

Community Services Block Grant (CSBG) Model State Plan

Table of Contents

Mandatory Grant Application SF-424

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

SECTION 1

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

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

1.1a. Lead agency North Carolina Department of Health and Human Services, Division of Social Services, Office of Economic Opportunity

1.1b. Cabinet or administrative department of this lead agency

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

1.1c. Division, bureau, or office of the CSBG authorized official

North Carolina Department of Health and Human Services, Secretary's Office

1.1d. Authorized official of the lead agency Dr. Mandy Cohen

1.1e. Street address 101 Blair Drive

1.1f. City Raleigh

1.1g. State North Carolina

1.1h. Zip 27603

1.1i. Telephone number and extension 919-855-4800

1.1j. Fax number 919-715-4645

1.1k. Email address Mandy.Cohen@dhhs.nc.gov

1.1l. Lead agency website <http://www.ncdhhs.gov/>

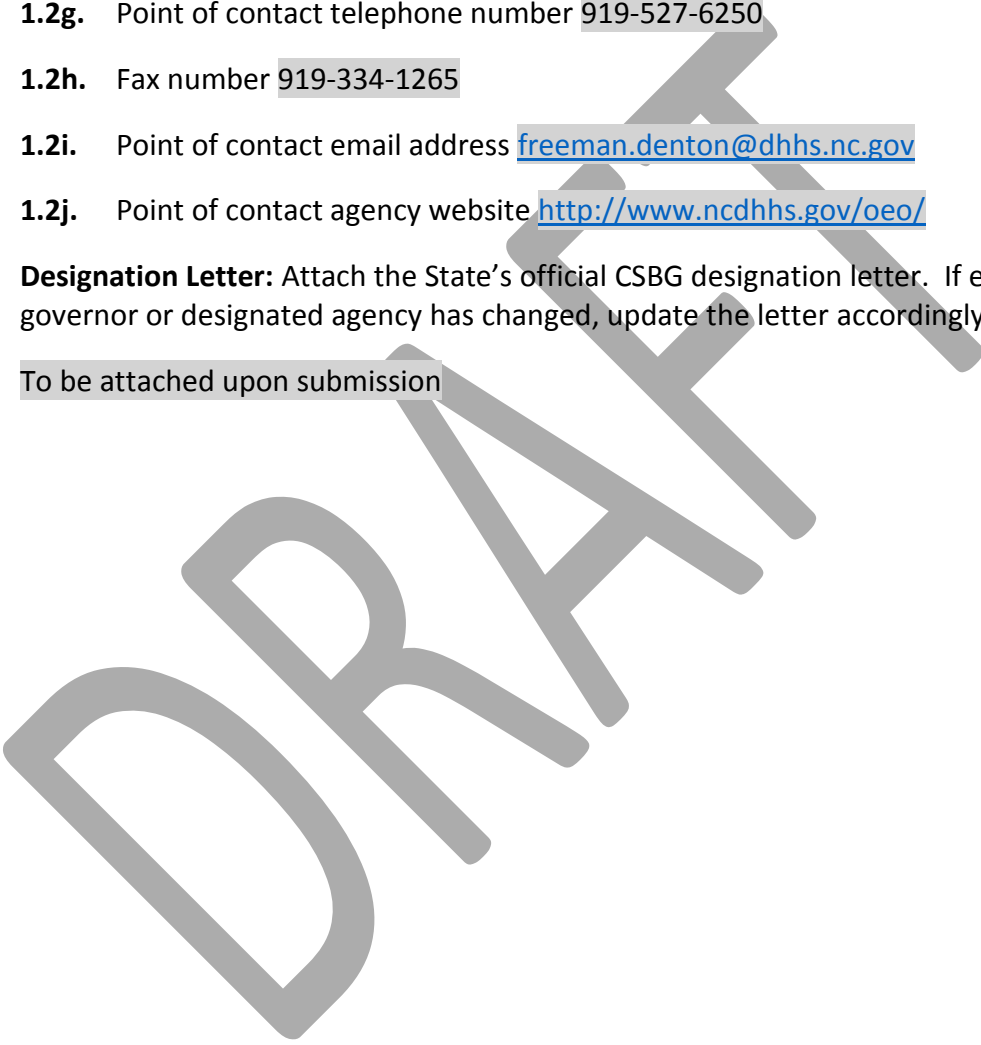
1.2. Provide the following information in relation to the designated State CSBG point of contact.

1.2a. Agency name Division of Social Services, Office of Economic Opportunity

- 1.2b. Name of the point of contact Freeman Denton
- 1.2c. Street address 820 S. Boylan Avenue, Hargrove Building
- 1.2d. City Raleigh
- 1.2e. State North Carolina
- 1.2f. Zip 27603
- 1.2g. Point of contact telephone number 919-527-6250
- 1.2h. Fax number 919-334-1265
- 1.2i. Point of contact email address freeman.denton@dhhs.nc.gov
- 1.2j. Point of contact agency website <http://www.ncdhhs.gov/oeo/>

1.3. **Designation Letter:** Attach the State’s official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.

To be attached upon submission



SECTION 2 State Legislation and Regulation

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG?
Yes No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG?
Yes No

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

North Carolina Statute Authorizing Federal Block Grants

http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_143C/GS_143C-7-2.html

State CSBG Regulations 10A North Carolina Administrative Code Chapters 97A-C

<http://reports.oah.state.nc.us/ncac.asp?folderName=\Title 10A - Health and Human Services\Chapter 97 - Economic Opportunity>

- 2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year?
Yes No
- 2.4b.** Did the State establish or amend regulations for CSBG last year?
Yes No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?
Yes No

SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities: Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency. The mission of the Division of Social Service's Office of Economic Opportunity is to administer grant programs that provide opportunities for low-income individuals and families to become self-sufficient through the provision of financial resources to Community Action Agencies, and Limited Purposes Agencies, for programs that will substantially reduce the number of citizens in our state who are living in poverty. Responsibilities of the Office of Economic Opportunity are specified in 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.

