

Draft



Department of Commerce

Innovation is in our nature.

Washington State Plan

Community Services Block Grant (CSBG)
For Federal Fiscal Years
2015 and 2016

Prepared by

Washington State
Department of Commerce
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Dan McConnon, Deputy Director

**State CSBG Administrators
Community Services Block Grant Program**

State:

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I. Federal Fiscal Years Covered by this State Plan and Application

The Washington plan and application covers FFY 2015 and FFY 2016.

II. Letter of Transmittal

A letter of transmittal addressed to the Director, Office of Community Services, is submitted with the Washington State Plan. It includes a contact person on issues related to Community Services Block Grant (CSBG) and the designated official who is to receive the CSBG Grant Award.

III. Executive Summary

A. *CSBG State Legislation*

Under the Omnibus Budget Reconciliation Act of 1981, the state of Washington accepted the Community Services Block Grant (CSBG) for the purpose of making a measurable impact on the causes and effects of poverty in our communities according to local assessments, plans and priorities. The Department of Commerce (Commerce) is responsible for planning and implementing the CSBG in accordance with the Revised Code of Washington 43.63A.115.

Commerce developed a two-year plan for the distribution and use of CSBG funds in consultation with representatives of local Community Action Agencies (CAA) and according to the provisions of Title II – Community Services Block Grant, Sec.201, reauthorization of the Community Services Block Grant Act (42 U.S.C 9901 et seq.).

The Washington State Legislature appropriated \$2,223,850.00 in State General Funds for the biennium 2014/2015.

B. *Designation of Lead State Agency to Administer the CSBG Program*

Commerce has been designated by the State legislature to act as the lead agency for the administration of CSBG and Low Income Home Energy Assistance Program (LIHEAP). Governor Inslee has designated the Commerce Deputy Director as her representative in all matters related to CSBG and LIHEAP. A copy of this designation is in Appendix A-1.

C. *Public Hearing Requirements*

1. **Public Hearing**

A public hearing was held July 31, 2014. An Interested Parties letter was sent to all CAA Executive Directors on June 26th and a notice and invitation for comment published in the Washington State Register, a statewide biweekly publication distributed on the first Wednesday of each month.

2. **Legislative Hearing**

A legislative hearing was held with the [House Community Development, Housing & Tribal Affairs Cmte.](#) on Wednesday January 16th 2013, 8:00AM Work Session: Update on the Department of Commerce's community development activities and related issues., Briefing on the Department of Commerce's Community Services Block Grant Program State Model Plan.

3. Public Inspection of State Plan

The Draft plan was made available for public inspection by posting it on the Department of Commerce website July 1, 2014. Notice and invitation for comment were published in the [Washington State Register](#) and in the Interested Parties letter. The plan was open for comment July 1-July 31, 2014.

IV. Statement of Federal and CSBG Assurances

As part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act –

A. Programmatic Assurances

- (1) Funds made available through this 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency 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) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) 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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(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 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 after-school child care programs; and

(c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). ['676(b)(1)]

(2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; ['676(b)(2)]

(3) To provide information provided by eligible entities in the State, including:

(a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;

(b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;

(c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,

(d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]

(4) To ensure 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.['676(b)(4)]

(5) That the State and the 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 to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; ['676(b)(5)]

(6) To 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 communities.['676(b)(6)]

(7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]

(8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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) of the Act.['676(b)(8)]

(9) 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. ['676(b)(9)]

(10) To 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. ['676(b)(10)]

(11) To secure from each eligible entity in the State, as a condition to receipt of funding, 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; ['676(b)(11)]

(12) 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) of the Act. ['676(b)(12)]

(13) To provide information describing how the State will carry out these assurances. ['676(b)(13)] (This is the Narrative CSBG State Plan)

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

(1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]

(2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]

(3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C (a)(3)]

(4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]

(5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]

(6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State plan. ['676(a)(2)(B)]

(7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State community services block grant program activities. [676(a)(1)]

(8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. [676(a)(3)]

(9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [676(e)(2)]

(10) To conduct the following reviews of eligible entities:

(a) full onsite review of each such entity at least once during each three-year period;

(b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;]

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [678B(a)]

(11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

(a) inform the entity of the deficiency to be corrected;

(b) require the entity to correct the deficiency;

(c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;

(d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;

(e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [678(C)(a)]

(12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.

(13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [678D(a)(3)]

(14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [678E(a)(1)].

(15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.

(16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.

(17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [678F(b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678F(c)]

(19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or

applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [679]

C. Other Administrative Certifications

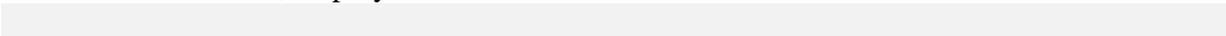
The State also certifies the following:

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.

(2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Dan McConnon, Deputy Director



V. The Narrative State Plan

A. *Administrative Structure*

(1) State Administrative Agency

(a) The mission of the Department of Commerce:

Grow and improve jobs in Washington State by championing thriving communities, a prosperous economy, and sustainable infrastructure.

