

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: Virginia

Report Name: CSBG State Plan

Report Period: 10/01/2020 to 09/30/2021

Report Status: Saved -- with Errors

Report Sections

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

CSBG Cover Page (SF-424M)

| | | | |
|--|---|---|---|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | | Form Approved OMB No: 0970-0382 Expires:06/30/2021 | |
| COVER PAGE | | | |
| * 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year) | * 1.b. Frequency: <input checked="" type="radio"/> Annual <input type="radio"/> Other (2 Year) | * 1.c. Consolidated Application/ Plan/Funding Request? Explanation: | * 1.d. Version: <input type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update |
| | | 2. Date Received: | State Use Only: |
| | | 3. Applicant Identifier: | |
| | | 4a. Federal Entity Identifier: | 5. Date Received By State: |
| | | 4b. Federal Award Identifier: | 6. State Application Identifier: |
| 7. APPLICANT INFORMATION | | | |
| * a. Legal Name: Virginia | | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): 1540959533A2 | | * c. Organizational DUNS: 015571326 | |
| * d. Address: | | | |
| * Street 1: | 801 E. Main St | Street 2: | |
| * City: | Richmond | County: | |
| * State: | VA | Province: | |
| * Country: | United States | * Zip / Postal Code: | 23219 - 2901 |
| e. Organizational Unit: | | | |
| Department Name: Virginia Department of Social Services | | Division Name: Community and Volunteer Services | |
| f. Name and contact information of person to be contacted on matters involving this application: | | | |
| Prefix: | * First Name: Matt | Middle Name: | * Last Name: Fitzgerald |
| Suffix: | Title: CSBG Program Manager | Organizational Affiliation: | |
| * Telephone Number: | Fax Number | * Email: matt.fitzgerald@dss.virginia.gov | |
| * 8a. TYPE OF APPLICANT: A: State Government | | | |
| b. Additional Description: | | | |
| * 9. Name of Federal Agency: | | | |
| 10. CFDA Numbers and Titles | | Catalog of Federal Domestic Assistance Number: 93569 | CFDA Title: Community Services Block Grant |
| 11. Descriptive Title of Applicant's Project | | | |
| 12. Areas Affected by Funding: | | | |
| 13. CONGRESSIONAL DISTRICTS OF: | | | |
| * a. Applicant 7 | | b. Program/Project: | |
| Attach an additional list of Program/Project Congressional Districts if needed. | | | |
| 14. FUNDING PERIOD: | | 15. ESTIMATED FUNDING: | |
| a. Start Date: | b. End Date: | * a. Federal (\$): | b. Match (\$): |

| | | | |
|--|--|--|-----|
| | | \$0 | \$0 |
| * 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS? | | | |
| a. This submission was made available to the State under the Executive Order 12372 | | | |
| Process for Review on : | | | |
| b. Program is subject to E.O. 12372 but has not been selected by State for review. | | | |
| c. Program is not covered by E.O. 12372. | | | |
| * 17. Is The Applicant Delinquent On Any Federal Debt? | | | |
| <input type="radio"/> YES <input checked="" type="radio"/> NO | | | |
| Explanation: | | | |
| 18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input type="checkbox"/> | | | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | | | |
| 18a. Typed or Printed Name and Title of Authorized Certifying Official | | 18c. Telephone (area code, number and extension) | |
| | | 18d. Email Address | |
| 18b. Signature of Authorized Certifying Official | | 18e. Date Report Submitted (Month, Day, Year) | |
| | | | |
| Attach supporting documents as specified in agency instructions. | | | |

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

| | |
|---|---|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No:0970-0382 Expires:06/30/2021 |
| SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter | |

| | |
|---|--|
| 1.1. Identify whether this is a One-Year or a Two-Year Plan | <input type="radio"/> one-year <input checked="" type="radio"/> two-year |
|---|--|

| | | |
|--|----------|----------|
| 1.1a. Provide the federal fiscal years this plan covers: | Year One | Year Two |
|--|----------|----------|

1.2. Lead Agency: Update 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.

Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

| |
|--|
| Has information in regards to the state lead agency has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No |
|--|

| | | | | | |
|---|--|--|--|--|--|
| If yes, provide the date of change and select the fields that have been updated | | | | | |
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name | | | |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City | | | |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Business Number | <input type="checkbox"/> Fax Number | | | |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | | | | |

| | |
|-------------------|--|
| 1.2a. Lead agency | |
|-------------------|--|

| |
|--|
| 1.2b. Cabinet or administrative department of this lead agency <i>[Select one option and narrative where applicable]</i> |
| <input type="radio"/> Community Services Department |
| <input checked="" type="radio"/> Human Services Department |
| <input type="radio"/> Social Services Department |
| <input type="radio"/> Governor's Office |
| <input type="radio"/> Community Affairs Department |
| <input type="radio"/> Health Department |
| <input type="radio"/> Housing Department |
| <input type="radio"/> Other, describe |

| | |
|--|--|
| 1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official | Virginia Department of Social Services |
|--|--|

| | |
|--|---------------------|
| 1.2d. Authorized official of the lead agency | |
| Name: S. Duke Storen | Title: Commissioner |

| | | | |
|----------------------|--------------------|---------------|--------------------|
| 1.2e. Street Address | 801 E. Main Street | | |
| 1.2f. City | Richmond | 1.2g. StateVA | 1.2h. Zip 23219 |

| | |
|--|--------------------|
| 1.2i. Telephone number and extension 804 726 - 7512 ext. | 1.2j. Fax number - |
|--|--------------------|

| | |
|--|---|
| 1.2k. Email address duke.storen@dss.virginia.gov | 1.2l. Lead agency website https://www.dss.virginia.gov/ |
|--|---|

| |
|--------------------------|
| 1.3. Designation Letter: |
|--------------------------|

Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.

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

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

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

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

1.4a. Agency Name Virginia Department of Social Services

1.4b Point of Contact Name

Name: Matt Fitzgerald

Title: CSBG Program Manager

1.4c. Street Address

801 E. Main Street

1.4d. City

Richmond

1.4e. State VA

1.4f. Zip 23219

1.4g. Telephone Number 804 726 - 7142 ext.