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

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) Develop partnerships and collaborate with Departmental Divisions, other state agencies, public and private human service organizations to promote more effective 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 Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data

- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Other data (describe) **[Narrative, 2500 characters]**
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities, e.g., State required reports (describe) Organizational Standards assessments

3.3b. Consultation with

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T & TA providers
- State partners and/or stakeholders The Social Services Commission, comprised of individuals appointed by the Governor, have the authority and responsibility for facilitating the public hearing, reviewing and approving of the CSBG State Plan submission.
- National organizations State staff work with organizations such as National Association of State Community Services Programs, Office of Community Services and Community Action Partnerships on a regular basis which informs content submitted within the state plan
- Other (describe)

3.4. Eligible Entity Involvement

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

Eligible entities were involved in the development of the State Plan through four regional meetings held April 24-28, 2017. Office of Economic Opportunity, in partnership with the NC Community Action Association, provided an overview of key areas of the state plan and received feedback. Additionally, eligible entities will be provided updates regarding the development and review of the state plan via e-mail correspondence, public review/ comment periods and public hearing. These forms of engagement and communication serve the dual purpose of providing eligible entities information and seeking feedback/ suggestions for the State Plan. Specific focus of overview and feedback was placed on organizational standards, American Customer Service Index results, areas of targeted performance, training

and technical assistance, areas of the state plan that are connected to the overall performance management framework outlined from the Office of Community Services and state office communications plan. Lastly, state staff completed review of needs assessments and performance data submitted by eligible entities to inform the development of the State Plan.

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

- NC Division of Social Services Office of Economic Opportunity (OEO) and the NC Community Action Association (NCCAA) are completing the Regional Performance Innovation Consortium (RPIC) Combined Training and Technical Assistance Plan Template provided as part of the Organizational Standards Center of Excellence (OSCOE)
- NC Division of Social Services Office of Economic Opportunity (OEO) and the NC Community Action Association (NCCAA) collaborated on Training and Technical Assistance Survey released to the NC Community Action Network to inform T/TA efforts to be included in the state plan
- NC Division of Social Services Office of Economic Opportunity (OEO) has shared the results of organizational standards assessments and the American Customer Service Index with NC Community Action Network to inform efforts included within the state plan
- NC Division of Social Services Office of Economic Opportunity (OEO) in partnership with the NC Community Action Association, provided an overview of key areas of the state plan and received feedback from eligible entities through four regional meetings held April 24-28, 2017.

3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period: 61.

SECTION 4

CSBG Hearing Requirements

4.1. Public Inspection: Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act. The State Plan was made available for public inspection and comment **TO BE INSERTED UPON SUBMISSION**. The State Plan and relevant notices were posted on the North Carolina Department of Health and Human Services, Division of Social Services' Office of Economic Opportunity website; Community Action Agencies, Limited Purpose Agencies and the North Carolina Community Action Association were encouraged to make the plan available at their locations for stakeholder and public review; a notice on the period of public inspection appeared in the legal section of newspapers having statewide or regional distribution; and all Community Action Agencies, Limited Purpose Agencies and the North Carolina Community Action Association were notified by e-mail of the public inspection/ comment period and the public hearing. The public hearing for North Carolina's State Plan for Administering the Community Services Block Grant Program in Fiscal Years 2018 and 2019 was held on **TO BE INSERTED UPON SUBMISSION** at 820 South Boylan Avenue, Raleigh, NC 27603 in the McBryde Building on Dorothea Dix Campus.

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

North Carolina's State Plan for Administering the Community Services Block Grant Program in Fiscal Years 2018 and 2019 was made available for public review and comment (**TO BE INSERTED UPON SUBMISSION**). Notifications of the inspection period and public hearing were made via e-mail, legal section of newspapers having statewide distribution and state website postings. In addition, the State Office, in partnership with NC Community Action Association, facilitated for in-person sessions providing an overview of key areas of the state plan and received feedback April 24-28, 2017.

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

Date	Location	Type of Hearing [Select an option]
TBD	TBD	<input checked="" type="radio"/> Public
TBD	TBD	<input checked="" type="radio"/> Legislative

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

SECTION 5
CSBG Eligible Entities

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

CSBG Eligible Entity	Public or Nonprofit	Type of Agency	Geographical Area Served	Brief Description of "Other"
Action Pathways, Inc.	Nonprofit	CAA	Cumberland and Sampson Counties	N/A
Alamance County Community Services Agency, Inc.	Nonprofit	CAA	Alamance County	N/A
Blue Ridge Community Action, Inc.	Nonprofit	CAA	Burke, Caldwell, Rutherfordton Counties	N/A
Blue Ridge Opportunity Commission, Inc.	Nonprofit	CAA	Allegany, Ashe and Wilkes Counties	N/A
Catawba County Department of Social Services	Public	CAA	Catawba County	N/A
Central Piedmont Community Action, Inc.	Nonprofit	CAA	Chatham, Durham, Orange and Randolph Counties	N/A