Our Values:

- Collaboration
- Quality
- Leadership
- Meaningful Results
- Passion

Our Goals:

- Entrepreneurial Culture
- Conscientious Stewardship
- Strong Partnerships
- Reliable & Sustainable Infrastructure
- Vibrant Communities
- Growing Economies

(b) The Community Economic Opportunities Unit takes a comprehensive approach to managing the CSBG by risk analysis, monitoring, policy development, contracts and grants, reports, training, technical assistance and recognition of excellence in community action agencies. We examine systems for financial management, strategic planning and evaluation, program and service delivery, human resource management, partnerships/linkages/community relations, leadership and governance, and performance results.

(2) Eligible Entities

(a) Thirty entities are eligible for CSBG funds under the CSBG Act—29 multi-purpose. Community Action Agencies (CAAs) and one Limited Purpose Agency (city of Seattle, Seattle Conservation Corps.) Two CAAs are migrant and seasonal farm worker organizations. All of the 39 counties and all of the major urban areas of the state are covered by the CAA network.

(b) The list of eligible entities and their service areas is found in Appendix B-1

(3) Distribution and Allocation of Funds

- (a) Planned Distribution of Funds for 2015 and 2016
- i. Ninety percent of the CSBG funds appropriated to Washington State will be passed through to the 30 eligible entities.
 - ii. Five percent of the block grant will be used by Commerce for administration to support agency indirect and 5FTEs that work full or part time with the block grant.
 - iii. Five percent of the block grant is a discretionary fund
 - iv. Up to \$310,000 of the discretionary fund will be contracted to the Washington State Community Action Partnership (WSCAP) for training, technical assistance, strategic planning, Family Development certification, and internal and external communication for the community action network.
 - v. The remainder of the fund, if any, will support innovative projects, capacity building, and requests for additional technical assistance, training, technology upgrades, asset development, the Earned Income Tax Credit Campaign, and responses to emergencies that adversely impact individuals with low incomes or the communities where they live.
 - vi. Planned distribution of State Funds: Funds have been appropriated for fiscal year 2015; it is unsure whether the Washington State Legislature will appropriate any State General Funds during the 2016 fiscal year. The Legislature has awarded funds off and on over the past decade. In the event State General Funds are appropriated to supplement federal CSBG funds, approximately ninety percent of the State General Funds will be contracted to eligible entities according to the CSBG formula. Five percent will be used to support administrative costs and five percent will be used for discretionary purposes.

B. Description of Criteria and Distribution Formula

The allocation formula for the 2015 and 2016 program years were set forth in an agreement with WSCAP and the Department of Commerce and vetted by the network via an electronic hearing. December 18, 2013.

The Department of Commerce held an electronic hearing on the implementation of the Washington State CSBG network's recommended changes December 18, 2013, through January 16, 2014. The electronic hearing was held in observance of CSBG Information Memorandum No. 116 Corrective Action, Termination, or Reduction of funding: <http://www.acf.hhs.gov/programs/ocs/resource/no-116-corrective-action-termination-or-reduction-of-funding>

Washington State CSBG allocation table changes included reducing the primary base amount from \$120,000 to \$99,600 and updating allocations to reflect 2010 Census Data per the recommendation of the Community Action Network and their Association, the Washington State Community Action Partnership (WSCAP).

Comments to the electronic hearing were received from all 30 eligible entities. All entities agreed that the recommendation for allocation changes was proposed by the entire Community Action network via WSCAP.

Traditionally, funds have been distributed by the formula described below:

1. Commerce will place state and federal CSBG into one funding pool.
2. Commerce will allot \$99,600 to each entity as a base amount for costs of business common to all contractors. There are two exceptions: a partial base of \$30,000 is provided to the Community Action Partnership of Lewiston, Idaho to serve clients in Asotin County, Washington and the city of Seattle is served by five eligible entities who will share five base amounts, or \$79,680 each.
3. A secondary base will be distributed to service areas with more than five percent of the statewide total poverty population by dividing the percent of poverty population over five percent by .05 and multiplying by \$99,600.

C. Description of Distribution and Use of Restricted Funds

CSBG funds and the possible supplemental State funds are available to all 30 eligible entities in the State.

Funds designated for eligible entities are locally used in accordance with data driven local Community Needs Assessments (CNA) done every three years with mid-course updates and CSBG Action Plans submitted to Commerce. Plans describe how CSBG funds fill local gaps and support local priorities and set outcome targets for services funded through the block grant and set targets for services under the 12 National Performance Indicators (NPI's) for CSBG.

COMMERCE CSBG Grants are issued in 21 month cycles. They start in January and end in September of the following year. Therefore the time periods for the grants overlap. Commerce will not reimburse for expenditures from the most recent grant cycle until the prior grant has been closed out. All funds from the prior grant must be expended before COMMERCE will reimburse from the more recent grant.

Commerce does not plan to recapture and redistribute funds.

Appendix B-2 is a table showing the planned distribution of funds for 2014.