1.4h. Fax Number -

1.4i. Email Address matt.fitzgerald@dss.virginia.gov

1.4j. Agency Website https://www.dss.virginia.gov/

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

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

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

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

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

1.5a. Agency Name

1.5b. Executive Director or Point of Contact

Name:

Title:

1.5c. Street Address

1.5d. City

1.5e. State

1.5f. Zip zip

1.5g. Telephone number - ext.

1.5h. Fax number -

1.5i. Email Address

1.5j. State Association Website

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

Section 2: State Legislation and Regulation

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

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

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG Yes No

2.2. CSBG State Regulation:

State has regulations for CSBG Yes No

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

2.4. State Authority:

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

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

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

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

Section 3: State Plan Development and Statewide Goals

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

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

SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The Virginia Department of Social Services mission: To design and deliver high-quality human services that help Virginians achieve safety, independence and overall well-being. Vision: A Commonwealth in which all Virginians have the resources and services they need to shape strong futures for themselves, their families and their communities. Major focus areas of VDSS include, food and nutrition, childcare, early childhood education, domestic violence, refugee resettlement and licensing.

3.2. State Plan Goals:

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

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

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

3.3. State Plan Development:

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

3.3a. Analysis of state-level tools [Check all that apply and narrative where applicable]

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

U.S. Census data

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

Monitoring Visits/Assessments

Tools not identified above (specify)

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

Eligible entity community needs assessments

Eligible entity community action plans

Public Hearings/Workshops

Tools not identified above (e.g., State required reports)[specify]

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

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

State Association

National Association for State Community Services Programs (NASCSPP)

Community Action Partnership (The Partnership)

Community Action Program Legal Services (CAPLAW)

CSBG Tribal Training and Technical Assistance (T/TA) provider

Regional Performance Innovation Consortium (RPIC)

Association for Nationally Certified ROMA Trainers (ANCRT)

Federal CSBG Office

Organizations not identified above [Specify]

3.4. Eligible Entity Involvement

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

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

The State involved CSBG eligible entities and the State Association through meetings, comment periods and phone conferences. The State Plan was available online for an initial 30 day comment period for eligible entities. Suggestions were taken into consideration and changes were made. A detailed presentation of the entire State Plan was delivered at the State Association annual conference, and additional comments on the plan were accepted and incorporated into the 2nd draft. The state also held a 30 day public comment period from June 1, 2020-July 1, 2020, this was publicized in a regional newspaper. The state CSBG office presented the state plan to the Joint Sub-Committee on Block Grants for approval during a legislative hearing. Eligible entities and program recipients attended and provided statements at the hearing.

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

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

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

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

This year based on ACSI responses we have included additional comment periods, we held two 30-day comment periods before the legislative hearing. Within those two 30-day comment periods we held two listening sessions with eligible entities.

3.5. Eligible Entity Overall Satisfaction:

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

| | | | |
|----------|----|----------|----|
| Year One | 70 | Year Two | 75 |
|----------|----|----------|----|

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

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

Section 4: CSBG Hearing Requirements

| | |
|---|--|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No: 0970-0382 Expires:06/30/2021 |
| SECTION 4 CSBG Hearing Requirements | |

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

The state held a 30 day public comment period from June 1, 2020- July 1, 2020, this notice was publicized in a regional newspaper and the plan was available online.

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

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

4.3. Public and Legislative Hearings:
 In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

| | Date | Location | Type of Hearing [Select an option] | If a combined hearing was held, confirm that the public was invited |
|---|------|----------|---------------------------------------|---|
| 1 | | | | <input type="checkbox"/> |

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

Section 5: CSBG Eligible Entities

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

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

SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

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

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

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

| # | CSBG Eligible Entity | Geographical Area Served by county (Provide all counties) | Public or Nonprofit | Type of Entity [choose all that apply] |
|----|--|---|---------------------|---|
| 1 | Alexandria Office of Community Services | City of Alexandria | Public | Community Action Agency |
| 2 | Appalachian Community Action and Development Agency, Inc. | Counties of Lee, Scott, and Wise and the city of Norton | Non-Profit | Community Action Agency |
| 3 | Arlington County | County of Arlington and City of Falls Church | Public | Community Action Agency |
| 4 | Bay Aging | Counties of Essex, Gloucester, Lancaster, Mathews, Middlesex, Northumberland, Richmond, and Westmoreland | Non-Profit | Community Action Agency |
| 5 | Community Action Partnership of Staunton, Augusta and Waynesboro | County of Augusta and the Cities of Staunton and Waynesboro | Public | Community Action Agency |
| 6 | Capital Area Partnership Uplifting People | Counties of Dinwiddie and Prince George and the Cities of Richmond, Hopewell and Petersburg | Non-Profit | Community Action Agency |
| 7 | Clinch Valley Community Action | County of Tazewell | Non-Profit | Community Action Agency |
| 8 | Eastern Shore AAA/CAA | Counties of Accomack and Northampton | Non-Profit | Community Action Agency |
| 9 | Fairfax County Department of Family Services | County of Fairfax and Fairfax City | Public | Community Action Agency |
| 10 | Goochland Community Action Program | County of Goochland | Public | Community Action Agency |
| 11 | Hampton Roads Community Action Program, Inc. | Cities of Hampton and Newport News | Non-Profit | Community Action Agency |
| 12 | The Improvement Association | Counties of Brunswick, Greenville, Sussex, and Surry and the city of Emporia | Non-Profit | Community Action Agency |
| 13 | Lynchburg Community Action Group | Counties of Amherst, Appomatox, Bedford, and Campbell and city of Lynchburg | Non-Profit | Community Action Agency |
| 14 | Monticello Area Community Action Agency | Counties of Albemarle, Fluvanna, Louisa, and Nelson and city of Charlottesville | Non-Profit | Community Action Agency |
| 15 | Mountain Community Action Program | Counties of Bland, Smyth, Wythe | Non-Profit | Community Action Agency |
| 16 | New River Community Action, Inc | Counties of Floyd, Giles, Montgomery, and Pulaski and city of Radford | Non-Profit | Community Action Agency |
| 17 | People Incorporated of Virginia | Counties of Buchanan, Clarke, Culpeper, Dickenson, Fauquier, Frederick, Page, Prince William, Rappahannock, Russell, Shenandoah, Warren and Washington and the cities of Bristol, Manassas, and Manassas Park | Non-Profit | Community Action Agency |
| 18 | Pittsylvania County Community Action | Counties of Henry and Pittsylvania and the cities of Danville and Martinsville | Non-Profit | Community Action Agency |

