[Narrative, 2500 Characters]

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

9.11. Performance Management Adjustment: How is the State adjusting the Communication plan in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

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

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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 – newly designated. • • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	Dates to be Added Select a date	[Narrative, 2500 characters] If “Other” is selected in column 2, describe in this column

10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link] --- ATTACH Monitoring Tool**

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? **[Insert a number from 1 – 100]**

- **Dissemination of the initial monitoring review and combined organizational standards assessment report to local entities will take place during the on-site exit interview.**

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

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 the documenting of closure of findings included in the State monitoring protocols attached above? Yes No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. [Narrative, 2500 characters] **ATTACHMENT: OCA Guide to Progressive, Corrective Action**

- 10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? **0** [Numeric, 3 digits]

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

- 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? [Narrative, 2500 characters]

- **Within 30 days of approving a QIP, the Office of Community Assistance will send a letter to the assigned project officer at the HHS Office of Community Services (OCS).**

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

- 10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).” Yes No

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

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

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

- **Ohio Revised Code (ORC) 122.69 Endorsement of Community Action Agency**

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes

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

- **See attached OCA Guide to Progressive Corrective Action up to and Including Rescinding CSBG Designation and Awarding Funds to a New Entity.**

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

- **Per ORC 122.701, Any agency whose designation is rescinded pursuant to this section may appeal an order rescinding such designation pursuant to section 119.12 of the Revised Code.**

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

- **See attached OCA Guide to Progressive Corrective Action attached and referenced above.**

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).
[Narrative, 2500 Characters or attach a document]

Financial Reporting process and controls preparation of SF425

- 1. All invoices are review and approved by Office of Community Assistance fiscal /program manager.**
- 2. Once Invoices are approved submitted to OAKS (Ohio Administrative Knowledge System) State of Ohio Accounting System.**
- 3. The Accounting Team access (Cognos) The primary reporting tool for OAKS a data warehouse to create professional reports on the web. Commitment control ledger group.**
- 4. Accounting Team prepares FFR excel spreadsheet based upon Cognos Data submit to Program/ Fiscal Office for review.**
- 5. Once review is in good standing Accounting Team enters into HHS OLDC Financial Portal.**

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **[Narrative, 2500 Characters]**

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

The Audit Office within the Ohio Development Services Agency (ODSA) receives single audit reports from grantees awarded Community Services Block Grant (CSBG) funds. Within six months of receipt, each audit report is reviewed. The review includes verification of required schedules and reports, review and analysis of the financial statements and evaluation of any audit findings.

If an audit does not contain findings and the financial reports are acceptable, the Audit Office issues correspondence closing the audit.

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When an audit contains findings related to ODSA grants, a corrective action plan must be included in or submitted with the audit report. If the corrective action plan is found acceptable, the Audit Office issues correspondence accepting the plan and closing the audit report. If the corrective action plan is not submitted or is not acceptable, the Audit Office requests additional information until it is found acceptable. Correspondence is then sent to the grantee accepting the plan and closing the audit report.

10.13. Assurance on Federal Investigations: Will the State “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

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

10.14. Performance Management Adjustment: How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

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

SECTION 11 Eligible Entity Tripartite Board

- 11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? **[Check all that applies and narrative where applicable]**
- X**Attend Board meetings
 - X**Review copies of Board meeting minutes
 - X**Track Board vacancies/composition
 - X**Other **[Narrative, 2500 characters]**

 - As warranted, the OCA field unit will provide training during eligible entity board meetings in consultation with the Ohio Development Services Agency Legal Office**
 - Regional trainings directed to tri-partite boards and tied to the organizational standards pertaining to Governance.**
- 11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**
- Annually
 - Semiannually
 - Quarterly
 - Monthly
 - X**Other **Eligible entities are required to submit a board roster with their biennial CSBG applications and are to provide their assigned OCA field representative with a revised roster whenever changes to the roster occur.**
- 11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board. **[Narrative, 2500 Characters]**
- Eligible Entity Board Policies and Manuals are reviewed every other year as part of full on-site reviews.**
- Note:** This response will link with the corresponding assurance, item 14.10.
- 11.4.** Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. Yes **X** No

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- **Not applicable – no public eligible entities in Ohio**

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

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Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: What is the income eligibility threshold for services in the State? **[Check one item below.]**

- 125% of the HHS poverty line**
- X % of the HHS poverty line (fill in the threshold): _____% **[insert up to a 3 digit percentage]**
- Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 2500 Characters, or attachment]**

ATTACHMENT – OCA Policy Bulletin Client Eligibility and Income Documentation

12.2. Income Eligibility for General/Short Term Services: For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance. **[Narrative, 2500 Characters]**

Census tract data may be utilized to demonstrate the incidence of poverty in the community where the emergency service is being provided and/or proxy eligibility determinations could be used for those with a card or identification showing they are receiving TANF or other government-provided social services, for example.