D. Description of Distribution and Use of Discretionary Funds

Commerce plans to use discretionary funds made available from the remainder of the grant, as described in Section 675C(b) of the Act, as follows for 2015 and 2016. The amount paid to WSCAP for the period July 1, 2014 through June 30, 2015, was negotiated upon successful completion of their pre-existing contract. Up to \$310,000 for the period July 1, 2014, through June 30, 2015, will be contracted to WSCAP to:

- Provide board training, and Results Oriented Management and Accountability (ROMA) training to CAA staff
- Promote ROMA and support trainer certification process for grantee network
- Contract for training to meet the needs of CAA Executive Directors

- Engage in strategic planning so that CAA Executive Directors have a common agenda for the network
- Seek out and promote community action best practices
- Assist the state with technical assistance targeted at CAAs that are identified as at risk through the State’s risk assessment and monitoring processes
- Strengthen relationships with state agencies that administer public services for low income people
- Establish Disappearing Task Force focused on innovations, rural housing needs, poverty education, IT and data collection
- Organize trainings as identified via CAA input to include OMB Super Circular, Social Enterprises, Implementation of the Affordable Care Act and Marketing/Story Telling with Data.
- Coordinate with the CAA Finance Directors, Human Resource Directors, and Public Relations/Development to strengthen their professional network
- produce media campaigns that educate, advocate and market outcomes, community action success stories and poverty data through newsletters, reports, press/media relations, promotional displays and the WSCAP website
- Produce a quarterly WSCAP Newsletter
- Engage in linkages with NCAP, NCAF, CAPLAW, NASCSP, Low Income Housing Alliance, Food Coalition, Asset Development Coalition, Washington Non Profits, Region 10 Consortium, and Region 10 Theory of Change Effort
- Collaborate with Commerce on implementation of CSBG Organizational Standards
- Advance the “Future of Community Action” project and Theory of Change
- Support participate in National Pilots
- The remainder of the fund, if any, will support innovative projects, capacity building, and requests for additional technical assistance, training, technology upgrades, asset development, the Earned Income Tax Credit Campaign, and responses to emergencies that adversely impact individuals with low incomes or the communities where they live.

E. Description of Use of Administrative Funds

CSBG administrative funds support the costs of space, information technology, agency and division overhead, and the salaries and benefits for three full time and two part time program staff responsible for CSBG operations: contracting, planning, risk assessment, monitoring, data reporting, ROMA implementation, and collaboration with WSCAP, coordination with other State agencies, and problem resolution and technical assistance for the CSBG.

F. State Community Services Program Implementation

(1) Program Overview:

(a) The Service Delivery System

Thirty eligible entities submit assessments and plans to Commerce biannually, with annual supplements, to describe how services for individuals with low incomes are planned, coordinated and delivered in their communities with funds made available through the block grant to alleviate emergencies and build self-sufficiency. Eligible

entities provide a number of services including employment, education, income management, housing, nutrition and health services. All 39 Washington counties receive services through the 30 CAA's.

A list of eligible entities (grantees) and service areas appears in Appendix B-1

(b) Linkages

As part of ROMA's six national goals, CAAs are champions in their communities at developing partnerships and linkages with social service providers and other organizations and institutions in their service areas that allow them to fill identified gaps in services. During the 2013-2014 program years, a total of 7,961 partnerships were developed or maintained in support of CSBG by Washington's CAAs.

Linkages developed by local entities fill identified gaps in services, through the provision of transportation and information and referral services for clients; through community collaboration and planning for resource development; and by acting as agents, mentors or sponsors for small or start-up nonprofit organizations.

Programs operated by CSBG grantees include Head Start, Older Americans Act Programs, Retired Senior Volunteers Program, Emergency Food and Shelter programs, SNAP Outreach and Education, the Low Income Home Energy Assistance Program, Veteran's Assistance Programs, Low Income Weatherization Programs, financial fitness and asset building programs, self-sufficiency and family development programs, youth programs, transportation programs, and more.

CAA's work collaboratively with local, federal, state, and tribal governments, school districts, non-profit organizations, and private corporations to provide essential human services and leverage resources. Some of the national partnerships include: the United Way; Goodwill Industries; Bill & Melinda Gates Foundation; Bonneville Power Administration; Northwest Harvest; Habitat for Humanity; American Association of Retired Persons; and AmeriCorps.

(c) Coordination with Other Public and Private Resources

Funds made available through CSBG are coordinated with various public and private resources. CSBG funds are coordinated with Community Development Block Grant Public Services funds through local governments in non – entitlement areas of the State.

CAAs coordinate in communities through subcontracting with other community and faith-based organizations for an array of services managing approximately

500 sub-contracts each year and almost 1,000 agreements with other organizations.

CAA’s partner with over 7,900 organizations to expand resources and opportunities in order to achieve family and community outcomes. CAAs coordinate with other programs including WorkForce Centers, Emergency Food Programs, Human Service Agencies, Head Start, Low Income Home Energy Assistance and Weatherization Assistance Programs, Healthy Homes, State Transitional Housing and Emergency Shelter Assistance, Prevention, Permanent and Rapid Re-Housing, Community Voice Mail, religious organizations, charitable groups, community organizations and other local resources.

- (d) Innovative Community and Neighborhood-based Initiatives
CAAs use block grant funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG by writing grant proposals, collaborating with other faith-based and community-based organizations, participating in asset development coalitions and activities, mentoring start up service organizations and participating in various local planning efforts.

