

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: North Carolina Department of Health & Human Services

Report Name: CSBG State Plan

Report Period: 10/01/2021 to 09/30/2022

Report Status: Saved

Report Sections

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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 type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: North Carolina Department of Health and Human Services			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 56-6023166		* c. Organizational DUNS: 8097853630000	
* d. Address:			
* Street 1:	101 Blair Drive - Adams Building	Street 2:	2001 Mail Service Center
* City:	Raleigh	County:	Wake
* State:	NC	Province:	
* Country:	United States	* Zip / Postal Code:	27699-2001
e. Organizational Unit:			
Department Name: DHHS		Division Name: Division of Social Services	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Marionna	Middle Name:	* Last Name: Poke-Stewart
Suffix:	Title: Director	Organizational Affiliation:	
* Telephone Number: (919) 527-6255	Fax Number: (919) 715-0168	* Email: marionna.poke-stewart@dhhs.nc.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant	
11. Descriptive Title of Applicant's Project Community Services Block Grant			
12. Areas Affected by Funding:			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 2		b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

c. Program is not covered by E.O. 12372.

* 17. Is The Applicant Delinquent On Any Federal Debt?

- YES
 NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

****I Agree**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official

18c. Telephone (area code, number and extension)

18d. Email Address

18b. Signature of Authorized Certifying Official

18e. Date Report Submitted (Month, Day, Year)

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
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1.1a. Provide the federal fiscal years this plan covers:	Year One 2022	Year Two 2023
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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
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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	NC Department of Health and Human Services/Office of Economic Opportunity
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1.2b. Cabinet or administrative department of this lead agency *[Select one option and narrative where applicable]*

<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	Health and Human Services Department
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1.2d. Authorized official of the lead agency

Name: Tara Myers	Title: Deputy Secretary for Employment, Inclusion
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1.2e. Street Address	820 S. Boylan Avenue
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1.2f. City	Raleigh	1.2g. State NC	1.2h. Zip 27601
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1.2i. Work Telephone number and extension 919 527 - 7263 ext.	1.2j. Fax number 919 334 - 1018
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1.2k. Email address tara.myers@dhhs.nc.gov	1.2l. Lead agency website http://www.ncdhhs.gov/divisions/office-economic-opportunity
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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 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 08/10/2020

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

1.4a. Agency Name Office of Economic Opportunity

1.4b Point of Contact Name

Name: Marionna Poke-Stewart

Title: Director

1.4c. Street Address

820 S. Boylan Avenue, McBryde Building

1.4d. City

Raleigh

1.4e. State NC

1.4f. Zip 27601

1.4g. Telephone Number 919 527 - 6250 ext.

1.4h. Fax Number 919 715 - 0168

1.4i. Email Address marionna.poke-stewart@dhhs.nc.gov

1.4j. Agency Website <https://www.ncdhhs.gov/divisions/office-economic-opportunity>

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 North Carolina Community Action Association

1.5b. Executive Director or Point of Contact

Name: Sharon Goodson

Title: Executive Director

1.5c. Street Address

4428 Louisburg Rd. Suite 101d

1.5d. City

Raleigh

1.5e. State NC

1.5f. Zip 27616

1.5g. Telephone number 919 790 - 5757 ext.

1.5h. Fax number 919 790 - 5767

1.5i. Email Address sharon.goodson@nccaa.net

1.5j. State Association Website <https://www.nccaa.net/>

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)

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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.

Title 10A North Carolina Administrative Code, Chapter 97A .0101 and are available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\Title 10A - Health and Human Services\Chapter 97 - Economic Opportunity> and have been attached to the OLDC System.

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
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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

In collaboration with its partners, the Office of Economic Opportunity mission is to support low-income individuals and families achieve physical, social, and economic well-being. The primary duty of OEO is to administer the Community Services Block Grant to 33 Community Action Agencies and 1 Limited Purpose Agency. The CAAs are agencies which provides comprehensive case management services inclusive of, but not limited to, job creation and employment, fiscal management and counseling, health/nutrition services, education/training, information & referral and emergency financial assistance. OEO administers this federal grant by: 1. Allocating funding 2. Monitoring program performance and compliance 3. Providing technical assistance to CAA's on program planning, CSBG funding utilization, and community integration 4. Assessing outcome data for the Community Action Agencies in North Carolina

3.2. State Plan Goals:

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

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

The primary goal of the North Carolina Community Services Block Grant Program is to provide funding to Community Action Agencies to carry out activities that will enable low-income families to move out of poverty. Community Services Block Grant specific goals under this plan include: (i) Increase the number of families attaining economic self-sufficiency (income above the poverty level based on household size), (ii) Improve the administrative efficiency of the Office through staff training and development and integration of the use of automation technology in all aspects of office operations. (iii) Build grantee and community capacity to plan, develop and deliver services. (iv) Build and maintain collaborative and integrated partnerships with Divisions within NC DHHS, other state cabinet-level agencies, local public and private human service organizations to promote effective and efficient utilization of existing resources. (v) Ensure results-based performance management through monitoring, assessment and evaluation standards.

3.3. State Plan Development:

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

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

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

U.S. Census data

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

Monitoring Visits/Assessments

Tools not identified above (specify)

COE Organizational Standards

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 Office of Economic Opportunity provided monthly updates to CAA Executive Directors in areas of community needs, monitoring, and fiscal. These meetings provided transparency amongst OEO and the CAAs and generated much feedback. These forms of engagement and communication serve the dual purpose of providing eligible entities information and seeking feedback /suggestions for the State Plan. The OEO team meet with CSBG Directors in advance notice to discuss community needs, performance and state plan section areas. A survey was distributed to calculate each agency's report on what services need more attention in their community. The Office of Economic Opportunity, in partnership with the NC Community Action Association, provided a kick-off meeting for the draft review of the State Plan. This meeting reviewed in detail the State Plan and asked for feedback and questions to be posted. All feedback is considered, and relevant once approved leadership then integrates into the final plan. Additionally, state staff completed and reviewed eligible entities, needs assessment, and performance data submitted quarterly in the development of the State Plan. The OEO team has created a State Plan Project Workflow that will be reviewed the year before and integrated within departmental goals. This will provide result-driven management via monthly internal meetings. The workflow defines this scope of work as an annual form of quality improvement, in preparation for the next state plan.

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.)

The Office of Economic Opportunity and the NC Community Action Association completed the annual Regional Performance Innovation Consortium (RPIC) Combined Training and Technical Assistance Plan Template provided as part of the Organizational Standards Center of Excellence (OSCOE) to determine adjustments needed to develop the state plans according to the needs of the Community Action Network. The 34 eligible entities are surveyed to determine their programmatic and fiscal needs. The results of the survey are reviewed and analyzed. This data is used, in part, to make adjustments to state plan development process. OEO also, shares the results of the organizational standards assessments and the American Customer Service Index with the NC Community Action Network to inform areas of strengths and weaknesses. Lastly an adjustment was made to how the state office provided an overview of key areas of the state plan and received feedback from eligible entities. The previous state plan overview was provided through four regional meetings but for the development of this state plan, OEO in partnership with the NC Community Action Association presented the overview of the state plan to the full body of the eligible entities at an NCCAA Council of Executive Directors meeting. During this meeting the dialogue, facilitated by OEO and NCCAA included receiving direct input and feedback from the executive directors of the local community action agencies.