| | | | | |
|----|--|---|------------|-------------------------|
| 19 | Powhatan Community Action Program | County of Powhatan | Public | Community Action Agency |
| 20 | Quin Rivers Agency for Community Action | Counties of Caroline, Charles City, Hanover, King and Queen, King George, King William, New Kent, Spotsylvania, and Stafford and the city of Fredericksburg | Non-Profit | Community Action Agency |
| 21 | Rooftop of Virginia CAP | Counties of Carroll and Grayson and the city of Galax | Non-Profit | Community Action Agency |
| 22 | Skyline CAP | Counties of Greene, Madison, and Orange | Non-Profit | Community Action Agency |
| 23 | STEP, Inc. | Counties of Franklin and Patrick | Non-Profit | Community Action Agency |
| 24 | STEPS, Inc. | Counties of Amelia, Buckingham, Cumberland, Lunenburg, Nottoway, and Prince Edward | Non-Profit | Community Action Agency |
| 25 | Southeastern Tidewater Opportunity Project | Counties of Isle of Wight and Southampton and the cities of Chesapeake, Franklin, Norfolk, Portsmouth, Suffolk, and Virginia Beach | Non-Profit | Community Action Agency |
| 26 | Total Action Against Poverty | Counties of Allegheny, Bath, Botetourt, Craig, Roanoke, and Rockbridge and the cities of Buena Vista, Covington, Lexington, Roanoke, and Salem | Non-Profit | Community Action Agency |
| 27 | Tri-County Community Action | Counties of Charlotte, Halifax, and Mecklenburg. | Non-Profit | Community Action Agency |
| 28 | Williamsburg-James City County Community Action Agency | County of James City and city of Williamsburg | Non-Profit | Community Action Agency |

5.2. Total number of CSBG eligible entities 28

5.3. Changes to Eligible Entities List:

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

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

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

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

| CSBG Eligible Entity | Type | Start Date | Geographical Area Served | Delete |
|----------------------|------|------------|--------------------------|--------|
| | | | | |

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

| CSBG Eligible Entity | Reason | Delete |
|----------------------|--------|--------|
| | | |

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year State Plan.

| Original CSBG Eligible Entities | Surviving CSBG Eligible Entity | New Name (as applicable) | DUNS No. | Delete |
|---------------------------------|--------------------------------|--------------------------|----------|--------|
| | | | | |

Section 6: Organizational Standards for Eligible Entities

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

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

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: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period

COE CSBG Organizational Standards Modified version of COE CSBG Organizational Standards Alternative set of Organizational Standards

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards:

- 1) provide any changes from the last set provided during the previous State Plan submission;
- 2) describe the reasons for using alternative standards; and
- 3) describe how they are at least as rigorous as the COE- developed standards

There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

6.2. Implementation: Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. *[Check all that apply and narrative where applicable]*

Regulation

Policy

Contracts with eligible entities

Other, describe:

6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). *[Check all that apply.]*

Peer-to-peer review (*with validation by the State or state-authorized third party*)

Self-assessment (*with validation by the State or state-authorized third party*)

Self-assessment/peer review with state risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.3a. Assessment Process: Describe the planned assessment process.

The state has been working with each entity over the past several years to provide resources and assistance to help agencies meet each standard. The state has conducted an initial desk audit of documentation during the application process in 2017 and has continuously been reviewing standards throughout the program year using a web-based database with all entities receiving an assessment of met standards each year in July. The state is continuing to work with agencies that have unmet standards, new training plans have been developed and we will provide feedback during monthly calls with entities. The state will also conduct annual reviews each October to update agencies on how many unmet standards they currently have. On-site monitoring will also be used to confirm documentation.

6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? Yes No

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

Total Number of Exempt Entities: 0

| CSBG Eligible Entity | Description / Justification | Delete |
|----------------------|-----------------------------|--------|
| | | |

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

| | | | |
|----------|-----|----------|-----|
| Year One | 50% | Year Two | 55% |
|----------|-----|----------|-----|

Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module I, Table D.2.

Section 7: State Use of Funds

| | |
|--|--|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No: 0970-0382 Expires:06/30/2021 |
| SECTION 7 State Use of Funds | |

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

7.1. Formula:

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

Historic

Base + Formula

Formula Alone

Formula with Variables

Hold Harmless + Formula

Other

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

75% based on low-income population, 20% based on number of jurisdictions, and 5.0% based on square mileage served. This formula shall be adjusted to ensure that no agency receives less than 1.5% of any increase.

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

7.2. Planned Allocation:

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

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

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

| | | | |
|-----------------|--------|-----------------|--------|
| Year One | 90.00% | Year Two | 90.00% |
|-----------------|--------|-----------------|--------|

Planned CSBG 90 Percent Funds

| CSBG Eligible Entity | Year One Funding Amount \$ | Delete |
|--|----------------------------|--------|
| Alexandria Office of Community Services | \$152,551 | |
| Appalachian Community Action and Development Agency, Inc. | \$266,453 | |
| Arlington County | \$168,821 | |
| Bay Aging | \$279,672 | |
| Community Action Partnership of Staunton, Augusta and Waynesboro | \$211,535 | |
| Capital Area Partnership Uplifting People | \$722,069 | |
| Clinch Valley Community Action | \$152,551 | |
| Eastern Shore AAA/CAA | \$152,551 | |
| Fairfax County Department of Family Services | \$617,320 | |
| Goochland Community Action Program | \$152,551 | |
| Hampton Roads Community Action Program, Inc. | \$443,413 | |
| The Improvement Association | \$196,280 | |
| Lynchburg Community Action Group | \$463,753 | |
| Monticello Area Community Action Agency | \$356,966 | |
| Mountain Community Action Program | \$182,043 | |
| New River Community Action, Inc | \$404,766 | |
| People Incorporated of Virginia | \$1,135,989 | |
| Pittsylvania County Community Action | \$423,072 | |
| Powhatan Community Action Program | \$152,551 | |

| | |
|--|---------------------|
| Quin Rivers Agency for Community Action | \$497,316 |
| Rooftop of Virginia CAP | \$161,703 |
| Skyline CAP | \$152,551 |
| STEP, Inc. | \$155,602 |
| STEPS, Inc. | \$262,385 |
| Southeastern Tidewater Opportunity Project | \$1,321,075 |
| Total Action Against Poverty | \$610,199 |
| Tri-County Community Action | \$221,707 |
| Williamsburg-James City County Community Action Agency | \$152,551 |
| Total | \$10,169,996 |