Examples of current programs being operated by grantees to fulfill CSBG objectives include:

R.U.O.K.-free, daily check in service by telephone for individuals who live alone with medical issues	MSC Learning Institute- Workshop topics have include financial management instruction, what to look for when looking for a long term care facility for a loved one, nutritious cooking on a budget, and resume rescue (resume assistance, both group instruction and one on one critique/help).
Grounds for Opportunity Training Kitchen and Café	Head Start Parent, Family, and Community Engagement Framework
Financial Education and Asset Bldg	Hopesource
Housing First project for chronically homeless	Financial Empowerment Center
CAPtured Treasures – boutique style, gently used brand name clothing store which has become a site for customer service training, for other training entities, and one of the local high schools.	Farmworkers Program
Skagit Families 360: Building upon a successful three-year Circles Initiative pilot project, this innovative volunteer engagement strategy mobilizes the community to help families on their goals to exit poverty	Employment and Training Services

Youth Build Yakima- gives the opportunity to develop leadership skills, build lasting friendships, access career counseling and job or apprenticeship placement.	Foster Care Program
Homeless Child Care	Adult Literacy- designed for English-speaking adults whose ability to read, write and solve basic math is limited
Legal Aid	Wenatchee Community Center
Americorps	Home Care for elders and disabled
Help for Hard Times- staff worked with United Way of Clallam County and United Good Neighbors in Jefferson County to develop several brochures that list community resources for people struggling with job loss or other symptoms of an economy in recession	Senior Nutrition-Congregate and Home-Delivered Nutrition Services
Alcohol and Drug Treatment	Developmental Disabilities
Veteran Relief Fund	Youth Programs
EITC and AARP Tax Services	Energy Education
Long Term Care Ombudsman	The Kids First Children’s Advocacy Center of Stevens County
Darkness to Light’s Stewards of Children, a prevention training program aimed at parents, professionals and volunteers who interact with children, but is open to all	Crime Victims Advocacy
Domestic Violence/Family Support Center	Senior Transportation
Philips Lifeline Medical Service Alert	Ryan White HIV/AIDS Case Management and Services
Supported Employment and Department of Vocational Rehabilitation Services	Medical Transportation

<p>The Job Access Reverse Commute (JARC) provides rides for qualified low income, TANF recipients and individuals with special needs in Grays Harbor and Pacific counties</p>	<p>Representative Payee Services</p>
<p>United Way-Community Emergency Fund</p>	<p>Personal Hygiene Packs</p>
<p>The Coastal Energy Project includes four turbines that produce an estimated 13.5 million kWh of clean energy annually that is sold to the local public utility district. The revenue directly supports CCAP's many needed programs to the low-income families of Grays Harbor and Pacific Counties</p>	<p>Child Care Nutrition- Reimburses licensed/participating family child care providers for the nutritious meals they serve to the children in their care</p>
<p>Early Support for Infants and Toddlers- Serves families with children from birth to three years old who have developmental delays or disabilities in order to maximize each child's development</p>	<p>Financial Literacy and Renter Education</p>
<p>School Supply Bank- Community donations provide school supplies for children who are homeless or in very low-income families</p>	<p>José Marti Child Development Center- Provides bilingual, multicultural curriculum to children ages 1-4</p>
<p>College Readiness- Cultivates low-income Latino youth for higher education and future success by clarifying the requirements for college admission, tutoring students, assisting with school application and scholarship processes, coordinating college visits, and teaching parents how to become involved in the college preparation process.</p>	<p>Seattle Youth Violence Prevention</p>
<p>BEBES Infant Mortality Prevention</p>	<p>Bilingual Legal Clinics</p>

<p>ESL, ABE, GED classes</p>	<p>Family Development- families at risk of homelessness work with a trained Family Development Case Manager; together they focus on identifying strengths, addressing obstacles, and working to set and attain goals</p>
<p>HEART Program for Homeless Children- weekly after-school educational program for children living at MSC's Family Shelter. The program, which incorporates reading, crafts and one-on-one attention from caring adults, offers homeless children support in their education</p>	<p>Clothing Bank</p>
<p>Skill Link- This program is geared to young people, ages 18 to 30, who may or may not have their GED, In partnership with Highline Community College and Seattle-King County Workforce Development Council</p>	<p>Project HANDLE- To bring individuals, families, youth and various community sectors together to seek solutions and implement culturally appropriate responses to reduce chemical dependency, HIV/AIDS, and other public health issues</p>
<p>Working for Housing Stability- offers both employment and housing assistance to unemployed or underemployed individuals and families who are homeless or in imminent danger of losing their housing</p>	<p>Citizenship Services</p>
<p>The Voice Newspaper- provides news and information of interest to low-income individuals</p>	<p>BRIDGE.start: Building Relationships, Integrating Diversity, Guiding Empowerment- School-based case managers work directly with youth in middle schools</p>
<p>Seattle Conservation Corps- trains formerly troubled individuals for viable, living-wage jobs, and the Corps collectively do great work in Seattle parks and for other agencies and employers on a contract basis. Provides homeless adults opportunities to train and work</p>	<p>Anti-Racism Initiative</p>
<p>Penny Harvest- involves, engages and inspires young people to address community needs through philanthropy and service learning</p>	<p>Cooking Matters-offers free cooking classes</p>