3.5. Eligible Entity Overall Satisfaction:

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

Year One	75	Year Two	80
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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 Plan was made available for public inspection August 17 through August 24, 2021. The State Plan and relevant notices were posted on the North Carolina Department of Health and Human Services website, Office of Economic Opportunity website; Community Action Agencies, North Carolina Community Action Association, and county departments of social services were provided a copy of the draft plan and asked to post a written copy of the public notice and the draft plan in areas of their agency accessible to the public for stakeholder and public review; and all Community Action Agencies, and the North Carolina Community Action Association were notified by e-mail of the public inspection/ comment period and the public hearing.

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

Public notice of a public hearing on the NC CSBG State Plan was distributed to a statewide distribution list of media outlets, state agencies, local health departments, departments of social services, community action agencies, other stakeholders. The public notice for a public inspection and public hearing was posted for 7 calendar days from August 17 through August 24, 2021. Notifications of the inspection period and public hearing were made, via e-mail, and state website postings, and posted in the Office of Economic Opportunity location.

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	08/24/2021	820 S. Boylan Avenue, Dorothea Dix Campus, McBryde Bldg, Room 151, Raleigh, NC 27603	Public	<input type="checkbox"/>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
 Link: <https://www.ncdhhs.gov/divisions/office-economic-opportunity>

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.

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Action Pathways, Inc.	Cumberland County, Sampson County	Non-Profit	Community Action Agency
2	Blue Ridge Community Action, Inc.	Burke County, Caldwell County, Rutherford County	Non-Profit	Community Action Agency
3	Blue Ridge Opportunity Commission, Inc.	Alleghany County, Ashe County, Wilkes County	Non-Profit	Community Action Agency
4	Alamance County Community Services Action, Inc.	Alamance County	Non-Profit	Community Action Agency
5	Catawba County Social Services	Catawba County	Public	Community Action Agency
6	Central Piedmont Community Action, Inc.	Chatham County, Durham County, Orange County, Randolph County	Non-Profit	Community Action Agency
7	Charlotte Area Fund, Inc.	Mecklenburg County	Non-Profit	Community Action Agency
8	Choanoke Area Development Association of NC, Inc.	Bertie County, Halifax County, Hertford County, Martin County, Northampton County	Non-Profit	Community Action Agency
9	Coastal Community Action, Inc	Carteret County, Craven County, Jones County, Pamlico County	Non-Profit	Community Action Agency
10	Community Action Opportunities	Buncombe County, Henderson, Madison County, McDowell County, Polk, Transylvania County	Non-Profit	Community Action Agency
11	Davidson County Community Action, Inc.	Davidson County	Non-Profit	Community Action Agency
12	Economic Improvement Council, Inc.	Camden County, Chowan County, Currituck County, Dare County, Gates County, Hyde County, Pasquotank County, Perquimans County, Tyrrell County, Washington County	Non-Profit	Community Action Agency
13	Experiment In Self-Reliance, Inc.	Forsyth County	Non-Profit	Community Action Agency
14	Four Square Community Action, Inc.	Clay County, Graham County, Swain County, Cherokee County	Non-Profit	Community Action Agency
15	Franklin-Vance-Warren Opportunity, Inc.	Franklin County, Granville County, Vance County, Warren County	Non-Profit	Community Action Agency
16	Gaston Community Action, Inc.	Cleveland County, Gaston County, Lincoln County, Stanly County	Non-Profit	Community Action Agency
17	Greene Lamp, Inc.	Greene County, Lenoir County, Beaufort County, Pitt County	Non-Profit	Community Action Agency
18	Iredell Community Action Research and Evaluation, Inc.	Alexander County, Iredell County	Non-Profit	Community Action Agency
19	Johnston-Lee-Harnett Community Action, Inc.	Johnston County, Harnett County, Lee County	Non-Profit	Community Action Agency
20	Macon Program for Progress, Inc.	Macon County	Non-Profit	Community Action Agency
21	Nash Edgecombe Economic Development, Inc.	Edgecombe County, Nash County, Wilson County	Non-Profit	Community Action Agency
22	Passage Home, Inc.	Wake County	Non-Profit	Community Action Agency
23	Salisbury-Rowan Community Action Agency, Inc	Cabarrus County, Rowan County	Non-Profit	Community Action Agency
24	Sandhills Community Action Program, Inc.	Anson County, Montgomery County, Moore County, Richmond County	Non-Profit	Community Action Agency
25	Southeastern Community & Family Services, Inc.	Bladen County, Brunswick County, Columbus County, Hoke County, Pender County, Robeson County, Scotland Co	Non-Profit	Community Action Agency

		unity		
26	Telamon Corporation	Caswell County, Person County, Rockingham County	Non-Profit	Community Action Agency
27	Union County Community Action, Inc.	Union County	Non-Profit	Community Action Agency
28	WAMY Community Action, Inc.	Mitchell County, Watauga County, Yancey County, Avery County	Non-Profit	Community Action Agency
29	Wayne Action Group for Economic Solvency, Inc.	Wayne County	Non-Profit	Community Action Agency
30	Welfare Reform Liaison Project, Inc.	Guilford County	Non-Profit	Community Action Agency
31	Yadkin Valley Economic Development District, Inc	Davie County, Stokes County, Surry County, Yadkin County	Non-Profit	Community Action Agency
32	Eastern Carolina Human Services Agency, Inc.	Duplin County, New Hanover County, Onslow County	Non-Profit	Community Action Agency
33	Mountain Projects, Inc.	Hawyood County, Jackson County	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities 33

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).

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

5.3b. De-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.

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
<h3 style="margin: 0;">SECTION 6</h3> <h4 style="margin: 0;">Organizational Standards for Eligible Entities</h4>	
Note: Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , 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	
<input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards	
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	
<input checked="" type="radio"/> There were no changes from the previous State Plan submission	
Provide reason for using alternative standards	
Describe rigor compared to COE-developed Standards	
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]	
<input type="checkbox"/> Regulation	
<input type="checkbox"/> Policy	
<input type="checkbox"/> Contracts with eligible entities	
<input checked="" type="checkbox"/> Other, describe:	
Guidance Memorandum; these documents serve as policy communication from the state office to eligible entities and the NCCAA	
6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). [Check all that apply.]	
<input type="checkbox"/> Peer-to-peer review (<i>with validation by the State or state-authorized third party</i>)	
<input checked="" type="checkbox"/> Self-assessment (<i>with validation by the State or state-authorized third party</i>)	
<input type="checkbox"/> Self-assessment/peer review with state risk analysis	
<input type="checkbox"/> State-authorized third party validation	
<input checked="" type="checkbox"/> Regular, on-site CSBG monitoring	
<input type="checkbox"/> Other	
6.3a. Assessment Process: Describe the planned assessment process.	
NC DHHS will use the CSBG Organizational Standards Center of Excellence Organizational Standards and Self-Assessment documents released by the Community Action Partnership to facilitate the assessment of eligible entities. The assessments will be both remote and onsite assessments and will require eligible entities to complete a self-assessments that are supported with documentation to validate the information reported during the self assessment. Staff from the NC Office of Economic Opportunity review the self-assessments and supporting documentation. OEO staff will determine if the the eligible entity is or is not conforming to the Organization Standards. In areas that eligible entities is not conforming or there is a disagreement between the eligible entity and the OEO, additional documents may be presented and reviewed to determine if the organization is conforming with the standards. In areas determined as not met, OEO will work with eligible entities to develop and implement technical assistance and quality improvement plans as required in OCS IM-138. Assessments for eligible entities will be completed annually. A technical assistance memorandum regarding organizational standards has been developed and distributed to the eligible entities. This memorandum provides key information to strengthen the overall performance management framework of CSBG in North Carolina. Additionally, the State Office routinely collaborates with NCCAA to target technical assistance and training needs to the eligible entities pertaining to the organizational standards.	
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)? <input type="radio"/> Yes <input checked="" type="radio"/> No	

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

Total Number of Exempt Entities: 0

CSBG Eligible Entity	Description / Justification	Delete

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

Year One	90%	Year Two	95%
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Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.