CSBG Eligible Entity	Public or Nonprofit	Type of Agency	Geographical Area Served	Brief Description of "Other"
Charlotte Area Fund	Nonprofit	CAA	Mecklenburg County	N/A
Choanoke Area Development Association, Inc.	Nonprofit	CAA	Bertie, Halifax, Hertford, Northampton and Martin Counties	N/A
Coastal Community Action, Inc.	Nonprofit	CAA	Carteret, Craven, Jones and Pamlico Counties	N/A
Community Action Opportunities, Inc.	Nonprofit	CAA	Buncombe, Madison and McDowell Counties	N/A
Davidson County Community Action, Inc.	Nonprofit	CAA	Davidson County	N/A
Eastern Carolina Human Services Agency, Inc.	Nonprofit	CAA	Duplin, New Hanover and Onslow Counties	N/A
Economic Improvement Council, Inc.	Nonprofit	CAA	Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties	N/A
Experiment in Self-Reliance, Inc.	Nonprofit	CAA	Forsyth County	N/A

CSBG Eligible Entity	Public or Nonprofit	Type of Agency	Geographical Area Served	Brief Description of "Other"
Four Square Community Action, Inc.	Nonprofit	CAA	Cherokee, Clay, Graham, and Swain Counties	N/A
Franklin-Vance-Warren Opportunity, Inc.	Nonprofit	CAA	Franklin, Granville, Vance and Warren Counties	N/A
Gaston Community Action, Inc.	Nonprofit	CAA	Cleveland, Gaston, Lincoln and Stanly Counties	N/A
Greene Lamp, Inc.	Nonprofit	CAA	Beaufort, Greene, Lenoir and Pitt Counties	N/A
ICARE, Inc.	Nonprofit	CAA	Alexander and Iredell and Counties	N/A
Johnston-Lee-Harnett Community Action, Inc.	Nonprofit	CAA	Johnston, Lee and Harnett Counties	N/A
Macon Program for Progress	Nonprofit	CAA	Macon County	N/A
Mountain Projects, Inc.	Nonprofit	CAA	Haywood and Jackson Counties	N/A
Nash-Edgecombe Economic Development, Inc.	Nonprofit	CAA	Edgecombe, Nash, and Wilson Counties	N/A
Passage Home	Nonprofit	CAA	Wake County	N/A

CSBG Eligible Entity	Public or Nonprofit	Type of Agency	Geographical Area Served	Brief Description of "Other"
Salisbury-Rowan Community Action Agency, Inc.	Nonprofit	CAA	Cabarrus and Rowan Counties	N/A
Sandhills Community Action Program, Inc.	Nonprofit	CAA	Anson, Montgomery, Moore and Richmond Counties	N/A
Southeastern Community & Family Services, Inc.	Nonprofit	CAA	Bladen, Brunswick, Hoke, Robeson, Columbus, Pender, and Scotland Counties	N/A
Telamon Corporation	Nonprofit	CAA	Caswell, Person and Rockingham	N/A
Union County Community Action, Inc.	Nonprofit	CAA	Union County	N/A
WAMY Community Action, Inc.	Nonprofit	CAA	Watauga, Avery, Mitchell, and Yancey Counties	N/A
Wayne Action Group for Economic Solvency, Inc.	Nonprofit	CAA	Wayne County	N/A

CSBG Eligible Entity	Public or Nonprofit	Type of Agency	Geographical Area Served	Brief Description of "Other"
Welfare Reform Liaison Project, Inc.	Nonprofit	CAA	Guilford County	N/A
Western Carolina Community Action, Inc.	Nonprofit	CAA	Henderson, Transylvania and Polk Counties	N/A
Yadkin Valley Economic Development District, Inc.	Nonprofit	CAA	Davie, Stokes, Surry, and Yadkin Counties	N/A

5.2. Total number of CSBG eligible entities: 34

5.3. **Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes. Yes No

Martin County Community Action is no longer a designated eligible entity. The three counties (Beaufort, Pitt and Martin) previously designated to this entity are now designated to Green Lamp, Inc (Beaufort and Pitt Counties) and Choanoke Area Development Association, Inc (Martin County).

SECTION 6

Organizational Standards for Eligible Entities

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

6.1. Choice of Standards: Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

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

The State will use an alternative set of organizational standards

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes

No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale. **N/A**

6.3. How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary.

Regulation

Policy

Contracts with eligible entities

Other, describe: North Carolina released a Guidance Memorandum November 20, 2015 related to Organizational Standards. Guidance Memorandum serve as official communication from the Office of Economic Opportunity.

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?

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

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

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.4a. Describe the assessment process.

The State will use the CSBG Organizational Standards Center of Excellence organizational standards and self-assessment documents released by the Community Action Partnership. Remote and onsite assessments will require eligible entities to complete a self-assessments supported with documentation to confirm what is reported. State staff and/ or a State-authorized third party will review the self-assessment with support documentation and agree or disagree with the self-assessment. In areas that eligible entities and State staff and/ or a State-authorized third party disagree, opportunity for additional document review and clarification will be provided. In areas determined as not met, State staff and/ or a State-authorized third party will work with eligible entities in meeting the technical assistance plan and quality improvement plan requirements put forth in IM-138. Assessments for eligible entities will be completed on an annual basis and the number of organizational standards not met as well as eligible entities moving from not met to meet will be tracked. A Guidance Memorandum related to organizational standards was released as official communication and support to eligible entities in North Carolina. The State Office will continue to seek and incorporate the feedback of eligible entities and the North Carolina Community Action Association surrounding the assessment and utilization of the organizational standards in effort of assuring it serves to strengthen the overall performance management framework of CSBG in North Carolina. Lastly, the State Office will continue to collaborate with the North Carolina Community Action Association in targeted areas to provide quality technical assistance and guidance pertaining to the organizational standards.