Lettuce Link- helps people learn to grow organic produce, and encourages gardeners to donate their gardens' bounty to local food banks	Kinship Caregivers-provides resources and financial assistance to grandparents and other relatives raising children
Investing in Futures- a systems change initiative that bolstered community planning and efforts to address homelessness. As a result of pilot initiative and other federal initiatives, the local Continuum of Care and Investing in Futures partners have joined to form a single governance body to address homeless and alleviate the effects of poverty in Snohomish County.	Hope University- offers classes and referrals for people who want to change the direction of their lives but lack the resources to do so. The program follows a comprehensive family, career, and education-based approach to help students. . The platform now extends beyond classroom instruction to include online courses and one-on-one coaching
Tulips Book Barn Voucher- provide access to reading development to children who may not otherwise be able to afford it	Youth Recreational Scholarship
Rainbow Valley Volunteers-gleaning program	Community Youth Center
Community Action Dental Clinic	Monarch Children’s Justice & Advocacy Center
Women’s Business Center	Parents as Teachers- Provide information, support and encouragement to parents

(2) Community Needs Assessments

The State requires a community action assessment and plan from each eligible entity as a condition of funding. Local CSBG plans may be coordinated with community needs assessments conducted by other organizations or programs. Plans must be produced every three years in writing. As a condition of funding, CAAs must describe the methodology of the needs assessment; the five highest priorities for community services; and how CSBG funds will be used to support the priority needs identified.

(3) Tripartite Boards

The State contract terms and conditions that govern the use of CSBG funds specify that, in accordance with Section 676B of the Act, for a entity to be eligible for the purposes of the CSBG, it must be governed by a tripartite board, whose members are chosen in accordance with democratic selection procedures to assure that not fewer than one-third of its members are representative of low-income individuals and families in the neighborhood served; reside in the neighborhood served; and are able to participate actively in the development, planning, implementation, and evaluation of the program to serve low income communities.

The State requires that a nonprofit agency board have a minimum of nine members and the board of a public CAA have at least six members unless a waiver has been granted. The four eligible entities in the State that are public sector organizations must establish

tripartite advisory boards for purposes of advocacy, planning and priority setting, and evaluation of outcomes according to ROMA principles.

The State performs CSBG compliance monitoring of each CAA on a three year rotational cycle. Commerce staff attend board meetings and review board rosters, at least 12 months of board minutes, board packets and bylaws. A Quality Improvement Plan (QIP) is requested whenever a board is not in compliance with the CSBG Act, which includes the item(s) needing corrective action, the person responsible for that action, and the anticipated date of resolution. The QIP is submitted by the CAA to Commerce for acceptance, and Commerce maintains a log to track the QIPs. The State follows up to be certain corrective action has been taken.

(4) State Charity Tax Program

There is no State charity tax program for public services in effect in Washington State at this time.

(5) Programmatic Assurances

(a) **Assurance '676(b)(1)** Funds made available through the grant allotment will be used:

(1) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable families and individuals to:

- i. remove obstacles and solve problems that block the achievement self-sufficiency (including self-sufficiency 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. secure and retain meaningful employment;
- iii. attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
- iv. make better use of available income;
- v. obtain and maintain adequate housing and a suitable living environment;
- vi. obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
- vii. 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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts

- (2) 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 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 after-school child care programs; and
- (3) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

Implementation of Assurance 676(b)(1)

Grantees submit their application which identifies activities specific to this assurance. Activities eligible for funding consideration include, but are not limited to: intensive case management; employment and training programs along with support services; education initiatives and referrals targeted at chronically unemployed individuals; budget counseling; consumer education; credit counseling; home repair services; weatherization; housing counseling; emergency assistance food, energy, housing, domestic violence services; health including mental, medical and dental; and nutrition counseling.

Programs are provided that support those living in poverty to have greater participation in the affairs of their communities such as Skagit 360 and the Circles Initiative; Youth Build Yakima; Wenatchee Community Center; Skill Link; Project HANDLE; Seattle Conservation Corps; Retired Senior Volunteer Program and Women's Business Center.

Many CAA's administer youth development programs including Youth Build Yakima; Foster Care Program; Kid's Children's Advocacy Center; Seattle Youth Violence Prevention; College Readiness; Family Development; HEART Program for Homeless Children; BRIDGE.start; Seattle Conservation Corps; Youth Recreational Scholarship and Community Youth Centers.

- (b) **Assurance '676(b)(4):** 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.

Implementation of Assurance 676(b)(4)

WSDA's Food Assistance Programs provide 18 CAPs with funding and/or food through the following programs:

- Emergency Food Assistance Program (EFAP) – state
- Commodity Supplemental Food Program (CSFP) - federal
- The Emergency Food Assistance Program (TEFAP) – federal

Services these CAAs provide are: Lead Contractor, Food Bank distribution center, or have a food pantry directly serving clients. CAAs provide linkages to Supplemental Nutrition Assistance Program (SNAP).

CAA's also provide innovative programming such as Cooking Matters; Lettuce Link; and Rainbow Valley Volunteers.

- (c)**State Assurance '676(b)(5):** and the 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 to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

Implementation of Assurance 676(b)(5)

The WorkFirst (state TANF) Community Jobs program is in the same organizational division as CSBG. The Managing Director sits on both the policy and operational levels of the interagency management teams for WorkFirst (Commerce, Departments of Social and Health Services and Employment Security, the State Board for Community and Technical Colleges, The Department of Early Learning, and the Office of Financial Management).