Section 7: State Use of Funds

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

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

7.1. Formula:

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

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.

Availability of CSBG funds are determined based on federal grant award. Ninety percent of funding is disbursed to eligible entities. Annual funding for each eligible entity is calculated based on approved SAIPE poverty formula. Also, no eligible community action agency shall receive less than \$120,000 or 80 percent of their FFY 1982 allocation. In addition, per state rule, agencies are awarded any unspent funds from their prior state fiscal year allocation. Those allocation values are communicated in the new application packet, sent to eligible entities in October, prior to the beginning of the new state fiscal year, beginning July 1. Based upon those applications, contracts are developed, negotiated and executed prior to the beginning of the new state fiscal year.

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%
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Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Action Pathways, Inc.	\$857,192	
Blue Ridge Community Action, Inc.	\$474,340	
Blue Ridge Opportunity Commission, Inc.	\$243,357	
Alamance County Community Services Action, Inc.	\$272,929	
Catawba County Social Services	\$256,045	
Central Piedmont Community Action, Inc.	\$1,064,047	
Charlotte Area Fund, Inc.	\$1,588,838	
Choanoke Area Development Association of NC, Inc.	\$359,038	
Coastal Community Action, Inc	\$311,913	
Community Action Opportunities	\$718,716	
Davidson County Community Action, Inc.	\$311,145	
Economic Improvement Council, Inc.	\$301,404	
Experiment In Self-Reliance, Inc.	\$760,550	
Four Square Community Action, Inc.	\$133,806	
Franklin-Vance-Warren Opportunity, Inc.	\$391,357	
Gaston Community Action, Inc.	\$830,997	
Greene Lamp, Inc.	\$820,792	
Iredell Community Action Research and Evaluation, Inc.	\$269,268	
Johnston-Lee-Harnett Community Action, Inc.	\$650,603	
Macon Program for Progress, Inc.	\$120,000	
Nash Edgecombe Economic Development, Inc.	\$524,123	
Passage Home, Inc.	\$1,131,722	

Salisbury-Rowan Community Action Agency, Inc	\$518,327
Sandhills Community Action Program, Inc.	\$353,053
Southeastern Community & Family Services, Inc.	\$1,204,965
Telamon Corporation	\$320,267
Union County Community Action, Inc.	\$206,149
WAMY Community Action, Inc.	\$318,825
Wayne Action Group for Economic Solvency, Inc.	\$308,323
Welfare Reform Liaison Project, Inc.	\$998,766
Yadkin Valley Economic Development District, Inc	\$329,995
Eastern Carolina Human Services Agency, Inc.	\$915,884
Mountain Projects, Inc.	\$214,681
Total	\$18,081,417

CSBG Eligible Entity Year Two		
CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Action Pathways, Inc.	\$888,573	
Blue Ridge Community Action, Inc.	\$491,706	
Blue Ridge Opportunity Commission, Inc.	\$252,265	
Alamance County Community Services Action, Inc.	\$282,921	
Catawba County Social Services	\$265,419	
Central Piedmont Community Action, Inc.	\$1,103,000	
Charlotte Area Fund, Inc.	\$1,647,004	
Choanoke Area Development Association of NC, Inc.	\$372,182	
Coastal Community Action, Inc	\$323,334	
Community Action Opportunities	\$745,029	
Davidson County Community Action, Inc.	\$322,536	
Economic Improvement Council, Inc.	\$312,437	
Experiment In Self-Reliance, Inc.	\$788,393	
Four Square Community Action, Inc.	\$138,526	
Franklin-Vance-Warren Opportunity, Inc.	\$405,684	
Gaston Community Action, Inc.	\$861,419	
Greene Lamp, Inc.	\$850,839	
Iredell Community Action Research and Evaluation, Inc.	\$279,499	
Johnston-Lee-Harnett Community Action, Inc.	\$674,421	
Macon Program for Progress, Inc.	\$120,000	
Nash Edgecombe Economic Development, Inc.	\$489,415	
Passage Home, Inc.	\$1,173,153	
Salisbury-Rowan Community Action Agency, Inc	\$537,303	
Sandhills Community Action Program, Inc.	\$365,977	
Southeastern Community & Family Services, Inc.	\$1,249,078	
Telamon Corporation	\$331,992	
Union County Community Action, Inc.	\$213,696	
WAMY Community Action, Inc.	\$318,825	
Wayne Action Group for Economic Solvency, Inc.	\$319,610	
Welfare Reform Liaison Project, Inc.	\$1,035,330	
Yadkin Valley Economic Development District, Inc	\$342,075	
Eastern Carolina Human Services Agency, Inc.	\$949,412	
Mountain Projects, Inc.	\$214,681	
Total	\$18,665,734	

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).

In compliance with federal and state rules, NC ensures that 90 percent of CSBG funds are distributed to eligible entities in a timely process. Available funds are calculated/projected and included in the state biennial budget, approved by the state legislature. Concurrently, individual community action agency budgets are calculated and communicated to those agencies for next state fiscal year (July 1) contract development in October, 8 months in advance. Agency applications are then submitted to the state for review, modification and inclusion in the annual contract. Those contracts are executed prior to July 1, ensuring agencies have timely, full access to funding. In addition, each agency has the option to request a 2-month cash advance to ensure adequate cash-f

low. Note, year one amounts include unspent funds from previous year. Year 2 amounts are projected and will be adjusted based on availability and expenditures.

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.

NC DHHS has diligently worked to improve grant and contract administration procedures over the past few years. In the past, there were challenges associated with timely implementation of contracts, addition of prior-year balance amounts and contract revision/amendment processes. A review of the process was completed, including receiving input from eligible entities and other sources. Each of those issues identified has been addressed with significant improvements made in each. We continue to work to improve efficiency, timeliness and flexibility of the process.

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
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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	10.00	Year Two	10.00
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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	10.00	Year Two	10.00
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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%
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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.

Instructional Note: The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) specifically requires a description of how the state intends to use remainder/discretionary funds to "support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act]." Include this description in Item 7.9f of the table below.

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	\$340,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$60,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest	\$0.00	

need		
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$519,779.00	To operate project for a specific target population or specific program area will be funded with discretionary allocation. The project will target: American Indians Funds allocated for the implementation of technology system for tracking and reporting service delivery as well as compliance with performance management.
Total	\$919,779.00	
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$340,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$60,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$519,779.00	To operate project for a specific target population or specific program area will be funded with discretionary allocation. The project will target: American Indians Funds allocated for the implementation of technology system for tracking and reporting service delivery as well as compliance with performance management.
Total	\$919,779.00	
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 checked="" type="checkbox"/> CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 34		
<input checked="" type="checkbox"/> Other community-based organizations		
<input checked="" type="checkbox"/> State Community Action association		
<input checked="" type="checkbox"/> Regional CSBG technical assistance provider(s)		
<input checked="" type="checkbox"/> National technical assistance provider(s)		
<input type="checkbox"/> Individual consultant(s)		
<input checked="" type="checkbox"/> Tribes and Tribal Organizations		
<input type="checkbox"/> Other		
Note: This response will link to the corresponding CSBG assurance, item 14.2.		
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: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.		
The NC Department of Health and Human Services is exploring options to replace the technology currently used by eligible entities to document and report service delivery as well as compliance with standards, and corrective action plans. It is expected that procurement for a new, integrated data system will be initiated during the plan period.		