6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

Yes

No

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. N/A

6.6. **Performance Target:** What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? 24%

DRAFT

SECTION 7 State Use of Funds

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

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

Base + Formula

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

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

Planned CSBG 90 Percent Funds		
CSBG Eligible Entity	Year One (SFY 2018-19)	Year Two (SFY 2019-20)
	Funding Amount	Funding Amount
Action Pathways, Inc.	\$867,001*	\$751,535
Alamance County Community Services Agency, Inc.	\$263,212	\$300,182
Blue Ridge Community Action, Inc.	\$366,453*	\$412,351
Blue Ridge Opportunity Commission, Inc.	\$212,053*	\$211,344
Catawba County Department of Social Services	\$222,191*	\$238,273
Central Piedmont Community Action	\$1,040,606*	\$1,028,304
Charlotte Area Fund	\$1,740,232*	\$1,506,058
Choanoke Area Development Association, Inc.	\$318,303	\$363,012
Coastal Community Action, Inc.	\$282,548*	\$289,783

Planned CSBG 90 Percent Funds		
Community Action Opportunities, Inc.	\$495,760*	\$514,452
Davidson County Community Action, Inc.	\$215,747*	\$237,518
Eastern Carolina Human Services Agency, Inc.	\$787,826*	\$806,374
Economic Improvement Council, Inc.	\$248,297*	\$271,062
Experiment in Self-Reliance, Inc.	\$683,378*	\$671,567
Four Square Community Action, Inc.	\$124,760*	\$120,000
Franklin-Vance-Warren Opportunity, Inc.	\$403,323*	\$359,290
Gaston Community Action, Inc.	\$710,504*	\$783,622
Greene Lamp, Inc.	\$723,217*	\$732,070
ICARE, Inc.	\$267,753	\$305,361
Johnston-Lee-Harnett Community Action, Inc.	\$538,380*	\$578,253
Macon Program for Progress	\$127,246*	\$120,000
Mountain Projects, Inc.	\$238,284*	\$214,681
Nash-Edgecombe Economic Development, Inc.	\$429,139	\$489,415
Passage Home	\$1,008,823	\$1,150,520
Salisbury-Rowan Community Action Agency, Inc.	\$579,181*	\$459,592
Sandhills Community Action Program, Inc.	\$337,595*	\$373,380
Southeastern Community & Family Services, Inc.	\$1,016,600*	\$1,104,375
Telamon Corporation	\$374,375*	\$282,919
Union County Community Action, Inc.	\$261,121*	\$221,185
WAMY Community Action, Inc.	\$322,809*	\$318,826
Wayne Action Group for Economic Solvency, Inc.	\$221,399*	\$230,179

Planned CSBG 90 Percent Funds		
Welfare Reform Liaison Project, Inc.	\$857,308*	\$814,396
Western Carolina Community Action, Inc.	\$201,658	\$229,982
Yadkin Valley Economic Development District, Inc.	\$325,196*	\$322,417
Total	\$16,812,278	\$16,812,278
*Note: Year One/ SFY 2018-19 allocations include anticipated agency specific carry-forward funding.		

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 the federal legislation, NC ensures that 90 percent of funds are made available to eligible entities through the Department of Health and Human Services contract process (90-120 days). The state outlines the requirement in its annual Community Services Block Grant Management Plan used for submission to the State’s Budget Bill for legislative approval (90-120 days) and the requirement is specified in 10A NCAC 97C .0108 ALLOCATION OF CSBG FUNDS.

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

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption. While North Carolina does not make new funding available within 30 days after receipt of the federal award, there is no break in funding. No break in funding is supported through first in first out draw down and expenditure method in conjunction with issuing contracts on the state fiscal year calendar as opposed to the federal fiscal year calendar.

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

- The process for obligating carry-forward funds within two successive Federal Fiscal Years has been adjusted to increase contracting efficiency, support eligible entity planning and increase the ability of agencies to spend 100% of available resources.
- Application processes and tools will continue to be reviewed with the goal of decreasing errors and increasing efficiencies of the contracting process.

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

- 7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. 5%
- 7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 10
- 7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 10

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

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

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

Reference table on the following page

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One (SFY 2018-19)		Year Two (SFY 2019-20)		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
a. Training/technical assistance to eligible entities	\$233,504	25%	\$280,205	30%	Training/ Technical Assistance will focus on strengthening agency capacity, mitigating risk and compliance with organizational standards and accountability measures outlined in the Performance Management Framework
b. Coordination of State-operated programs and/or local programs					
c. Statewide coordination and communication among eligible entities	\$233,504	25%	\$373,605	40%	Funding will support outcome tracking and performance reporting at the local and state levels.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$74,721	8%			The distribution method for the 5% discretionary and 90% eligible entity funding will be examined in conjunction with this assessment to inform funding methodology for maximizing allocations for poverty reduction.
e. Asset-building programs					

f. Innovative programs/ activities by CAAs or other neighborhood groups (may include fatherhood and strengthening families initiatives)			\$280,205	30%	The assessment of needs completed in Year 1 in conjunction with national performance management efforts and other relevant sources will be utilized to identify target areas for funding
g. State charity tax credits					
h. Other activities, specify: Limited Purpose Agencies (Affordable Housing Group of NC, NC Commission on Indian Affairs, Telamon Corporation, Western Economic Development Organization	\$392,286	42%			Four Limited Purpose Agencies operating projects for a specific target population or specific program area will be funded with 42% of the discretionary allocation. The projects will target: American Indians, Workforce Preparation for ESOL population, Housing and Education. The North Carolina Administrative Code currently specifies this use for discretionary funding.
	\$934,015	100%	\$934,015	100%	
Note: all funding proposed above is dependent upon pending proposed changes within the NC Administrative Code.					