Many CAA's are co-located in the local Workforce Investment Act (WIA) one-stop centers, WorkSource Centers to coordinate employment, education, health, and housing services for clients with multiple needs.

Commerce administers other programs that are accessed by CAA's, their clients or their partners in communities: the Housing Trust Fund; the Public Works Trust Fund; the State Emergency Shelter Assistance, Emergency Food Assistance, and Community Jobs; federal CDBG; LIHEAP, Weatherization and Minor Home Repair; and mixed funding for senior services, prevention of domestic violence and substance abuse prevention. The agency is the primary funder and coordinator of economic development and community revitalization activities as well. This enables Commerce to coordinate on monitoring, technical assistance and information sharing to maximize impact of our funds, remain accountable and help CAAs succeed.

- (d) **Assurance '676(b)(6):** 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 communities.

Implementation of Assurance 676(b)(6)

CSBG, LIHEAP, the Emergency Food Assistance Program, CVM and Medicaid funded Long-Term Care Ombudsman are in the same organizational unit. Program staff plan together, communicate frequently and share monitoring responsibilities when programmatically feasible.

Twenty-six CAAs receive LIHEAP funding and 23 CAAs provide Weatherization. CAAs that are Weatherization providers receive 15% of Washington State's LIHEAP allocation. Externally, CSBG and Weatherization managers and staff work closely with WSCAP to coordinate information. Internally, managers and staff meet to discuss ROMA, monitoring issues, and changes in program requirements.

The Community Services and Housing Division Deputy Director is seated on the Interagency Management Team (Departments of Social and Health Services and Employment Security and the State Board of Community and Technical Colleges) that directs WorkFirst (TANF) policy.

Twenty five CAAs offer emergency housing programs and 18 offer emergency food assistance programs.

- (e) **Assurance '676(b)(9):** 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.

Implementation of Assurance 676(b)(9)

CAA's partner with over 7,900 organizations to expand resources and opportunities in order to achieve family and community outcomes. CAAs coordinate with other programs including WorkForce Centers, EmergencyFood Programs, Human Service Agencies, Head Start, Low Income Home Energy Assistance and Weatherization Assistance Programs, Healthy Homes, State Transitional Housing and Emergency Shelter Assistance, Prevention, Permanent and Rapid ReHousing, Community Voice Mail, religious organizations, charitable groups, community organizations and other local resources.

CAAs and their State Association, WSCAP, collaborate with the United Way; the Washington State Department of Social and Health Services; Washington Low Income

Housing Alliance; Washington State Asset Building Coalition; Washington State Coalition for the Homeless; faith based organizations and nonprofits.

G. *Fiscal Controls and Monitoring*

- (b) State Monitoring Program
 - (a) a full on-site review of each eligible entity is performed at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause.
 - (e) Specify the date of the last audit conducted and the period covered by the audit for each eligible entity.

Implementation (a) Onsite review

Washington State CSBG grantees receive one on-site monitoring visit at least once every three years. The purpose of CSBG monitoring is to provide a comprehensive review of each CAA which considers: administrative management; programs and services, strategic planning, evaluation/results; human resources management, partnerships/ linkages/ community relations, interviews with CAA staff, grant compliance, and leadership and board governance. Commerce staff look beyond risk into the quality and health of the whole organization when monitoring.

In addition, all agencies contracting with Commerce participate in an annual risk assessment focused on agency and program health. Based upon the results of their agency risk assessment, monitoring frequency can be increased.

Furthermore, a separate on-site fiscal monitoring is conducted once every two years with all CAAs. The fiscal monitor specifically reviews all files, documents, policies, and procedures related to the direct function of financial and administrative management in compliance with federal and state laws and regulations.

Beginning in the spring of 2015, desk audits will also be performed for those agencies scheduled for an on-site CSBG program monitor visit in a given year. Prior to the visit, a desk audit will be conducted that focuses on such issues as timeliness, completeness and accuracy of submitted reports such as invoices, grant documents, and the annual CSBG IS Survey.

Our monitoring guiding principles are based on collaboration, mutual respect, open communication, and joint problem solving. Our focus is on the well-being of the entire agency. Of utmost importance is the CAA's relationship and responsiveness to community needs. Monitoring and technical assistance are conducted in a professional manner with consistency, clarity, respect, transparency and good communication based on a foundation of excellent rapport between CAAs and Commerce CSBG staff.

When scheduling permits, Commerce fiscal and program monitors conduct CAA on-site monitor visits at the same time. This practice provides an opportunity to promote shared dialogue, feedback, and continuity of monitoring methods. Commerce staff acknowledge and communicate successes, innovations, best practices, and experiences.

Program monitoring, technical assistance, and required follow up to findings and discrepancies are structured to support the integrity of CSBG and the relationships with CAAs. Every monitoring experience provides an opportunity for quality improvement, technical assistance, and relationship building.

Implementation (b)

All communities in the state of Washington are receiving services under the block grant at this time.

Commerce is not planning to designate any new organizations.

Implementation (c) Follow up reviews

Follow up reviews are conducted for eligible entities that fail to meet the goals, standards, and state and federal requirements by requesting further documentation; conducting return visits; collaborating with monitors for other Commerce programs who have an interest in the CAA; and cooperating with WSCAP for peer review and technical assistance.