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
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SECTION 8 State Use of Funds

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

Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.

(CSBG funding used for this activity is referenced under item 7.9a Use of, 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	Both	Organizational Standards - General	
2	FY1-Q3	Both	Fiscal	
3	FY1-Q4	Both	Reporting	

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY2-Q1	Both	Organizational Standards - General	
2	FY2-Q2	Both	Monitoring	
3	FY2-Q3	Both	Reporting	

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	\$340,000	Year Two	\$340,000
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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 Office Of Economic Opportunity delivers agency or program-specific training and technical assistance. Through a contractual agreement, OEO works closely with the NCCAA to plan, coordinate, and deliver training and technical assistance to eligible entities in areas of performance management, quality improvement, service delivery. Topics for targeted training are informed by the eligible entities through surveys, data from program outcomes, annual self assessment. Topics are prioritized through input from the eligible entities

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. OEO will review all submitted documentation of Organizational Standards, and provide technical assistance and detailed guidance for all standards that are not met. Training and technical assistance will be provided throughout the year to assist eligible entities to achieve unmet standards. Targeted, performance based technical assistance is provided by the state office. General technical assistance and training is managed through a contract with NCCAA. Eligible entities who meet 30%-60% of standards will be required to develop a TAP in collaboration with OEO.

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

- CSBG eligible entities *(if checked, provide the expected number of CSBG eligible entities to receive funds)* 33
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)

Tribes and Tribal Organizations

Other State Office of Economic Opportunity

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 Office of Economic Opportunity (OEO) in partnership with NCCAA completes the RPIC Combined T&TA template as part of the Organizational Standards of Excellence. In the new T/TA plan the DHHS has entered into a contract with the NCCAA to provide training and technical assistance on the Performance Management Framework to North Carolina's eligible entities. By contract NCCAA will focus its efforts on areas supporting certified ROMA trainers and Implementers to remain active, train and support the eligible entities in developing logic models based on the ROMA framework, and NCCAA will provide the Community Action Professional Certification to all staff throughout the network to include staff from OEO. Lastly, an online board of directors certification program started this fiscal year for all new Board members and executive staff for eligible entities. An assessment of the NC CSBG Networks included; feedback provided through the American Customer Satisfaction Index; Organizational Assessment Scores; On-site/ remote monitoring activities; responses to T/TA surveys; feedback received from agencies hopefully will increase the number of eligible entities meeting 100% of the Organizational Standards is a priority. OEO conducts quarterly monitoring with agencies via face to face or desktop to ensure agencies are addressing any programmatic or fiscal areas of improvement in a timely manner and not only in response to program monitoring.

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 intends 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 additional information as needed. [Check all that apply from the list below and provide a narrative]

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

NC Department of Aging

9.2. State Linkages and Coordination at the Local Level:

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

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

Each CSBG eligible entity collaborates and coordinates local services based on the needs and resources available within their respective service areas. The State Office collects this information in narrative format from each eligible entity through an annual application for funding. While each eligible entity is unique in its approach, some common strategies for linkages and coordination are to maintain or increase CSBG services. Each strategy's design avoids duplication and includes participation in local human service councils where representatives from human service agencies meet regularly and identify solutions to low-income families' experiences. The strategy consists of referrals to service providers addressing issues associated with poverty and collaborations with its local Division of Social Services, Workforce Innovation and Opportunity Act providers, community colleges, local businesses, faith-based organizations, civic organizations, and other non-profit agencies. Additionally, each eligible entity is responsible for incorporating the input of low-income families within the service area and tripartite board representatives to inform efforts related to provision of services and elimination of poverty barriers. The State Office will continue a targeted effort of strengthening the collaboration of CSBG eligible entities and local Division of Social Service Offices through coordination with the North Carolina Community Action Association and North Carolina Association of County Departments of Social Services. The eligible entity will increase efforts in a potential collaboration with the North Carolina Department of Commerce as the lead state agency for the Workforce Innovation and Opportunity Act and the Temporary Assistance for Needy Families Program and NC Department of Aging housed within the exact organizational, physical location as the CSBG State Office.

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

The State Office provides ongoing communication to the North Carolina Community Action network through quarterly leadership webinars/calls. The North Carolina Community Action Association Council of Executive Director's meetings, and presentations on targeted areas. The North Carolina Community Action Association holds regular regional meetings with agencies providing services within the same geographic region. These modes of communication present opportunities for the State Office, the State Association, and local agencies to discuss and plan coordination among eligible entities.

<p>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.</p>
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.</i></p>
<p>Each CSBG eligible entity develops linkages to fill identified gaps in the services by providing information, referrals, case management, and follow-up consultations based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. As part of the yearly application process, each eligible entity completes a community needs assessment. The assessment includes a narrative or list of local public agencies, businesses, faith-based organizations, civic organizations, and other non-profit organizations. The collaborative effort strengthens the process to develop linkages to fill identified gaps and avoid duplication of services.</p>
<p>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)? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.5.</i></p>
<p>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.</p>
<p>North Carolina has opted for a Unified State Plan under WIOA, and not a Combined State Plan. The NC WIOA Unified State Plan, 2016-2020 addresses leveraging the use of Community Action Agencies, with federal CSBG funding, to increase educational access through the provision of transportation assistance, child care assistance and/or occasionally direct educational assistance(p. 61) The NC WIOA Unified State Plan identifies the CSBG as one of the programs under the review of the NCWorks Commission, which includes representatives from the business community, heads of state workforce agencies, educators and community leaders align workforce programs and activities at the state-level through a Strategic Planning Task Force that is focused on coordinating and aligning all workforce programs, and avoiding duplication across workforce activities (p. 40). Other programs include: Displace Homemaker and American Indian Workforce Development Program administered by the NC Department of Administration; the Title I adult and youth programs, Wagner-Peyser, Trade Adjustment Assistance, Veterans Program, and Apprenticeship programs administered by the NC Department of Commerce;Bionetwork, Customized Training, Small Businesses Center Network, Adult Education and Basic Skills, Occupational Continuing Education, and Post-secondary Career Technical and Vocational Education programs administered by the NC Community College System; the Career and Technical Education program administered by the NC Department of Public Instruction; and the Temporary Assistance to Needy Families (TANF), Food and Nutrition Services; Senior community Service Employment, and the Vocational Rehabilitation and VR Services for the Blind programs administered by the NC Department of Health and Human Services.</p>
<p>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.</p>
<p>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).</p>
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.6.</i></p>
<p>Each CSBG eligible entity supports and/ or operates emergency energy crisis intervention programs under title XXVI based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. While each eligible entity is unique in its approach, common approaches to supporting emergency energy crisis intervention is through operating Weatherization and Heating and Air Replacement and Repair Programs and referrals to appropriate providers. Then National Performance Indicators within the CSBG Annual Report and the state required outcome eligible entities provide the number of participant families provided emergency assistance. This outcome requirement serves as information sources for the State to indicate emergency crisis services provided or referred by eligible entities.</p>
<p>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.</p>
<p><i>Note: this response will link to the corresponding assurance, item 14.9.</i></p>
<p>Each CSBG eligible entity coordinates and forms partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations based upon the needs and resources in their respective service areas. While each eligible entity is unique in its approach, the importance of the agencies' mission and established goals is a standard driver for the coordination and formation of partnerships with other organizations. Eligible entities often strengthen coordination and partnerships through entities represented on the tripartite board of directors. The eligible entity capacity building section of the CSBG Annual Report will serve as an information source for the State to indicate eligible entities are coordinating services and partnering with other agencies to address the needs in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding.</p>
<p>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.</p>
<p><i>Note: this response will link to the corresponding assurance, item 14.3c.</i></p>
<p>Each CSBG eligible entity coordinates and forms partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations based upon the needs and resources in their respective service areas. While each eligible entity is unique in its approach, the importance of the agencies' mission and established goals is a standard driver for the coordination and formation of partnerships with other organizations. Eligible entities often strengthen coordination and partnerships through entities represented on the tripartite board of directors. The eligible entity capacity building section of the CSBG Annual Report will serve as an information source for the State to indicate eligible entities are coordinating services and partnering with other agencies to address the needs in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding.</p>
<p>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.</p>
<p><i>Note: This information will pre-populate the Annual Report, Module 1, Item G.5.</i></p>