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.

Pending proposed changes to the North Carolina Administrative Code, discretionary funding will be awarded through a Request for Application process. As such, while all the organizations checked below could potentially receive funding, final awards and contracts will be dependent upon the application and selection process.

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other: Limited Purpose Agencies (non-eligible entity)
- None (the State will carry out activities directly)

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

NC Division of Social Services Office of Economic Opportunity (OEO) is proposing amendments to the NC Administrative Code to support resources being made available consistent with federally authorized purposes. Pending amendment approval, additional resources will be made available for training and technical, statewide coordination and communication among eligible entities, analysis of distribution of CSBG funds and innovative programs/ activities. These are areas that discretionary funding has not previously been utilized for due to the NC Administrative Code requirements.

SECTION 8 State Training and Technical Assistance

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

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

Training and Technical Assistance		
FY Quarter	Training, Technical Assistance, or Both	Category
All quarters	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> • Other: State Office quarterly leadership conference call/ webinar with North Carolina’s Community Action network. Topics are based on need. Purpose is to further strengthen relationships, give the network important guidance, address needs and allow agencies to identify concerns and/or successes. • Reporting: targeted T/TA for quarterly report submissions • ROMA: quarterly performance and expenditure reporting • ROMA: quarterly calls/ webinars for North Carolina’s NCRTs
Ongoing / Multiple Quarters	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> • Organizational Standards – technical assistance for eligible entities with unmet standards • Monitoring
Q1	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> • Reporting: State Office works with eligible entities in cleaning the CSBG-IS/ Annual Report • ROMA: quarterly performance and expenditure reporting
Q2	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> • Community Assessment: CSBG Application • Fiscal: CSBG Application • Organizational Standards – General: CSBG Application
Q3	<ul style="list-style-type: none"> • Both 	<ul style="list-style-type: none"> • Fiscal: NCCAA Annual Conference • Governance/Tripartite Boards: NCCAA Annual Conference • Organizational Standards – General: NCCAA Annual Conference • Communication: NCCAA Annual Conference • ROMA: NCCAA Annual Conference • Technology: NCCAA Annual Conference
Q4		<ul style="list-style-type: none"> • ROMA: year-end performance and expenditure reporting

Training and Technical Assistance		
FY Quarter	Training, Technical Assistance, or Both	Category
Q5	<ul style="list-style-type: none"> Both 	<ul style="list-style-type: none"> Reporting: State Office works with eligible entities in cleaning the CSBG-IS/ Annual Report ROMA: quarterly performance and expenditure reporting
Q6	<ul style="list-style-type: none"> Both 	<ul style="list-style-type: none"> Community Assessment: CSBG Application Fiscal: CSBG Application General: CSBG Application
Q7	<ul style="list-style-type: none"> Both 	<ul style="list-style-type: none"> Fiscal: NCCAA Annual Conference Governance/Tripartite Boards: NCCAA Annual Conference Organizational Standards – General: NCCAA Annual Conference Communication: NCCAA Annual Conference ROMA: NCCAA Annual Conference Technology: NCCAA Annual Conference ROMA: year-end performance and expenditure reporting
Q8		<ul style="list-style-type: none"> ROMA: year-end performance and expenditure reporting

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): Y1: \$233,504/ 25%

Y2: \$280,205/ 30%

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate?

Yes

No

To be included upon submission

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

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

Other community-based organizations

- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other State Office

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

- NC Division of Social Services Office of Economic Opportunity (OEO) is completing the RPIC Combined Training and Technical Assistance Plan Template provided as part of the Organizational Standards Center of Excellence (OSCOE)
- Assessment of the NC CSBG Networks needs may include: 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
- Pending NC Administrative Rule amendments, a portion of discretionary funding is being proposed for training and technical assistance to strengthen areas associated with the Performance Management Initiative
- Training and Technical assistance to support increased number of eligible entities meeting 100% of the Organizational Standards is a priority

SECTION 9 State Linkages and Communication

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

- 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

The State's CSBG Program is housed within the NC Department of Health and Human Services Division of Social Services Office of Economic Opportunity. It should be noted that Division also houses Child Support Enforcement, TANF (Workfirst), LIHEAP, Refugee Assistance, Food & Nutrition and other programs/services akin to scope of work for CSBG. As an area of special focus, CSBG will be working in collaboration with the redesign of the TANF program and the Department of Commerce's WIOA program through the Administration for Children and Families, Office of Family Assistance Systems to Family Stability National Policy Academy for the purpose of creating job-driven training approaches to build career pathways to obtain and maintain promising employment opportunities for low-income families.

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the

effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

Each CSBG eligible entity collaborates and coordinates services at the local level based upon 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 examples of common strategies for linkages and coordination created or maintained to increase CSBG services and avoid duplication include participation on local human service councils where representatives from human service agencies meet regularly to identify solutions to specific problems being experienced by low-income families, referrals with service providers addressing issues associated with poverty and collaborations with 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. An increased effort will be placed on areas of 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 which is housed within the same organizational and physical location as CSBG.



9.3. Eligible Entity Linkages and Coordination

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

The State Office provides ongoing communication to leadership within the North Carolina Community Action network through quarterly leadership webinars, North Carolina Community Action Association Council of Executive Director meetings and presentations on targeted areas. Additionally, 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.

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.