Peer assistance from CAA Fiscal Directors is a best practice for Washington State. Through the professional association of CAA Chief Financial officers, technical assistance is offered to new Fiscal Directors and to CAAs that have financial management questions or concerns. The Fiscal Directors meet quarterly and sponsor training on the OMB Circulars every other year and advise the State on financial matters related to CSBG.

Implementation (d) Other reviews

Risk Determination are conducted by our Fiscal/Admin Compliance Monitor every two years or whenever determined to be necessary due to drastically changed circumstances. CAAs with a high level of risk are added to the monitoring schedule for the year.

Washington State Implementation of Community Action Agency Organizational Standards

Washington will be implementing the Community Action Agency Organizational Performance Standards in a coordinated effort with WSCAP, CAA's and Commerce Staff. Desk Audits focused on the newly implemented Organizational Standards framework will be conducted in early Spring 2015 for those CAAs scheduled for onsite monitoring visits during April – December 2015. On-site monitoring will be inclusive of Organizational Performance Standards requirements.

Please see Appendix B-5 for Timeline and Plan in response to IM dated March 24, 2014

Implementation (e) Audit

Each eligible entity must submit an annual audit to Commerce no later than nine months after the end of the contractor's fiscal year(s). Commerce's Audit Manager maintains an audit database that contains the status of all audits due, audits with findings, and audit letters to agencies

(c) Corrective Action, Termination and Reduction of Funding

If, according to Section 678C of the Act, Commerce determines an eligible entity to be out of compliance with contractual agreements, OMB Circulars, the State Plan, or the CSBG Act, it shall notify the contractor of the issues immediately and follow up with a written request for a corrective action plan within a reasonable time, usually 30 days. Not later than 30 days after receiving a proposed corrective action plan from an eligible entity, either approve the proposed plan or specify the reasons why the proposed plan cannot be approved

State CSBG staff will provide or arrange technical assistance to assist the contractor to successfully bring the agency, board, or program back into compliance status.

When necessary staff will conduct follow-up monitoring visits or documentary evidence will be required to ensure corrective action has been taken and the issues have been satisfactorily resolved. The contractor will be notified in writing when the corrective action process is ended.

Commerce may initiate proceedings to terminate the designation of an eligible entity or reduce funding unless the entity corrects the deficiency. Commerce will take into account the seriousness of the deficiency, the feasibility of all corrective action plans, and the time reasonably required to correct the deficiency. Action to suspend, reduce, or terminate funding to an eligible entity will not be taken without first corresponding with the eligible entity's governing board specifying the cause of such suspension, reduction, or termination and the required corrective action.

Commerce will notify WSCAP and request assistance before taking formal action to restrict CSBG resources or to terminate funding.

Appeal

The contractor may appeal any substantive decision that is believed to be unfair or unreasonable to the Commerce agency Director.

Hearing

The State shall not initiate proceedings to terminate the designation of an eligible entity without providing adequate notice to the eligible entity and an opportunity for hearing.

Review

A determination to terminate the designation or reduce the funding of an eligible entity will be reviewed by the Office of Community Services (OCS). The review will be completed not later than 90 days after the Secretary receives from the State all necessary documentation relating to the determination to terminate the designation or reduce the funding. If the review is not completed within 90 days, the determination of the State shall become final at the end of the 90th day.

Direct Assistance

Whenever a State incorrectly terminates or reduces the funding of an eligible entity prior to the completion of the State hearing, the OCS Secretary is authorized to provide financial assistance under this subtitle to the eligible entity affected until the violation is corrected. In such a case, the grant or allotment for the State under section 675(A) or 675(B) for the earliest appropriate fiscal year shall be reduced by an amount equal to the funds provided under this subsection to such eligible entity.

Termination

If termination is warranted, Commerce will identify a successor agency, consistent with the requirements of Section 678C of the Act, in consultation with affected local governments, representatives of the current recipient agency, other relevant service contractors and the low-income community

(d) Fiscal Controls, Audits and Withholding

- (a) **The assurance '676(b)(7):** The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

Implementation of Assurance 676(b)(7)

The State agrees that it will permit and cooperate with any and all Federal investigations conducted in accordance with the CSBG Act. Commerce cooperated with both the Department of Health and Human Services Program Implementation Review and the U.S. Government Accountability Office Review of CSBG last year.

- (b) **The assurance '676(b)(8):** Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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) of the Act.

Implementation of Assurance 676(b)(8)

That State agrees that all eligible entities in the State will receive present and future funding based on their proportional share, according to formula distribution unless after 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 OCS Secretary as provided in Section 678C(b) of the Act.

- (c) **The assurance '676(b)(10):** 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.

Implementation of Assurance 676(b)(10)

All eligible entities are required to have procedures in their bylaws for low income individuals, community organizations, or faith-based organizations or their representatives, to petition for adequate representation if they consider themselves or their constituents to be inadequately represented on the board. Commerce monitors this to be certain of full compliance.

Commerce distributed IM-82 to all CAA Executive Directors and key staff. WSCAP makes several versions of board training available to CAAs.

H. Accountability and Reporting Requirements

- (1) Results Oriented Management And Accountability

The State, WSCAP, and all eligible entities have adopted ROMA principles and have fully implemented reporting

There are five Certified ROMA trainers and one trainer in the process of certification. One Certified ROMA trainer is CSBG State program staff and the other five trainers represent South Washington, North Washington, Central Washington, and Eastern Washington.