OEO provides regular and ongoing communication to the North Carolina Community Action network through quarterly leadership webinars, NCCAA Council of Executive Director meetings, and presentations on targeted areas. Additionally, the NCCAA holds regional meetings with agencies providing services within the same geographic region. These modes of communication present opportunities for the State Office, the State Association, and Local Agencies to discuss and plan coordination among eligible entities.

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	Biannual	Public Notice	Combination of phone calls, emails, meeting and presentations and website
State Plan Development	Biannual	Other	Combination of phone calls, emails, meeting and presentations
Organizational Standards Progress	Annually		Combination of phone calls, emails, meeting and presentations
State Accountability Measures Progress	Not Applicable		
Community Needs Assessments/Community Action Plans	Annually	Other	Combination of phone calls, emails, meeting and presentations
State Monitoring Plans and Policies	As needed	Other	Combination of phone calls, emails, and meetings presentations
Training and Technical Assistance (T/TA) Plans	As needed	Other	Combination of phone calls, emails, meeting and presentations
ROMA and Performance Management	Annually	Meetings/Presentation	Partner with NC State Association for training on ROMA and Performance Management.
State Interagency Coordination	Not Applicable		
CSBG Legislative/Programmatic Updates	Quarterly	Other	Updates at CO-Ed meetings
Tripartite Board Requirements	Not Applicable		

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Announcement for public review and comment period	Biannual	Public Notice	
2				

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 feedback to local entities and the State Community Action Association on performance specific to the State Accountability Measures through quarterly and year end updates in narrative, presentation, listening sessions and/or meeting formats. In addition to the modes of communication detailed in 9.9, the States CSBG and State Association Directors meet regularly to discuss overall strategies for strengthening resource coordination, service delivery and performance management for CSBG related activities. Regular and ongoing communications will support the states success with achieving positive results related to accountability measures in the area of state plan development, grantee monitoring and corrective action and organizational standards for eligible entities.

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 Office of Economic Opportunity (OEO) is planning to increase remote and regional training opportunities for eligibility entities as well as a plan to increase the efficiency/ timeliness of written communications. OEO is also planning to strengthen collaborative efforts and communication with the NC Community Action Association surrounding eligible entity performance and will continue to have representation on the NC Performance Management Work group to support adjustments to communication where applicable.

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	Action Pathways, Inc.	Full On-site	Onsite Review	FY1 Q2	10/16/2019	10/18/2019	
2	Blue Ridge Community Action, Inc.	Full On-site	Onsite Review	FY1 Q3	02/06/2020	02/07/2020	
3	Blue Ridge Opportunity Commission, Inc.	Follow-up			08/07/2019	08/09/2019	
4	Alamance County Community Services Action, Inc.	Other	Desk Review	FY1 Q1	08/16/2021	08/20/2021	Virtual monitoring because of COVID-19.
5	Catawba County Social Services	No review					
6	Central Piedmont Community Action, Inc.	Full On-site			08/01/2016	08/05/2016	
7	Charlotte Area Fund, Inc.	No review					
8	Choanoke Area Development Association of NC, Inc.	No review					
9	Coastal Community Action, Inc	Other	Desk Review	FY1 Q1	08/06/2018	08/08/2018	Virtual monitoring because of COVID-19.
10	Community Action Opportunities	Other	Desk Review	FY1 Q1	06/27/2021	06/30/2016	Virtual monitoring because of COVID-19.
11	Davidson County Community Action, Inc.	Other	Desk Review	FY1 Q3	02/20/2018	02/22/2018	Virtual monitoring because of COVID-19.
12	Economic Improvement Council, Inc.	Other	Desk Review	FY1 Q2	10/09/2017	10/11/2017	Virtual monitoring because of COVID-19.
13	Experiment In Self-Reliance, Inc.	No review					
14	Four Square Community Action, Inc.	No review					
15	Franklin-Vance-Warren Opportunity, Inc.	Other			12/18/2018	12/20/2018	Virtual monitoring because of COVID-19.
16	Gaston Community Action, Inc.	Full On-site			10/16/2017	10/19/2017	
17	Greene Lamp, Inc.	Other			11/06/2017	11/09/2017	Virtual monitoring because of COVID-19.

18	Iredell Community Action Research and Evaluation, Inc.	No review					
19	Johnston-Lee-Harnett Community Action, Inc.	Full On-site			05/24/2016	05/27/2016	
20	Macon Program for Progress, Inc.	No review					
21	Nash Edgecombe Economic Development, Inc.	Full On-site			05/29/2018	06/04/2018	
22	Passage Home, Inc.	Other			10/03/2021	10/05/2017	Virtual monitoring because of COVID-19.
23	Salisbury-Rowan Community Action Agency, Inc	No review					
24	Sandhills Community Action Program, Inc.	No review					
25	Southeastern Community & Family Services, Inc.	No review					
26	Telamon Corporation	Other			01/23/2018	01/25/2018	Virtual monitoring because of COVID-19.
27	Union County Community Action, Inc.	Other			03/05/2018	03/08/2018	Virtual monitoring because of COVID-19.
28	WAMY Community Action, Inc.	Other			03/19/2018	03/22/2018	Virtual monitoring because of COVID-19.
29	Wayne Action Group for Economic Solvency, Inc.	No review					
30	Welfare Reform Liaison Project, Inc.	Full On-site			05/12/2017	05/15/2017	
31	Yadkin Valley Economic Development District, Inc	Full On-site			12/04/2017	12/07/2017	
32	Eastern Carolina Human Services Agency, Inc.	No review					
33	Mountain Projects, Inc.	Other			08/16/2016	08/18/2016	Virtual monitoring because of COVID-19.
	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	Action Pathways, Inc.	No review					
2	Blue Ridge Community Action, Inc.	No review					
3	Blue Ridge Opportunity Commission, Inc.	Full On-site			08/07/2019	08/09/2019	
4	Alamance County Community Services Action, Inc.	No review					
5	Catawba County Social Services	Full On-site			08/20/2019	08/22/2019	
6	Central Piedmont Community Action, Inc.	No review					
7	Charlotte Area Fund, Inc.	No review					
8	Choanoke Area Development Association of NC, Inc.	Full On-site			10/02/2019	10/04/2019	
9	Coastal Community Action, Inc	No review					
10	Community Action Opportunities	No review					
11	Davidson County Community Action, Inc.	No review					
12	Economic Improvement Council, Inc.	No review					
13	Experiment In Self-Reliance, Inc.	Full On-site			10/24/2019	10/25/2019	
14	Four Square Community Action, Inc.	Full On-site			10/29/2019	10/30/2019	