CSBG Eligible Entity Year Two

| CSBG Eligible Entity | Year Two Funding Amount \$ | Delete |
|--|-------------------------------|--------|
| Alexandria Office of Community Services | \$152,551 | |
| Appalachian Community Action and Development Agency, Inc. | \$266,453 | |
| Arlington County | \$168,821 | |
| Bay Aging | \$279,672 | |
| Community Action Partnership of Staunton, Augusta and Waynesboro | \$211,535 | |
| Capital Area Partnership Uplifting People | \$722,069 | |
| Clinch Valley Community Action | \$152,551 | |
| Eastern Shore AAA/CAA | \$152,551 | |
| Fairfax County Department of Family Services | \$617,320 | |
| Goochland Community Action Program | \$152,551 | |
| Hampton Roads Community Action Program, Inc. | \$443,413 | |
| The Improvement Association | \$196,280 | |
| Lynchburg Community Action Group | \$463,753 | |
| Monticello Area Community Action Agency | \$356,966 | |
| Mountain Community Action Program | \$182,043 | |
| New River Community Action, Inc | \$404,766 | |
| People Incorporated of Virginia | \$1,135,989 | |
| Pittsylvania County Community Action | \$423,072 | |
| Powhatan Community Action Program | \$152,551 | |
| Quin Rivers Agency for Community Action | \$497,316 | |
| Rooftop of Virginia CAP | \$161,703 | |
| Skyline CAP | \$152,551 | |
| STEP, Inc. | \$155,602 | |
| STEPS, Inc. | \$262,385 | |
| Southeastern Tidewater Opportunity Project | \$1,321,075 | |
| Total Action Against Poverty | \$610,199 | |
| Tri-County Community Action | \$221,707 | |
| Williamsburg-James City County Community Action Agency | \$152,551 | |
| Total | \$10,169,996 | |

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

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

7.4. Distribution Timeframe:

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

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

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

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

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

The state has increased electronic distribution of contracts, and we also have the ability to receive the signed copies electronically, which allows us to speed up the process. The state has also streamlined staff responsibilities and created internal procedures surrounding contract administration, these coordinated efforts have brought improvements to the contract administration process. We continue to refine this process to make it as efficient and effective as possible. The state has also moved to a full year contracting process with one modification at the end of the year.

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

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

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

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

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

| | | | |
|----------|------|----------|------|
| Year One | 5.00 | Year Two | 5.00 |
|----------|------|----------|------|

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

| | | | |
|----------|------|----------|------|
| Year One | 5.00 | Year Two | 5.00 |
|----------|------|----------|------|

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

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

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

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

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

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.

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

| Remainder/Discretionary Fund Uses | Year One Planned \$ | Brief description of services/activities and/or activities |
|--|---------------------|--|
| 7.9a. Training/technical assistance to eligible entities | \$0.00 | These planned services/activities will be described in State Plan Item 8.1. |
| 7.9b. Coordination of state-operated programs and/or local programs | \$0.00 | These planned services/activities will be described in State Plan Section 9, state Linkages and Communication. |
| 7.9c. Statewide coordination and communication among eligible entities | \$0.00 | These planned services/activities will be described in State Plan Section 9, state Linkages and Communication. |
| 7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need | \$0.00 | |

| | | |
|--|----------------------------|--|
| 7.9e. Asset-building programs | \$0.00 | |
| 7.9f. Innovative programs/activities by eligible entities or other neighborhood groups | \$565,000.00 | Use of Virginia CSBG Discretionary Funds are dictated in the Virginia Administrative Code §§ 2.2-5408. Three statewide Organizations are funded using the 5% Discretionary Funds. Those organizations are Southeast Rural Community Assistance Project, Inc., providing assistance to rural low-income communities and families in obtaining safe and affordable drinking water and sanitary waste disposal facilities. Virginia Cares, a statewide exoffender service and Project Discovery, a statewide organization that provides educational intervention for secondary school students from disadvantaged families, encouraging them to remain in school and pursue postsecondary education or training. Statewides are monitored using the same process as all other eligible entities, at least every 3 years, but more as determined by risk assessment. |
| 7.9g. State charity tax credits | \$0.00 | |
| 7.9h. Other activities, specify in column 3 | \$0.00 | |
| Total | \$565,000.00 | |
| Remainder/Discretionary Fund Uses | Year Two Planned \$ | Brief description of services/activities |
| 7.9a. Training/technical assistance to eligible entities | \$0.00 | These planned services/activities will be described in State Plan Item 8.1. |
| 7.9b. Coordination of state-operated programs and/or local programs | \$0.00 | These planned services/activities will be described in State Plan Section 9, state Linkages and Communication. |
| 7.9c. Statewide coordination and communication among eligible entities | \$0.00 | These planned services/activities will be described in State Plan Section 9, state Linkages and Communication. |
| 7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need | \$0.00 | |
| 7.9e. Asset-building programs | 0 | |
| 7.9f. Innovative programs/activities by eligible entities or other neighborhood groups | \$565,000.00 | Use of Virginia CSBG Discretionary Funds are dictated in the Virginia Administrative Code §§ 2.2-5408. Three statewide Organizations are funded using the 5% Discretionary Funds. Those organizations are Southeast Rural Community Assistance Project, Inc., providing assistance to rural low-income communities and families in obtaining safe and affordable drinking water and sanitary waste disposal facilities. Virginia Cares, a statewide exoffender service and Project Discovery, a statewide organization that provides educational intervention for secondary school students from disadvantaged families, encouraging them to remain in school and pursue postsecondary education or training. Statewides are monitored using the same process as all other eligible entities, at least every 3 years, but more as determined by risk assessment. |
| 7.9g. State charity tax credits | \$0.00 | |
| 7.9h. Other activities, specify in column 3 | \$0.00 | |
| Total | \$565,000.00 | |
| 7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable] | | |
| <input type="checkbox"/> The state directly carries out all activities (No Partnerships) | | |
| <input type="checkbox"/> The state partially carries out some activities | | |
| <input type="checkbox"/> CSBG eligible entities (<i>if checked, include the expected number of CSBG eligible entities to receive funds</i>) | | |
| <input checked="" type="checkbox"/> Other community-based organizations | | |
| <input type="checkbox"/> State Community Action association | | |
| <input type="checkbox"/> Regional CSBG technical assistance provider(s) | | |
| <input type="checkbox"/> National technical assistance provider(s) | | |

| |
|---|
| <input type="checkbox"/> Individual consultant(s) |
| <input type="checkbox"/> Tribes and Tribal Organizations |
| <input type="checkbox"/> Other |
| Note: <i>This response will link to the corresponding CSBG assurance, item 14.2.</i> |
| 7.11. Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. |
| Note: <i>This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i> |
| The use of discretionary funds is in State Code, we have not considered changes to the state code at this point. |