Each CSBG eligible entity develops linkages to fill identified gaps in the services, through the provision of 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 annual application process, each eligible entity completes a community needs assessment which informs targeting resources to fill identified gaps and avoid duplication of services. While each eligible entity is unique in its approach, the provision of services through a self-sufficiency case-management model which includes assessment, direct services, referrals and follow-up with each enrolled family is a common approach among eligible entities. Additionally, eligible entities collaborate with local public agencies, businesses, faith-based organizations, civic organizations and other non-profit organizations as a method to develop linkages to fill identified gaps and avoid duplication of services.

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)?

No

Yes

9.4a If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. Upon defining expectations of CSBG being a required partner as outlined in the WIOA, North Carolina will engage in policy and practice initiatives on the state level to support employment training and one-stop career center service coordination at the local level.

9.4b. If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. N/A

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).

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. Application National Performance Indicators within the CSBG Annual Report and the state required outcome “the number of participant families provided emergency assistance” serve as information sources for the State to indicate emergency crisis services provided or referred by eligible entities.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

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. 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, the

importance of the mission and established goals of agencies is a common 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.

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

Each CSBG eligible entity coordinates CSBG funds with other public and private resources 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. The public and private sectors of the tripartite boards serve as an important mechanism for the coordination of CSBG funds across these resources. While each eligible entity is unique in its approach, some examples of coordinating CSBG funds with other public and private resources include: coordination and collaboration with local Division of Social Services, Workforce Innovation and Opportunity Act providers, community colleges, local businesses, faith-based organizations, civic organizations, and other non-profit organizations. Module 2 of the CSBG Annual Report serve as information sources for the State to indicate public/ private resources mobilized by eligible entities as well as partnerships with such entities.

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

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The State Office provides ongoing communication to leadership within the North Carolina Community Action network through quarterly leadership webinars, North Carolina Community Action Association Council of Executive Director meetings and presentations on targeted areas. Additionally, the North Carolina Community Action Agency 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.

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

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

Topic	Expected Frequency	Format	Brief Description of "Other"
Announcement for the public review and comment period.	Semi-Annually	Meetings/Presentation Website Email Other	Newspapers
NC Community Action Association Annual Conference	Annually	Meetings/Presentation	N/A
NC Office of Economic Opportunity Leadership calls	Quarterly	Meetings/Presentation	N/A
NC Office of Economic Opportunity quarterly performance and expenditure letters	Quarterly	Other	Office of Economic quarterly performance and expenditure letters.
NC Office of Economic Opportunity Director monthly update emails to the network Executive Directors	Monthly	E-mail	N/A
NC Office of Economic Opportunity staff present at the North Carolina Community Action Association's	Quarterly	Meetings/Presentation	N/A

Topic	Expected Frequency	Format	Brief Description of "Other"
Council of Executive Director meetings.			
NC Office of Economic Opportunity staff communicate as needed with assigned agencies related to compliance, efficiency and effectiveness.	Other	Other	E-mails, letters, conference calls and/ or in-person visits are completed on an as needed basis
Webinar and/ or conference calls	Other	Meetings/Presentation	The State Office will provide, coordinate and/or support webinars and conference calls on an as needed bases for areas relating to compliance, training and technical assistance.
NC Office of Economic Opportunity provide guidance with formal communication in Guidance Memorandums	Other	Other	Guidance Memoranda are released as needed
NC Office of Economic Opportunity posts information to the website as needed.	Other	Website	As needed

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

The 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 State's 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.

DRAFT

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

- NC Division of Social Services Office of Economic Opportunity (OEO) is planning to increase remote and regional training opportunities for eligibility entities
- NC Division of Social Services Office of Economic Opportunity (OEO) is planning to increase the efficiency/ timeliness of written communications
- NC Division of Social Services Office of Economic Opportunity (OEO) is planning to strengthen collaborative efforts and communication with the NC Community Action Association surrounding eligible entity performance
- NC Division of Social Services Office of Economic Opportunity (OEO) will continue to have representation on the NC Performance Management Workgroup to support adjustments to communication where applicable

DRAFT

SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)
Action Pathways, Inc.	Triennial	FY2 Q3 04/01/19-06/30/19	6/14-17/2016
Alamance County Community Services Agency, Inc.	Triennial	FY1 Q1 10/1/17-12/31/17	9/15-17/2014
Blue Ridge Community Action, Inc.	No review		10/24-27/2016
Blue Ridge Opportunity Commission, Inc.	Triennial	FY2 Q2 01/01/19-03/30/19	3/8-9/2016
Catawba County Department of Social Services	Triennial	FY2 Q3 04/01/19-06/30/19	5/4-5/2016
Central Piedmont Community Action	Triennial	FY2 Q4 07/01/19-09/30/19	08/01-05/2016

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)
Charlotte Area Fund	Triennial	FY2 Q4 7/01/19-09/30/19	8/9-10/2016
Choanoke Area Development Association, Inc.	Triennial	FY2 Q3 04/01/19-06/30/19	6/21-24/2016
Coastal Community Action, Inc.	Triennial	FY1 Q2 01/01/18-03/30/18	1/5-7/2015
Community Action Opportunities, Inc.	Triennial	FY2 Q3 04/01/19-06/30/19	6/27-30/2016
Davidson County Community Action, Inc.	Triennial	FY1 Q1 10/1/17-12/31/17	11/3-5/2014
Eastern Carolina Human Services Agency, Inc.	Triennial	FY1 Q3 04/01/18-06/30/18	6/1-5/2015
Economic Improvement Council, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	8/3- 8/6/2016
Experiment in Self-Reliance, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	7/18-21/2016
Four Square Community Action, Inc.	No review		12/7-9/2016