15	Franklin-Vance-Warren Opportunity, Inc.	No review					
16	Gaston Community Action, Inc.	No review					
17	Greene Lamp, Inc.	No review					
18	Iredell Community Action Research and Evaluation, Inc.	Full On-site			05/20/2019	05/23/2019	
19	Johnston-Lee-Harnett Community Action, Inc.	No review					
20	Macon Program for Progress, Inc.	Full On-site			09/18/2019	09/20/2019	
21	Nash Edgecombe Economic Development, Inc.	No review					
22	Passage Home, Inc.	No review					
23	Salisbury-Rowan Community Action Agency, Inc	No review					
24	Sandhills Community Action Program, Inc.	Full On-site			10/16/2019	10/17/2019	
25	Southeastern Community & Family Services, Inc.	Full On-site			08/16/2019	09/04/2019	
26	Telamon Corporation	No review					
27	Union County Community Action, Inc.	No review					
28	WAMY Community Action, Inc.	No review					
29	Wayne Action Group for Economic Solvency, Inc.	Full On-site			04/08/2019	04/10/2019	
30	Welfare Reform Liaison Project, Inc.	No review					
31	Yadkin Valley Economic Development District, Inc	No review					
32	Eastern Carolina Human Services Agency, Inc.	Follow-up	Onsite Review	FY2 Q3	02/16/2021	02/17/2021	
33	Mountain Projects, Inc.	No review					

10.2. Monitoring Policies:

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

See Attached Monitoring Policy

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.

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**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.

NC has a process that involves standardized Corrective Action Worksheets which accompany any monitoring report with findings which identifies the finding, cause, required action and details the actions/steps to be taken for correction, the responsible party(ies) and the date by which the action/step will be completed. Upon agency submission of the evidence the action/steps have been taken, the State Office reviews the documentation and/or conducts a follow-up visit to confirm implementation of the planned action/steps and issues a formal response indicating whether the finding is closed, or additional documentation/ action is required. For the purpose of CSBG Administration, a finding is defined as any area of non-compliance with federal or state rules, contracts requirements, agency bylaws/policies/procedures, or binding source document. All findings require corrective action; however, all findings do not result in Quality Improvement Plans (QIPs). Quality Improvement Plans are to be initiated when a level of non-compliance results in suspension of funding and/or the threat of de-designation as a result of documented repeat findings, fraud, waste, abuse, lack of capacity to safeguard resources, inability to demonstrate outcomes achievement or failure to meet contract requirements. Like the CAWs, QIPs will accompany a formal notice to the agency of the areas of non-compliance/findings, causes of the non-compliance/findings, required actions and details the actions/steps to be taken to correct the ongoing and/or significant deficiencies, the responsible party(ies) and the date by which the action/step must be completed. Upon agency submission of the evidence the action/steps have been taken, the State Office will review the documentation and/or conduct a follow-up visit to confirm implementation of the planned action/steps and issue a formal response indicating that additional documentation and/or action is needed or that the agency has successfully addressed the deficiencies thereby removing the threat of de-designation. The QIP will require Board and Executive Level Staff engagement. Should the agency fail to address the deficiencies outlined in IM 116.

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).

North Carolina will copy the Office of Community Services (OCS) on all formal notifications to agencies indicating the State is approving a Quality Improvement Plan. To expedite receipt, a scan of the formal notice will be emailed to the OCS. NC respectfully asks that OCS specify a lead QIP point of contact and a process by which receipt of notification will be formally acknowledged and feedback provided.

10.7. Assurance on Funding Reduction or Termination:

The state assures, "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8). Yes No

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

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

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

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

Requirements for designation of new eligible entities are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\\Title%2010A%20-%20Health%20and%20Human%20Services\\Chapter%2097%20-%20Economic%20Opportunity>

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.

When de-designation becomes necessary, the State references Title 10A North Carolina Administrative Code 97C Section .1300 A Grant Recipient Compliance Liability: Suspension: Termination. In addition, the State notifies the Office of Community Services on the necessary action, follows OCS IM-116 as deemed appropriate and works diligently to designate a new provider as quickly as possible to minimize the break in service delivery to eligible low-income families.

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. Eligible Entity Re-designation: Does the State CSBG statute and/or regulations provide for re-designation of an existing eligible entity? Yes No

10.10a. Re-Designation Citation: If Yes, provide the citation(s) of the law and/or regulation.

Requirements for designation of new eligible entities are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\\Title%2010A%20-%20Health%20and%20Human%20Services\\Chapter%2097%20-%20Economic%20Opportunity>

10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public.

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 Department of Health and Human Services Office of the Controller Federal Grants and Financial Reporting Unit is responsible for the management, coordination and supervision of all federal fund accounting, financial reporting, financial analysis, and audit resolution relative to federal funds accounting and the coordination of the annual accrual process and preparation of the Comprehensive Annual Financial Report (CAFR) for the Department of Health and Human Services. CSBG expenditures are tracked through FRC 54. The submission of interim FFRs will be on a quarterly, semi-annual, or annual basis, as directed by the Federal agency. A final FFR shall be submitted at the completion of the award agreement. The following reporting period end dates shall be used for interim reports: 3/31, 6/30, 9/30, or 12/31. For final FFRs, the reporting period end date shall be the end date of the project or grant period. Quarterly and semi-annual interim reports shall be submitted no later than 30 days after the end of each reporting period. Annual reports shall be submitted no later than 90 days after the end of each reporting period. Final reports shall be submitted no later than 90 days after the project or grant period end date.

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.

Monitoring (RMAM) team. It should be noted in North Carolina required reports and audits of agencies are submitted by the eligible entity into the Federal Audit Clearinghouse and/or emailed to www.ncgrantsreporting@dhhs.nc.gov. While changes are being made to this system to enhance capabilities, current key components of the submission, review and issuance of management decisions are as follows: 1) Required reports and audits of agencies are submitted by the eligible entity by email to www.ncgrantsreporting@dhhs.nc.gov. A desk review of the audit is completed to determine if it was conducted in accordance with the required audit standards. a. If an audit does not meet the required standards, it is rejected and the entity is notified with a listing the required standards that were not met. b. The entity is required to submit a revised audit report that meets the required standards. c. If the audit meets all other standards, but is missing a required corrective action plan, RMAM drafts and issues a Management Decision Letter, after obtaining input from the Division Monitors, to the Grantee Contact of the nongovernmental entity requesting a corrective action plan and/or additional information if the submitted corrective action plan is deemed insufficient. 2) If the required reports have not been received within the required six (6) month period or an audit and required reports have not been received within the required nine (9) month period, the division monitors notify the RMAM team and request that the grantee be placed on the Suspension of Funding List. The designated RMAM team member notifies OSBM to add the grantee to the Suspension of Funding List and once the required reports have been received from the grantee, the designated RMAM team member notifies OSBM to remove the grantee from the Suspension of Funding List.

nsion of Funding list, and once done, notifies the grantee that they have been removed from the list. State agencies are prohibited from entering into new grant agreements with these entities and should withhold grant funds not yet disbursed until the grantee has been removed from the SOFL.

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.

Staff closely reviewed the responses to the 2017 ACSI Survey related to monitoring as well as conducted a survey using Survey Monkey in the spring of 2019 as we prepared for the submission of the State Plan. During the review of both surveys results we determined that the adjustments made with the ACSI Survey were still meeting the needs of our eligible entities. Conducting an internal self-assessment of our monitoring process, we determined that we needed to ensure that we follow up in a timely matter with closing out corrective action worksheets once submitted to us. During staff meetings Corrective Action Close Outs will be added to the agenda to ensure we are keeping up with those that need to be closed in a timely manner.