Section 8: State Training and Technical Assistance

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

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

SECTION 8 State Use of Funds

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

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

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

Training and Technical Assistance - Year One

| | Planned Timeframe | Training, Technical Assistance, or Both | Topic | Brief Description of "Other" |
|---|-----------------------------|---|------------------------------|---|
| 1 | FY1-Q2 | Training | Fiscal | |
| 2 | FY1-Q4 | Training | Fiscal | |
| 3 | FY1-Q1 | Training | Governance/Tripartite Boards | |
| 4 | FY1-Q3 | Training | ROMA | |
| 5 | Ongoing / Multiple Quarters | Training | Other | New Executive Director Orientation |
| 6 | All quarters | Technical Assistance | Other | Monthly Technical Assistance Calls |
| 7 | All quarters | Training | Other | Monthly Webinars based on current topics relevant to Virginia Community Action Agencies |

Training and Technical Assistance - Year Two

| | Planned Timeframe | Training, Technical Assistance, or Both | Topic | Brief Description of "Other" |
|---|-----------------------------|---|------------------------------|---|
| 1 | FY2-Q2 | Training | Fiscal | |
| 2 | FY2-Q4 | Training | Fiscal | |
| 3 | FY2-Q1 | Training | Governance/Tripartite Boards | |
| 4 | FY2-Q4 | Training | ROMA | |
| 5 | Ongoing / Multiple Quarters | Training | Other | New Executive Director Orientation |
| 6 | All quarters | Technical Assistance | Other | Monthly Technical Assistance Calls |
| 7 | All quarters | Training | Other | Monthly Webinars based on current topics relevant to Virginia Community Action Agencies |
| 8 | | | | |

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

| | | | |
|----------|-----|----------|-----|
| Year One | \$0 | Year Two | \$0 |
|----------|-----|----------|-----|

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

The state conducts a training and technical assistance survey to each eligible entity annually in May. Results from that survey are compiled and trainings are developed to meet those needs. The state office collaborates with the state association to determine who will conduct the training, and how the training will be conducted. We conduct trainings using a variety of methods including in person training and webinar format. We also determine from the training and technical assistance survey which agencies need individual assistance versus multiple agency trainings.

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

Note: This information is associated with State Accountability Measure 6Sb.QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a

QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. Each eligible entity has a Technical Assistance and Training Plan. These plans are prioritized for any unmet standards first, but remain in place following met standards to track efforts towards beyond compliance, whereby agencies strive to go beyond the standards.

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. *[Check all that apply.]*

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | CSBG eligible entities <i>(if checked, provide the expected number of CSBG eligible entities to receive funds)</i> 28 |
| <input checked="" type="checkbox"/> | Other community-based organizations |
| <input checked="" type="checkbox"/> | State Community Action association |
| <input type="checkbox"/> | Regional CSBG technical assistance provider(s) |
| <input checked="" type="checkbox"/> | National technical assistance provider(s) |
| <input checked="" type="checkbox"/> | Individual consultant(s) |
| <input type="checkbox"/> | Tribes and Tribal Organizations |
| <input checked="" type="checkbox"/> | Other State CSBG Office |

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

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

The State Office is now focusing on regional in person training's and monthly training webinars. The state association will be focusing on individual agency needs. The state office and state association work together to develop training's from outside entities, sharing costs as well.

Section 9: State Linkages and Communication

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

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

SECTION 9 State Linkages and Communication

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

9.1. State Linkages and Coordination at the state Level:

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

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

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's Annual Report, Module 1, Item G.1.

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

9.2. State Linkages and Coordination at the Local Level:

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

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

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

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination:

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

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

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

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

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

Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.

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

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

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

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

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

Eligible entities must submit a Community Action Plan annually to the state. This document describes the agencies coordination efforts with other organizations including WIOA. Some examples of coordination with WIOA include: agency representation on local Workforce Development Boards. We have eligible entities who also serve as the One Stop Operators in their communities. Many eligible entities have partnerships with Workforce Investment Boards and other Workforce Development entities in their area.

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

9.5. Emergency Energy Crisis Intervention:

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

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

The Energy Assistance Program is administered by a separate DSS office and consists of three components: Fuel Assistance, Crisis Assistance and Cooling Assistance. The Program purpose is federally defined. The federally defined purpose of the Fuel Assistance Component is to assist low-income households, particularly those with the lowest incomes, which pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs. The benefit is not intended to meet the household's total home energy cost during the heating season. The purpose of the Crisis Assistance Component is to assist households with energy related emergencies that cannot be met by Fuel Assistance or other resources. The purpose of the Cooling Assistance Component is to assist households in acquiring or repairing cooling equipment or payment of electric bills to operate cooling equipment.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Communication Plan

| Subject Matter | Expected Frequency | Format | Brief description of "Other" |
|--|--------------------|---------------------------------------|------------------------------|
| Upcoming Public and/or Legislative Hearings | As needed | Public Notice | |
| State Plan Development | As needed | Newsletters Email Website | |
| Organizational Standards Progress | Monthly | Phone Calls | |
| State Accountability Measures Progress | Annually | Newsletters Webinar | |
| Community Needs Assessments/ Community Action Plans | Quarterly | Newsletters Phone Calls | |
| State Monitoring Plans and Policies | As needed | Newsletters Webinar Phone Calls | |
| Training and Technical Assistance (T/TA) Plans | Monthly | Phone Calls | |
| ROMA and Performance Management | As needed | Newsletters Webinar | |
| State Interagency Coordination | As needed | Newsletters Email | |
| CSBG Legislative/Programmatic Updates | As needed | Newsletters Email | |
| Tripartite Board Requirements | Monthly | Phone Calls | |

| | Topic | Expected Frequency | Format | Brief Description of "Other" |
|---|--|--------------------|-------------|------------------------------|
| 1 | Monthly Newsletter for Eligible Entities which includes resources, upcoming training's and network highlights. | Monthly | Newsletters | |
| 2 | State Program Representatives will conduct individual monthly calls with each eligible entity. Training/TA plans, Board Vacancies and other pertinent information will be discussed. | Monthly | Phone Calls | |