12.3. Community-targeted Services: For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities? **[Narrative, 2500 Characters]**

In cases where a community-wide benefit is being provided, the OCA would require eligible entities to utilize census tract or zip code information to document the incidence of poverty in the target area.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

- 13.1. ROMA Participation:** In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

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

- X The Results Oriented Management and Accountability (ROMA) System**
- Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- An alternative system for measuring performance and results

13.1a. If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA. **[Attachment and Narrative, 2500 characters]** **ATTACHMENT**

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

- 13.2.** Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act? **[Check one and Narrative, 2500 characters]**

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

- CSBG National Performance Indicators (NPIs)
- X NPIs and others**
- Others --- ROMA Goals, Target Areas and Framework Codes**

- 13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? **[Narrative, 2500 characters or attach a document]**

The State provides training and instruction on the Results-Oriented Management and Accountability (ROMA) system as part of each two-year grant application process. ROMA training is also available through OCA's grant with the Ohio Community Action Training Organization (OCATO). OCATO has a certified ROMA Trainer on staff. In 2014, OCA hosted the national Peer toPeer training program in Ohio.

Note: The activities described under item 13.3 may include activities listed in "Section 8: 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.

- 13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery? **[Narrative, 2500 characters or attach a document]**

OCA field representatives consult with local agencies on program outcomes and whether and to what extent the outcomes suggest that changes should be made to the ROMA workplans. Such consultations may occur at the time CSBG applications are submitted, when program revisions are submitted to OCA for review and approval and when quarterly ROMA reporting is taking place. OCA also requires eligible entities to based their programs and services on their most recent service territory needs assessment.

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

Community Action Plans and Needs Assessments

- 13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 2500 characters or attach a document]**

Eligible Entity Community Action Plans (workplans) are required for submission to OCA as part of each agency's two year CSBG application and are subject to review and approval by OCA.

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

- 13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 2500 characters or attach a document]**

Eligible entities are required to undertake a community needs assessment at least every 3 years and provide a 10-page summary of the current assessment to OCA as part of its two-year CSBG application. It is also expected that community needs assessments will be updated in real time if there are major changes in a service area that impact the need of target populations. An example would be a loss of a major employer or a natural disaster.

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

SECTION 14

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, 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;

[Narrative, 2500 or attach a document]

- **Local coordination with social services delivery systems and the private sector is encouraged when planning and implementing programs. Eligible entities will submit applications and community services workplans specifically designed to implement the above assurances. The**

OCA staff will review the application for adherence to these assurances and the application will not be approved without compliance.

- **At the State level, staff efforts to coordinate with other providers of social services to low-income Ohioans will continue and new opportunities will be explored.**

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;

- **OCA’s instructions and the grant application review tool for eligible entity applications for the 2016-2017 CSBG program will include a checkbox to indicate whether program (s) are included in the plan to address the needs of youth in low-income communities.**
- **Quarterly ROMA reports also provide documentation.**

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)

[Narrative, 2500 characters OR attach a document]

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

[No response; links to 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...”

676(b)(3)

As part of the biennial application for Community Services Block Grant funding, the State of Ohio requires all agencies to submit community action plans (Community Services Plans) that detail services to be provided and budgeted expenses. Such plans may and do include projects and initiatives pertaining to coordination and innovative community-based initiatives. Agencies may also apply for T&TA funds for special projects in some cases.

Eligible Entity Service Delivery System

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;

Designated CAAs are providing services on a stand-alone basis or in partnership with other local public and private entities in all 88 Ohio counties.

[Narrative, 2500 characters OR attach a document]

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.

[No response; links to 9.3b.]

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

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

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

[No response; links to 9.7]

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

14.3d. 676(b)(3)(D) Describe “how the local entity will use the funds [made available under 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).

[Narrative, 2500 characters OR attach a document]

Each of Ohio’s designated eligible entities submits the above information for its service area as a part of the two-year grant application describes Ohio's Community Services Block Grant network and the services, activities, and programs that address the above. Agencies report on these activities and services using Ohio’s ROMA framework. In addition, a Fatherhood/Parental Responsibility checkbox will be included in the applications completed by eligible entities.

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.”

[Narrative, 2500 characters OR attach a document]

The State of Ohio will continue to use a Community Services Block Grant application that contains grantee work plans for emergency and nutrition services. Community Action Agencies typically provide more nutrition-related services than any other type of assistance, except for emergency services. It is expected that this level of service will continue.

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.

[No response; links to 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.

[No response; links to 9.2 and 9.5]

Federal Investigations

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

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

[No response; links to 10.13]

Funding Reduction or Termination

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

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

[No response; links to 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.

[No response; links to 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

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community 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.”

[No response; links to 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 section 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.

[No response; links to 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.

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[No response for this item]

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

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SECTION 15

Federal Certifications

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

15.1 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

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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.

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

15.2 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).

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- (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 - -

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- (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) **[Narrative, 2500 characters]**

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]

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

15.3 Debarment

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;

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(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
- (3) 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 remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) 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.
- (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 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.
- (6) 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.
- (7) 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.

- (8) 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.
- (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 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.

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

15.4 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

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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.

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

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