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 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 checked="" type="checkbox"/> Other The State Office monitors board requirements by collecting board membership/ composition rosters, inclusive of committees, during the annual application process. Board member profile sheets are submitted to the Office as new members are seated. The process by which members are selected as well as engaged is assessed through review of board minutes, board member files and agency by-laws during onsite and desktop monitoring. Attempts are made to meet with board members during onsite monitoring visits or when requested	
11.2. Tripartite Board Updates: Provide how often the state requires 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 election process, etc., [Select one and narrative where applicable]	
<input type="radio"/> Annually	
<input type="radio"/> Semiannually	
<input type="radio"/> Quarterly	
<input type="radio"/> Monthly	
<input checked="" 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	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
North Carolina will ensure that eligible entities have the required petition process to afford individuals and organizations expressing a need for adequate representation on the tripartite board by reviewing each eligible entity by laws, policies and/ or procedures through desktop and/or onsite monitoring. Guidance will be issued to ensure the process delineates at a minimum: 1) A format in which the petitioner will specify why he/she or the organization/group feels inadequately represented 2) A reasonable number of signatures needed for the petition to be considered based on a set of defined criteria related to the service area and poverty population 3) The procedures by which the petition will be received, reviewed, approved for seating and/or denied and how the petitioner will be notified of the results	
11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input checked="" type="radio"/> Yes <input type="radio"/> No	
11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	
In accordance with Public Law 676 B(b)(2);(2) another mechanism specified by the State to assure decision making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs funded under this subtitle. The Office of Economic Opportunity will allow agencies with a Board Structure that represents different states, have an Advisory Council. The Advisory Council must be structured in the Tripartite Board structure.	

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.	
Requirements for income eligibility are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2010A%20-%20Health%20and%20Human%20Services\Chapter%2097%20-%20Economic%20Opportunity and have been attached to the OLDC System	
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.	
Per Guidance Memorandum 2012-2, NC Office of Economic Opportunity has determined it is reasonable to attempt to verify income for all CSBG participants. Where income verification outlined in the required self-declaration statement is not possible, the agency must maintain a document that captures why income was not verified. Where no income was received, the self-declaration should indicate \$0 as the annual income to which the applicant attests.	
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).	
North Carolina acknowledges that provision of services with community-wide benefits as described is an area for strengthening; however, through onsite and desktop monitoring, the State ensures that all CSBG services provided are to families meeting the income guidelines established which are 125% of the federal poverty guideline as outlined in state rules and the Quality Measures of each eligible entities contract. These families are the same for which eligible entities provide advocacy services to in their local communities. We believe that encouraging formal partnership agreements outlining this focus will strengthen the ability to ensure such services target and benefit low-income communities.	

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 Management 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 I, 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.	
The North Carolina OEO includes written guidance surrounding ROMA within the annual CSBG application. The expected range of 80% - 120% of targeted performance and expected expenditure rate of 100% is identified in all quarterly and year-end letters from the State office to eligible entities. In the event performance or expenditures are below expected levels, agencies are required to identify meaningful reasons and planned adjustments to bring these within the expected range. The State Office includes this information in the letters which are mailed to the board chairperson and executive director. Additional supports for ROMA include: thirty National Certified ROMA Trainers across the North Carolina network (one within the State Office and 3 within the Association), ongoing training and technical assistance for the CSBG-IS/ Annual Report and elements of ROMA within the Accountable Results for Community Action case management database. In collaboration with the State Office, the North Carolina Community Action Association leads NC ROMA efforts through coordination of training and technical assistance with the cohort of NCRTs within the state. This includes, but is not limited to, coordination of regional and agency ROMA trainings, quarterly webinars/ conference calls and an NC ROMA annual retreat for NCRTs. The North Carolina State Office will work with eligible entities and provide T/TA as needed to support the transition to the CSBG Annual Report.	
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.	
(This section is currently blank)	
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 type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input checked="" type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
The State Office requires the CSBG-IS/ Annual report be completed annually. Additionally, all North Carolina eligible entities are required to report outcomes measures specific to CSBG funding on a quarterly basis. The most common outcomes reported by eligible entities include: The number of participant families served; The number of low-income participant families rising above the poverty level; The average change in the annual income per participant family experiencing a change; The number of participant families obtaining employment; The number of participant families who are employed and obtain better employment; The average wage rate of employed participant families; The number of jobs with medical benefits obtained; The number of participant families completing education/ training programs; The number of participant families securing standard housing; The number of participant families provided emergency assistance; The number of participant families provided employment supports; The number of participant families provided educational supports	
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>	
North Carolina has 14 National Certified ROMA Trainers and 28 National Certified Implementer (1 with OEO) . The North Carolina Community Action Association leads efforts surrounding these individuals being available to the network for trainings. Elements and concepts of ROMA are consistently incorporated into training and technical assistance materials made available through the State Office and the Association. Some additional efforts the State Office engages in to support use of the ROMA system include written guidance surrounding ROMA in quarterly and year-end report communications, ongoing training and technical assistance for the CSBG-IS/ Annual Report and elements of ROMA within the Accountable Results for Community Action case management database. In collaboration with the State Office, the North Carolina Community Action Association leads NC ROMA efforts through coordination of training and technical assistance with the cohort of NCRTs within the state. This includes, but is not limited to, coordination of regional and agency ROMA trainings, quarterly webinars/ conference calls and an NC ROMA annual retreat for NCRTs, and coordination of the NC Performance Management Leadership Workgroup. At a minimum, the State Office will support these efforts through input and support of time of state staff members who are NCRTs.	
13.4. Eligible Entity Use of Data: Describe how the state plans to validate that the eligible entities are using data to improve service delivery.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
The State Office has an expected performance range of 80% - 120% of targeted performance and expenditure rate of 100%. As part of the annual CSBG application process, State Office staff compares proposed performance targets with past performance and expenditure data for each eligible entity. In the event performance or expenditures are outside of the expected levels or there are other concerns, agencies are required to identify meaningful reason under	

lying this difference and planned adjustments to bring these within the expected range. Additionally, data collection tools, review and training and technical assistance provided by the State Office for the CSBG-IS/ Annual report serves as an important mechanism to validate the use of data. Lastly, on-site and desktop monitoring conducted by State staff includes review of various levels of data and a dialogue with eligible entities on how this data is collected, utilized, reported and how it supports the effectiveness and efficiency of service delivery.

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.

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

The State Office requires each eligible entity submit a CSBG application for funding on an annual basis. Through the annual application process, agencies submit a Community Anti-Poverty Plan include a narrative section, an agency strategy for eliminating poverty (e.g. community needs assessment), work plan, budget and plan for monitoring, assessment and evaluation. Key sections of the North Carolina Administrative Code putting forth information on the Community Action Plan include, but may not be limited to: 10A North Carolina Administrative Code, Chapter 97C .0201, 97C .0203, 97C .0204, 97C .0205, 97C .0206, 97C .0207. Requirements for applications of eligible entities are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2010A%20-%20Health%20and%20Human%20Services\Chapter%2097%20-%20Economic%20Opportunity>

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 Office requires each eligible entity submit a CSBG application for funding on an annual basis. An agency strategy for eliminating poverty, OEO Form 210, is a required section of the annual application and serves to meet the requirement put forth in the CSBG Act. While OEO Form 210 is the primary tool used to assure the requirement is met, items within the narrative section of the application also provide important information surrounding needs assessment and coordination of services.