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

Note: This information is associated with State Accountability Measure 5S(iii). and will pre-populate the Annual Report, Module 1, Item G.6

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

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

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

The State CSBG Office has developed a website that has the capability of sharing information through groups, the work groups for ROMA Implementers each have their own section of the website and can share information and provide feedback to one another through that site. The state also now uses CSBG Reporter, some changes in CSBG Reporter will allow reports to be shared and feedback given through the database.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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

SECTION 10 State Use of Funds

Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act)

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

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

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

| | CSBG Eligible Entity | Monitoring Type | Review Type | Target Quarter | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of "Other" |
|----|--|-----------------|---------------|----------------|---------------------------------------|-------------------------------------|------------------------------|
| 1 | Alexandria Office of Community Services | Full On-site | Onsite Review | FY1 Q2 | 02/13/2018 | 02/13/2018 | |
| 2 | Appalachian Community Action and Development Agency, Inc. | Full On-site | Onsite Review | FY1 Q4 | 08/27/2018 | 08/28/2018 | |
| 3 | Arlington County | No review | | | | | |
| 4 | Bay Aging | No review | | | | | |
| 5 | Community Action Partnership of Staunton, Augusta and Waynesboro | No review | | | | | |
| 6 | Capital Area Partnership Uplifting People | Full On-site | Onsite Review | FY1 Q3 | 03/05/2019 | 03/06/2019 | |
| 7 | Clinch Valley Community Action | Full On-site | Onsite Review | FY1 Q3 | 05/23/2018 | 05/24/2018 | |
| 8 | Eastern Shore AAA/CAA | Full On-site | Onsite Review | FY1 Q3 | 03/19/2019 | 03/19/2019 | |
| 9 | Fairfax County Department of Family Services | No review | | | | | |
| 10 | Goochland Community Action Program | No review | | | | | |
| 11 | Hampton Roads Community Action Program, Inc. | No review | | | | | |
| 12 | The Improvement Association | Full On-site | Onsite Review | FY1 Q1 | 09/12/2017 | 09/13/2017 | |
| 13 | Lynchburg Community Action Group | No review | | | | | |
| 14 | Monticello Area Community Action Agency | Full On-site | Onsite Review | FY1 Q1 | 09/25/2018 | 09/26/2018 | |
| 15 | Mountain Community Action Program | Full On-site | Onsite Review | FY1 Q1 | 10/16/2018 | 10/17/2018 | |
| 16 | New River Community Action, Inc | No review | | | | | |
| 17 | People Incorporated of Virginia | No review | | | | | |
| 18 | Pittsylvania County Community Action | No review | | | | | |
| 19 | Powhatan Community Action Program | Full On-site | Onsite Review | FY1 Q1 | 11/14/2018 | 11/14/2018 | |
| 20 | Quin Rivers Agency for Community Action | No review | | | | | |
| 21 | Rooftop of Virginia CAP | No review | | | | | |
| | Skyline CAP | No review | | | | | |

| | | | | | | | |
|----|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| 22 | | | | | | | |
| 23 | STEP, Inc. | No review | | | | | |
| 24 | STEPS, Inc. | No review | | | | | |
| 25 | Southeastern Tidewater Opportunity Project | No review | | | | | |
| 26 | Total Action Against Poverty | No review | | | | | |
| 27 | Tri-County Community Action | No review | | | | | |
| 28 | Williamsburg-James City County Community Action Agency | Full On-site | Onsite Review | FY1 Q2 | 01/30/2019 | 01/30/2019 | |
| | CSBG Eligible Entity | Monitoring Type | Review Type | Target Quarter | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of "Other" |
| 1 | Alexandria Office of Community Services | No review | | | | | |
| 2 | Appalachian Community Action and Development Agency, Inc. | No review | | | | | |
| 3 | Arlington County | Full On-site | Onsite Review | FY2 Q2 | 02/06/2019 | 02/06/2019 | |
| 4 | Bay Aging | Full On-site | Onsite Review | FY2 Q1 | 10/02/2018 | 10/03/2019 | |
| 5 | Community Action Partnership of Staunton, Augusta and Waynesboro | No review | | | | | |
| 6 | Capital Area Partnership Uplifting People | No review | | | | | |
| 7 | Clinch Valley Community Action | No review | | | | | |
| 8 | Eastern Shore AAA/CAA | No review | | | | | |
| 9 | Fairfax County Department of Family Services | Full On-site | Onsite Review | FY2 Q4 | 08/06/2019 | 08/06/2019 | |
| 10 | Goochland Community Action Program | Full On-site | Onsite Review | FY2 Q2 | 12/17/2019 | 12/17/2019 | |
| 11 | Hampton Roads Community Action Program, Inc. | Full On-site | Onsite Review | FY2 Q1 | 11/01/2018 | 11/02/2018 | |
| 12 | The Improvement Association | No review | | | | | |
| 13 | Lynchburg Community Action Group | Full On-site | Onsite Review | FY2 Q3 | 03/01/2019 | 03/02/2019 | |
| 14 | Monticello Area Community Action Agency | No review | | | | | |
| 15 | Mountain Community Action Program | No review | | | | | |
| 16 | New River Community Action, Inc | Full On-site | Onsite Review | FY2 Q3 | 05/15/2019 | 05/16/2019 | |
| 17 | People Incorporated of Virginia | Full On-site | Onsite Review | FY2 Q3 | 05/15/2019 | 05/16/2019 | |
| 18 | Pittsylvania County Community Action | Full On-site | Onsite Review | FY2 Q1 | 09/24/2019 | 09/25/2019 | |
| 19 | Powhatan Community Action Program | No review | | | | | |
| 20 | Quin Rivers Agency for Community Action | No review | | | | | |
| 21 | Rooftop of Virginia CAP | Full On-site | Onsite Review | FY2 Q4 | 07/22/2019 | 07/23/2019 | |
| 22 | Skyline CAP | Full On-site | Onsite Review | FY2 Q2 | 01/27/2020 | 01/27/2020 | |
| 23 | STEP, Inc. | No review | | | | | |
| 24 | STEPS, Inc. | Full On-site | Onsite Review | FY2 Q1 | 09/07/2018 | 09/07/2018 | |
| 25 | Southeastern Tidewater Opportunity Project | Full On-site | Onsite Review | FY2 Q3 | | | |
| 26 | Total Action Against Poverty | No review | | | | | |