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)
Franklin-Vance-Warren Opportunity, Inc.	Triennial	FY2 Q1 10/1/18-12/31/18	12/14-16/2015
Gaston Community Action, Inc.	Triennial	FY1 Q1 10/1/17-12/31/17	4/22-24/2014
Greene Lamp, Inc.	Triennial	FY1 Q4 7/01/18-09/30/18	8/17-20/2015
ICARE, Inc.	Triennial	FY2 Q2 01/01/19-03/30/19	2/2-4/2016
Johnston Lee Harnett Community Action	Triennial	FY2 Q3 04/01/19-06/30/19	5/24-27/2016
Macon Program for Progress	Triennial	FY2 Q3 04/01/19-06/30/19	6/6-9/2016
Mountain Projects, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	8/15-18/2016
Nash-Edgecombe Economic Development, Inc.	Triennial	FY2 Q3 04/01/19-06/30/19	3/03-05/2016
Passage Home	Triennial	FY1 Q1 10/1/17-12/31/17	3/31/2014-4/4/2014
Salisbury-Rowan Community Action Agency, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	8/23-26/2016

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)
Sandhills Community Action Program, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	9/12-15/2016
Southeastern Community & Family Services, Inc.	Follow-up	FY1 Q1 10/1/17-12/31/17	8/16-19/2016
Telamon Corporation	New entity/ Triennial	FY1 Q1 10/1/17-12/31/17	
Union County Community Action, Inc.	Triennial	FY1 Q2 01/01/18-03/30/18	3/10-13/2015
WAMY Community Action, Inc.	Triennial	FY1 Q2 01/01/18-03/30/18	1/26-29/2015
Wayne Action Group for Economic Solvency, Inc.	Triennial	FY2 Q3 04/01/19-06/30/19	4/28 - 5/2/2016
Welfare Reform Liaison Project, Inc.	Triennial	FY1 Q1 10/1/17-12/31/17	5/12-15/2014
Western Carolina Community Action, Inc.	Triennial	FY2 Q4 7/01/19-09/30/19	7/12-15/2016
Yadkin Valley Economic Development District, Inc.	Triennial	FY1 Q1 10/1/17-12/31/17	12/8-11/2014

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

<https://www2.ncdhhs.gov/dss/Monitoring/>

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? 90

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

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

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. North Carolina is currently in the process of revamping its comprehensive monitoring plan to strengthen recently defined expectations as a result of National Performance Management framework. While the monitoring protocol for closure of findings is not yet included in the published monitoring plan, a corrective action process has been implemented for years. This process involves the incorporation of standardized Corrective Action Worksheets (CAW) which accompany any monitoring report with identified findings which identifies the finding, cause of the finding, required action and details the actions/steps to be taken to correct the finding, 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 that additional documentation and/or action is needed or that the agency has addressed the finding, the finding is closed and no additional action is necessary. While the Board may have a role in the Corrective Action process, the completion of the CAW is handled at the Executive Director level of the agency.

In North Carolina, 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 and/or corrective actions do not result in Quality Improvement Plans (QIPs). Quality Improvement Plans are to be initiated when an eligible entity's 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. Unlike the CAW, the QIP will require Board and Executive Level Staff engagement and acknowledgement along with a minimum of monthly technical assistance contact by phone, email, document submission/reporting and/or in person or onsite visits. Should the agency fail to address the deficiencies outlined in the QIP, the State will follow IM 116.

10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans? 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?

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: Does the State assure, according to Section 676(b)(8), that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)."

Yes



No

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

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?

Yes



No

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

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 10A - Health and>

[Human Services\Chapter 97 - Economic Opportunity](#) and have been attached to the OLDC System.

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

Yes No

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

When de-designation becomes necessary, the State references Title 10A North Carolina Administrative Code 97C Section .1300 "Grant Recipient Compliance Liability: Suspension: Termination." In addition, the State notifies the Office of Community Services on the necessary action, follows 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.

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

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

North Carolina does not re-designate an existing eligible entity. If an eligible entity is de-designated, then it ceases to be the provider for CSBG services and the grant agreement is terminated as outlined in Title 10A North Carolina Administrative Code 97C .1302. While its return as a new eligible entity is unlikely, it could only be the result of requirements for designation of new eligible entities as specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106.

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. (It should be noted that this office is currently undergoing significant restructuring and as such, responsibilities and sections are subject to change.) 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. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number.

Issuing single audit management decisions for eligible entities is a function of the Department of Health and Human Services Office of the Controller Audit, Monitoring and Resolution Branch’s (ARM) review of audit reports. It should be noted in North Carolina that:

- 1) Required reports and audits of agencies are submitted by the eligible entity into the online grants reporting system at www.ncgrants.gov as administered by the Office of State Budget and Management (OSBM).
 - a. Within ten (10) business days of submission of the audit into the online www.NCGrants.gov system, the ARM conducts a desk review of the audit to determine if it was conducted in accordance with the required audit standards.
 - b. If an audit does not meet the required standards, the ARM will reject the submitted report within the www.ncgrants.gov system. ARM will

prepare and issue an email noting the rejection of the audit and listing the required standards that were not met.

- c. The entity is allowed no more than 90 calendar days from the date the email is received to submit a revised audit report that meets the required standards.
- d. If the audit meets all other standards, but is missing a required corrective action plan, the ARM drafts and issues an email to the Grantee Contact of the nongovernmental entity, as noted in the www.NCGrants.gov system, requesting a corrective action plan. This email allows the nongovernmental entity three (3) weeks from the date of the email to provide a corrective action plan.