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 wide spread 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;

Through the annual application process, each eligible entity submits a Community Anti-Poverty Plan inclusive of a narrative section, an agency strategy for eliminating poverty (e.g. community needs assessment), work plan, budget and plan for monitoring, assessment and evaluation. In turn, each eligible entity determines the use of CSBG funds at the local level based upon the needs and resources in their communities. North Carolina outlines eight eligible project models: Self-Sufficiency, Employment, Education, Nutrition, Housing, Income Management, Information and Referral and Emergency Assistance. The majority of eligible entities in North Carolina implement self-sufficiency programs consisting of a comprehensive service delivery system to assist individuals and families with moving from poverty to economic independence using these models. These agencies provide an array of services to families within their agency or in partnership with other human service agencies. Head Start, Workforce Innovation and Opportunity Act, Weatherization and Section 8 Rental Assistance are among the federal programs operated by majority of North Carolina eligible entities. North Carolina eligible entities also operate federal/state funded projects inclusive of but not limited to employment, nutrition, youth development, senior services and housing. The State Office requires all eligible entities to report contracted outcomes specific to CSBG funding on a quarterly basis. The most commonly contracted/ reported outcomes include: The number of families served; The number of low-income families rising above the poverty level; The average change in the annual income per participant family experiencing a change; The number of families obtaining employment; The number of families who are employed and obtain better employment; The average wage rate of employed participant families; The number of jobs with medical benefits obtained; The number of families completing education/ training programs; The number of families securing standard housing; The number of participant families provided emergency assistance; The number of families provided employment supports; The number of families provided educational supports. In addition to the annual application process and state CSBG reporting, the CSBG-IS/ Annual report serves as an additional information source used by the State to confirm the support of areas indicated above.

Needs of Youth

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

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

The NC Department of Health and Human Services works to advance the health, safety, and well-being of all North Carolinians in collaboration with a wide array of partners and stakeholders. Much of this work involves managing the delivery of services to North Carolinians who are most vulnerable populations, including children, seniors, people with disabilities, and low-income individuals and families. The Office of Economic Opportunity works with each CSBG eligible entity to conduct activities that promote effectiveness and coordination with other programs related to initiatives of the CSBG. The Department has a strategic plan that is aligned with three priority areas: Medicaid Transformation, Opioid Action Plan, and Early Childhood Action Plan. To make more effective use of grant funding, priorities from the Office of Economic Opportunity will be aligned with these plans to ensure continuity across the Department and alongside CSBG recipients. North Carolina is launching the Healthy Opportunities pilots as part of its Medicaid Transformation efforts. The pilots are an opportunity for payers, providers and community-based organizations to have the tools, infrastructure and financing to integrate non-medical services directly related to improved health outcomes into the delivery of care for many low-income families. Improved health equates to improved well-being and other factors that can help lift families out of poverty. The Opioid Action Plan focuses on three key areas to reduce the impact of the opioid epidemic: Prevention, Harm Reduction, and Connections to Care. Strategies in this action plan can be aligned to CSBGAs to increase access to subst

ance abuse treatment and services that will connect those recovering to employment opportunities and housing. North Carolinas Early Childhood Action Plan (ECAP) outlines a cohesive vision, sets benchmarks for impact by the year 2025, and establishes shared stakeholder accountability to achieve statewide goals for young children from birth through age eight. CSBG alignment with improving outcomes for children supports the goal of strengthening families by mitigating adverse childhood experience that can help lift families out of inter-generational poverty. Other cross-departmental strategic plans such as those addressing TANF and child welfare will be aligned to CSBG programming to increase self-sufficiency, improve living conditions and support strong families and support systems.

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)

Based upon the needs and resources in their respective service areas, each CSBG eligible entity is responsible for conducting activities that promote effectiveness and coordination with other programs related the purposes of CSBG. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, the tripartite board structure supports coordination and input surrounding effectiveness. Common partners of eligible entities include: Division of Social Services, Workforce Innovation and Opportunity Act providers, community colleges, local businesses, faith-based organizations, civic organizations, and other non-profit Organizations.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

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

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

The CSBG Program service delivery system is currently composed of 33 eligible entities, There are 33 private non-profit eligible entities and one public agency, population or service category. Most eligible entities implement a comprehensive service delivery system to assist individuals and families with moving from poverty to economic independence. These agencies provide an array of services to families within their agency or in partnership with other human service agencies. Head Start, Workforce Investment Act, Weatherization and Section 8 Rental Assistance are among the federal programs operated by most North Carolina eligible entities. Eligible entities also operate federal/state funded projects inclusive of but not limited to employment, nutrition, youth development, senior services and housing. Multi-county eligible entities operate with a central office and neighborhood centers located throughout the service area. In-keeping with the National ROMA goals, North Carolina encourages eligible entities to embrace and execute a Self-Sufficiency (comprehensive case management) projects to better mobilize funding for direct services while also leveraging CSBG funds with other resources. While this approach may be different from how other states administer CSBG, North Carolina believes it affords us the ability to: 1) demonstrate CSBG effectiveness in moving families from poverty based on 125% of the Federal Poverty Guidelines to economic stability and into independence, 2) allows us to scale participants progress from In-Crisis to Thriving to demonstrate incremental effectiveness, 3) provides agencies with an effective framework for creating meaningful collaborations and generating additional funding to further the agencies goals and 4) permits the usage of CSBG for direct services provision to participants not for administrative purposes only.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The state describes this assurance in the state linkages and communication section, item 9.3b.

Each CSBG eligible entity develops linkages to fill identified gaps in the services by providing information, referrals, case management, and follow-up consultations based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. As part of the yearly application process, each eligible entity completes a community needs assessment. The assessment includes a narrative or list of local public agencies, businesses, faith-based organizations, civic organizations, and other non-profit organizations. The collaborative effort strengthens the process to develop linkages to fill identified gaps and avoid duplication of services.

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

S

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.

Each CSBG eligible entity coordinates and forms partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations based upon the needs and resources in their respective service areas. While each eligible entity is unique in its approach, the importance of the agencies' mission and established goals is a standard driver for the coordination and formation of partnerships with other organizations. Eligible entities often strengthen coordination and partnerships through entities represented on the tripartite board of directors. The eligible entity capacity building section of the CSBG Annual Report will serve as an information source for the State to indicate eligible entities are coordinating services and partnering with other agencies to address the needs in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood

d/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).

Each CSBG eligible entity supports innovative community and neighborhood-based initiatives based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, some examples of support for innovative community and neighborhood-based initiatives include Head Start Programs supporting fatherhood initiatives and targeted collaborations with faith-based organizations, non-profit organizations and organized community groups.

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."

Each CSBG eligible provides emergency supplies and services to counteract conditions of starvation and malnutrition based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, eligible entities provide direct services to families in these areas and/or assist families access such assistance through referrals or partnerships with community based organizations and county departments of social services who are responsible for the administration of the federal Supplemental Nutritional Assistance Program. Some strategies being utilized to assist families with emergency food needs include the operation of regional food banks, sponsoring supplemental food programs for seniors, and coordinating/sponsoring emergency food box/voucher programs.

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 antipoverity 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.

North Carolina will ensure that eligible entities have the required petition process to afford individuals and organizations expressing a need for adequate representation on the tripartite board by reviewing each eligible entity by laws, policies and/or procedures through desktop and/or onsite monitoring. Guidance will be issued to ensure the process delineates at a minimum: 1) A format in which the petitioner will specify why he/she or the organization/group feels inadequately represented 2) A reasonable number of signatures needed for the petition to be considered based on a set of defined criteria related to the service area and poverty population 3) The procedures by which the petition will be received, reviewed, approved for seating and/or denied and how the petitioner will be notified of the results

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 cov

ered 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 at 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.