| | | | | | | | |
|----|--|--------------|---------------|--------|--|--|--|
| 27 | Tri-County Community Action | Full On-site | Onsite Review | FY2 Q3 | | | |
| 28 | Williamsburg-James City County Community Action Agency | No review | | | | | |

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

10.3. Initial Monitoring Reports:
According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?
Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.
60

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

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

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

10.5. Quality Improvement Plans (QIPs):
Provide the number of eligible entities currently on QIPs, if applicable.
Note: The QIP information is associated with State Accountability Measures 4Sc.
0

10.6. Reporting of QIPs:
Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
Note: This item is associated with State Accountability Measures 4Sa(iii).
The State will contact the Office of Community Services either by phone or through email to inform them of eligible entities on a Quality Improvement Plan.

10.7. Assurance on Funding Reduction or Termination:
The state assures,"that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided inSection 678C(b)" per Section 676(b)(8). Yes No
Note: This response will link with the corresponding assurance under item 14.8.

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

10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.
See Attached Virginia Administrative Code Attached.

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

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

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.
See Attached Virginia Administrative Code Attached.

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

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

10.10a. If Yes, provide the citation(s) of the law and/or regulation.
See State Administrative Code Attached.

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

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

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

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

10.12. Single Audit Management Decisions:

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

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

Maintain a list of all CSBG sub-recipients. Review 2 CFR 200 and the VDSS, DOF - General Services Sub-recipient or Contractor Determination Form to determine which sub-recipients require Single Audits. Follow up with sub-recipients to obtain a copy of their Single Audit Report within the time allowed. The time allowed is nine months after the sub-recipients fiscal year end or 30 days after issue of the audit report; whichever comes first. Record the results of the audit tests on the spreadsheets, using the appropriate tick mark. Identify possible financial, compliance, internal control findings and questioned costs relevant to the VDSS. Post the name of the Non-Profit, findings and questioned costs to the schedule of Non-Profit Financial Audit Findings The schedule should include the program, condition, criteria, cause, effect, questioned costs and recommendation. Determine if a corrective action plan was present and if the plan adequately addressed the stated findings and questioned costs. The reviewing auditor should consider the nature and materiality of the findings before requesting a corrective action plan. Such a plan is not necessary for immaterial and isolated examples of non-compliance. Obtain copy of corrective action plan if not included with the audit report. Communicate with the appropriate VDSS Grant Managers and / or VDSS Management to confirm that adequate corrective action has taken place for the findings and questioned costs. Discuss the findings and questioned costs with the Deputy Commissioner -Operations depending upon significance of findings and questioned costs and in the Sub-Recipient Monitors Coordinators meetings. The appropriate VDSS Grant Manager is responsible for and provides follow up with the Non-Profit Organization to address findings and questioned costs. Determine whether the audits were conducted in accordance with the Single Audit Act of 1984 and its amendments: 2 CFR 200; The Code of Virginia, Section 15.2-2511; and United States Code, Title 31, Chapter 75, Section 7502, (f), (2), (c) & (h), (1) and (B).

10.13. Assurance on Federal Investigations:

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

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

10.14. Performance Management Adjustment:

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

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

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

Section 11: Eligible Entity Tripartite Board

| | |
|---|--|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No: 0970-0382 Expires:06/30/2021 |
| SECTION 11 State Use of Funds | |

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act *[Check all that applies and narrative where applicable]*

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Attend Board meetings |
| <input checked="" type="checkbox"/> | Organizational Standards Assessment |
| <input checked="" type="checkbox"/> | Monitoring |
| <input checked="" type="checkbox"/> | Review copies of Board meeting minutes |
| <input checked="" type="checkbox"/> | Track Board vacancies/composition |
| <input type="checkbox"/> | Other |

11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., *[Select one and narrative where applicable]*

| | |
|----------------------------------|--------------|
| <input type="radio"/> | Annually |
| <input type="radio"/> | Semiannually |
| <input type="radio"/> | Quarterly |
| <input checked="" type="radio"/> | Monthly |
| <input type="radio"/> | As it Occurs |
| <input type="radio"/> | Other |

11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act

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

Section 676B of the Community Services Block Grant Act and Section 2.2-5403 of the Virginia Community Action Act both require eligible entities to have a tripartite governing board in order to be a community action agency. Virginia statutes provide that, in the case of a public community action agency, the local governing body determines the authority of the tri-partite advisory board. As part of their annual application to the State, agencies must submit a listing of board members detailing the tri-partite structure of the board, current terms, and other information. These listings are reviewed prior to execution of annual CSBG contracts and again as part of the monitoring process. In addition, during on-site monitoring reviews, agency by-laws are reviewed to ensure that tri-partite board structures are maintained. State staff conduct monthly calls with each agency and discuss the tri-partite board on each monthly call to determine vacancies and discuss best practices in regards to obtaining a full tri-partite board. OVCS strongly recommends that agencies fill board vacancies within 90 days. And finally, community action agencies in Virginia are required to have procedures in their by-laws to ensure that various community stakeholders who feel they are underrepresented can petition for adequate representation on the tripartite board.