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 www.NCGrants.gov system automatically includes the organization on the “Warning List” which identifies Grantee Legal Name, Tax ID, Grantee Fiscal Year End, Grantee Contact Name, Phone Number and Email Address, Granting Agency for the particular noncompliant report, Grant Title, Grant Number, Contract Number, Date of Noncompliance and Date Suspension of Funds will become effective. ARM will run and review the “Warning List” on a monthly basis and notify all DHHS grantee entities included on the list of their noncompliance and reiterate reporting requirements via electronic mail. If an entity remains noncompliant as identified on the “Warning List” for 60 days, the entity is automatically rolled onto the OSBM “Suspension of Funding” list (SOFL) with suspension of funding effective immediately. 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: Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? Yes No

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

- NC Division of Social Services Office of Economic Opportunity (OEO) is planning to increase the efficiency/ timeliness of written communications for monitoring
- NC Division of Social Services Office of Economic Opportunity (OEO) is planning to revamp its comprehensive monitoring plan to strengthen recently defined expectations as a result of National Performance Management framework. NC Division of Social

Services Office of Economic Opportunity (OEO) will work with NC eligible entities and the NC Community Action Association as appropriate with development and roll-out of changes with the monitoring procedures.

DRAFT

SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act?

- Attend Board meetings
- Review copies of Board meeting minutes

- Track Board vacancies/composition

- 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. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards?

- Annually
- Semiannually
- Quarterly
- Monthly
- Other Board member profile sheets are required to be submitted to the Office as new

members are seated.

11.3. Assurance on Eligible Entity Tripartite Board Representation: Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

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 entities 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. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act.

Yes No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. An advisory council meeting the tripartite requirements applicable to eligible entities is used as an alternative.

DRAFT

Section 12

Individual and Community Income Eligibility Requirements

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

- 125% of the HHS poverty line
- X % of the HHS poverty line (fill in the threshold):100%
- Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Eligibility requirements for CSBG are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0107 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. In addition, Guidance Memorandum 2012-2 provides additional information and is available at https://www2.ncdhhs.gov/oeo/csbg/2012/gm_2012-2.pdf

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

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

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 100% 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

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

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

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

13.1a. If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The North Carolina State Office 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. If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement. N/A

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

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.

- CSBG National Performance Indicators (NPIs)
- NPIs and others

- Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

North Carolina has 30 National Certified ROMA Trainers (1 within the State Office and 3 within the Association). 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 and serving on the National DATA Task Force.

13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery?

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 underlying 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. 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.

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. These 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. The annual application for CSBG funding is made available on the State Office website <http://www.ncdhhs.gov/oeo/>

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

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.

DRAFT

SECTION 14

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

Through the annual CSBG 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 CSBG eligible entity determines the use of CSBG funds at the local level based upon the needs and resources in their respective service areas. North Carolina outlines 8 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. 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 most 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 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.

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;

Eligible entities may opt to address the needs of youth in low-income communities based on

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 how eligible entities achieve this include administering or partnering programs such as WIA Youth, Head Start, afterschool, childcare and teen pregnancy. Additionally, programs and partnerships surrounding youth include efforts such as risk prevention, crime prevention, skill development, education and nutrition.

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.”

Please reference items 7.9 and 7.10. No response is required for this item in the Online Date Collection System (ODLC).

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...”

Eligible Entity Service Delivery System

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

The CSBG Program service delivery system is currently composed of 34 eligible entities, and 4 Limited Purpose Agencies. There are 33 private non-profit eligible entities and one public agency. The 4 LPAs are funded with the discretionary allocation only and provide services to a specific population or service category. Note, Telamon Corporation receives discretionary funding as an LPA and as a designated eligible entity.

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 demonstrate 1) CSBG’s effectiveness in moving families from poverty based on 100% 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. Although this is currently the preferred approach in North Carolina, it should be noted that in addition to Self-Sufficiency, North Carolina’s sub-grantee agencies have the flexibility to administer Employment, Housing, Education, Nutrition, Emergency Assistance, Information and Referral and Income Management projects with CSBG funding.

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 follow-up consultations.”

Please reference item 9.3b. No response is required for this item in the Online Date Collection System (ODLC).

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

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

Please reference item 9.7. No response is required for this item in the Online Date Collection System (ODLC).

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

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

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

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. 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.”

Please reference items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b. No response is required for this item in the Online Data Collection System (ODLC).

State Coordination/Linkages and Low-income Home Energy Assistance

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

Please reference items 9.2 and 9.5. No response is required for this item in the Online Data Collection System (ODLC).

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.”

Please reference item 10.13. No response is required for this item in the Online Date Collection System (ODLC).

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).”

Please reference item 10.7. No response is required for this item in the Online Date Collection System (ODLC).

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.”

Please reference item 9.6. No response is required for this item in the Online Date Collection System (ODLC).

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.”

Please reference item 11.3. No response is required for this item in the Online Date Collection System (ODLC).

Eligible Entity Community Action Plans and Community Needs Assessments

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

Please reference items 13.5 and 13.6. No response is required for this item in the Online Data Collection System (ODLC).

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

Please reference items 13.1, 13.2, 13.3, and 13.4. No response is required for this item in the Online Data Collection System (ODLC).

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.”

No response is required for this item in the Online Data Collection System (ODLC) as the State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan.

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

SECTION 15 Federal Certifications

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

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in

accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

15.2 Drug-Free Workplace Requirements

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

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

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and

- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

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

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

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

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective

primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier

participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

15.4 Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of 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.

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