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

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

| |
|--|
| |
|--|

Section 12: Individual and Community Eligibility Requirements

| | |
|---|--|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No: 0970-0382 Expires:06/30/2021 |
| SECTION 12 Individual and Community Income Eligibility Requirements | |
| 12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. <i>[Check one item below.]</i> | |
| <input checked="" type="radio"/> 125% of the HHS poverty line <input type="radio"/> X% of the HHS poverty line (fill in the threshold) <input type="radio"/> Varies by eligible entity | |
| 0% | % <i>[Response Option: numeric field]</i> |
| 12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. | |
| The state uses the HHS Poverty Guidelines, each entity also must conduct income verification with each intake. The intake forms and income verification information is reviewed during monitoring. | |
| 12.2. Income Eligibility for General/Short-Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. | |
| If proof of income is not possible or practical, the applicant must complete and sign a self certification form. The forms are reviewed during on-site monitoring visits. Entities are encouraged to verify information for self-certification, such as lack of employment income or other entity income verification for benefits, through state agencies (examples include: Virginia Employment Commission and Department of Social Services) | |
| 12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). | |
| For services that provide a community-wide benefit, eligible entities provide documentation for the community they are working, this documentation could include, census data, community survey's or other income verification information. | |

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

| | |
|---|--|
| U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG) | Form Approved OMB No: 0970-0382 Expires:06/30/2021 |
| SECTION 13 Results Oriented Management and Accountability (ROMA) System | |
| 13.1. Performance Measurement System: Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. | |
| <i>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.</i> | |
| <input checked="" type="radio"/> The Results Oriented Management and Accountability (ROMA) System | |
| <input type="radio"/> Another performance management system that meets the requirements by Section 678E(b) of the CSBG Act | |
| <input type="radio"/> An alternative system for measuring performance and results | |
| 13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. | |
| We require eligible entities to submit a Needs Assessment and Strategic Plan that are reviewed for adherence to ROMA principles and feedback is given. The state works to develop ROMA certified trainers and the state has more than 30 ROMA implementers in all but a few agencies (which we are working with on identification and certification of an implementer). Our office has provided in-depth, full-day training's on Needs Assessment and Strategic Plan that exceed the requirements of Org Standards, and those materials/presentation are still available for agencies. Agencies are required to connect needs, strategic goals, and outcomes in their Community Action Plans. | |
| 13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement. | |
| (Empty space for alternative system description) | |
| 13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. | |
| <i>Note: This response will also link to the corresponding assurance, Item 14.12.</i> | |
| <input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs) | |
| <input type="checkbox"/> NPIs and others | |
| <input type="checkbox"/> Others | |
| The State will use the standard CSBG National Performance Indicators. Agencies report on outcome measures quarterly and that information is reviewed by the state. The information is compiled and submitted to OCS. | |
| 13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system. | |
| <i>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</i> | |
| The State provides training and technical assistance on all ROMA elements. The State Plan that is now ending included Needs Assessment and Strategic Planning training (in-depth, full-day trainings). This State Plan includes Program Implementation/Development and Program Evaluation training by the State Office. Our office has a Master Certified ROMA Trainer, and a Certified ROMA Implementer on staff. Our office leads/co-leads the ROMA Peer Groups and Work groups of the State Association. We have also invested in improvements to our online data system to include submittal of the Community Action Plan, including an outcome/programs portal that allows for connection of needs/strategic goals/outcomes. | |
| 13.4. Eligible Entity Use of Data: Describe how is the state plan to validate the eligible entities that are using data to improve service delivery? | |
| <i>Note: This response will also link to the corresponding assurance, Item 14.12.</i> | |
| The state validates that eligible entities are using data to improve service delivery through quarterly reports, through the needs assessment and during monitoring visits. | |
| Community Action Plans and Needs Assessments | |
| 13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. | |
| <i>Note: this response will link to the corresponding assurance, Item 14.11.</i> | |
| The State requires that a Community Action Plan is submitted annually with their application. The staff reviews Community Action Plans and provides technical assistance to eligible entities when needed. | |

13.6. Community Needs Assessment:

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

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

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

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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

SECTION 14 State Use of Funds

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

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

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a section which outlines their proposed activities. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

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;

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a section which outlines their proposed activities. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. We monitor to ensure that agencies have Child Support information available to clients, and we are developing a partnership with the Department of Child Support Enforcement.

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)

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a section which outlines their proposed activities. The CAP also addresses funding coordination, coordination with WIOA Programs, and coordination with local social services offices. Staff

reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

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

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

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a description of the service delivery system, the counties served and the facilities where services are available. The CAP also describes how the eligible entity coordinates funds with other organizations.

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.

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

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.

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

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

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

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

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, Subrecipients must complete a document which provides information regarding any innovative community and neighborhood-based initiatives related to the purpose of CSBG, which may include fatherhood initiatives and other initiatives which strengthen families and encourage effective parenting. CVSS/DSS has developed a specific fatherhood curriculum that agencies are encouraged to include in their service delivery.

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."

OVCS requires CSBG eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, Subrecipients must complete a document which identifies top needs, if food assistance is identified as a top need the entity must identify the program by which they will address the need or identify the existing agency or partnership meeting the need.

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

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

Note: The state describes this assurance in the state linkages and communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

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

Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

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

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

Eligible Entity Tripartite Board Representation

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

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

Section 676B of the Community Services Block Grant Act and Section 2.2-5403 of the Virginia Community Action Act both require eligible entities to have a tripartite governing board in order to be a community action agency. Virginia statutes provide that, in the case of a public community action agency, the local governing body determines the authority of the tri-partite advisory board. As part of their annual application to the State, agencies must submit a listing of board members detailing the tri-partite structure of the board, current terms, and other information. These listings are reviewed prior to execution of annual CSBG contracts and again as part of the monitoring process. In addition, during on-site monitoring reviews, agency by-laws are reviewed to ensure that tri-partite board structures are maintained. State staff conduct monthly calls with each agency and discuss the tri-partite board on each monthly call to determine vacancies and discuss best practices in regards to obtaining a full tri-partite board. OVCS strongly recommends that agencies fill board vacancies within 90 days. And finally, community action agencies in Virginia are required to have procedures in their by-laws to ensure that various community stakeholders who feel they are underrepresented can petition for adequate representation on the tripartite board.

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

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

Section 15: Federal Certifications

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

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

SECTION 15 Federal Certifications

15.1. CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who

fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

15.1. Lobbying

After assurance select a check box:

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

15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification.

Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);.

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

(1) Abide by the terms of the statement; and (2) Notify the employer in writing

of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:

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

15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

Instructions for Certification

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

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

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

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

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

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

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

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

required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

originated may pursue available remedies, including suspension and/or debarment.

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

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

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

15.3. Debarment

After assurance select a check box:

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

15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through state or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:

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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.