ROMA training and implementation is supported through a collaborated effort between the State CSBG office and WSCAP. In 2014 ROMA trainings were offered in King County, Pierce County, Central Washington and North Washington.

ROMA trainers are in the process of overlaying NPI data points with the Washington State Theory of Change. ROMA trainers along with three CAA pilot participants are presently engaged in a state wide effort to revisit NPI definitions in order to strengthen the integrity of Washington's data.

Commerce, WSCAP and Washington's ROMA trainers are collaborating on updating the presentation of ROMA principles and incorporating site visits where CAAs have an opportunity to have focused guidance on implementing ROMA in their agency.

Please see Appendix B-3 for Washington State's Theory of Change

(2) Annual Report: Section 678(a)(2)

The State will prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities. This report will include at a minimum information that is pertinent and comprehensive that describes in detail CSBG activities and services, as well as outcomes that measure how CSBG funds were used to promote self-sufficiency, family stability, and community revitalization.

Use the following outline to report on CSBG services and activities and outcome measurements for the prior fiscal year:

(a) Performance Objectives

CSBG services and activities and outcome measurements for 2012 and 2013 were: Working through a network of CAA's and other neighborhood-based organizations, Washington State has endeavored to reduce poverty, revitalize low income communities, and empower low income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off public assistance).

(b) Program Accomplishments and Activities

Families and individuals living in poverty participated in programs and activities focused on employment supports such as ABE/GED certification; new skills and competencies; and financial literacy. Families and individuals seeking employment were supported by CAA programs that provide before and after school programs; child care; transportation; health care; housing; food; energy and weatherization assistance.

CAAs participated in community revitalization projects that created or saved employment opportunities. CAAs actively engaged in the Affordable Care Act and provided information and enrollment support to clients.

CAAs partnered with Community Colleges and local businesses to provide opportunities for skill building and access to education.

CAAs partner with community members to provide and support local community centers and the preservation of community facilities.

- (c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year
The CSBG funds the central management and core activities of a statewide network of 30 CAA's. The block grant enables the network to mobilize additional resources to address the causes and effects of poverty and to deploy them according to local plans that strike at the causes of poverty and ameliorate its effects. All funds were used as planned.

The Washington CSBG network's funding totaled \$363,738,969. Including all federal sources, the Washington network leveraged \$53.09 per \$1 of CSBG.

- (d) Profile of Participants Served (Number and characteristics of clients served)
In 2013 all 30 agencies reported. The total number of individuals served was 474,095. Of those served the vulnerable populations served included: 179,939 children; 67, 644 people with disabilities; 76,518 seniors; 136,318 people who lacked health insurance.
- (e) Statistical Report on CSBG Program Services
Washington administers CSBG to 30 agencies in 100% of Washington Counties. Eighty one percent of families served were in poverty and 40% of those served were in severe poverty.
- (f) Training and Technical Assistance Provided by the State:
The State provided training in collaboration with WSCAP on ROMA; "Telling the Washington State Community Action Story-NASCSP"; and "Washington Storytelling-NASCSP".

Commerce provided T&TA on the new web based IS reporting system, the Organizational Standards Pilot, ROMA 2 pilot and CAP Learning Communities opportunity.

Commerce and WSCAP are collaborating on two pilots focused on T&TA on unduplicated data reporting and the NPIs as indicators of Success.

Commerce provides T&TA on federal statutes and regulations, ROMA data collecting, reporting and the ROMA cycle. We provide T&TA on succession planning; Board compliance and best practices; CNAs; and other areas as identified by the CAA network, State and Federal partners.

VI. Appendices

- A-1 Letter designating letter designating Diane Klontz, Assistant Director of Community Services and Housing Division, Department of Commerce, as the representative of Washington State Governor Jay Inslee in all matters related to CSBG and LIHEAP
- A-2 Documentation of public hearing
- A-3 Documentation of legislative hearing
- A-4 Documentation of changes made to State Plan during the extended comment period
- B-1 List of eligible entities and their service areas
- B-2 Planned distribution of funds for FFY 2015
- B-3 Washington State Theory of Change
- B-4 List of eligible entities scheduled to be monitored in 2015 and 2016
- B-5 Implementation of Organization Performance Standards
- B-6 Certifications

Appendix A-1: Designation Letter

A copy of the letter designating the Assistant Director Diane Klontz as the representative of Governor Inslee in all matters related to CSBG and LIHEAP will be included in the final plan.

Appendix A-2: Documentation of Public Hearing

Documentation of CSBG State Plan Public Hearing will be published on this page after public hearing occurs on July 31, 2014.

Appendix A-3: Documentation of Legislative Hearing

[House Community Development, Housing & Tribal Affairs Committee.](#) held on Wednesday January 16, 2013, 8:00AM

Work Session: Update on the Department of Commerce's community development activities and related issues., Briefing on the Department of Commerce's Community Services Block Grant Program State Model Plan.

Appendix A-4: Documentation of Changes Made to the CSBG State Plan During the Extended Comment Period

None.

Appendix B-1: List of Eligible Entities and Their Service Areas

Community Action Agency

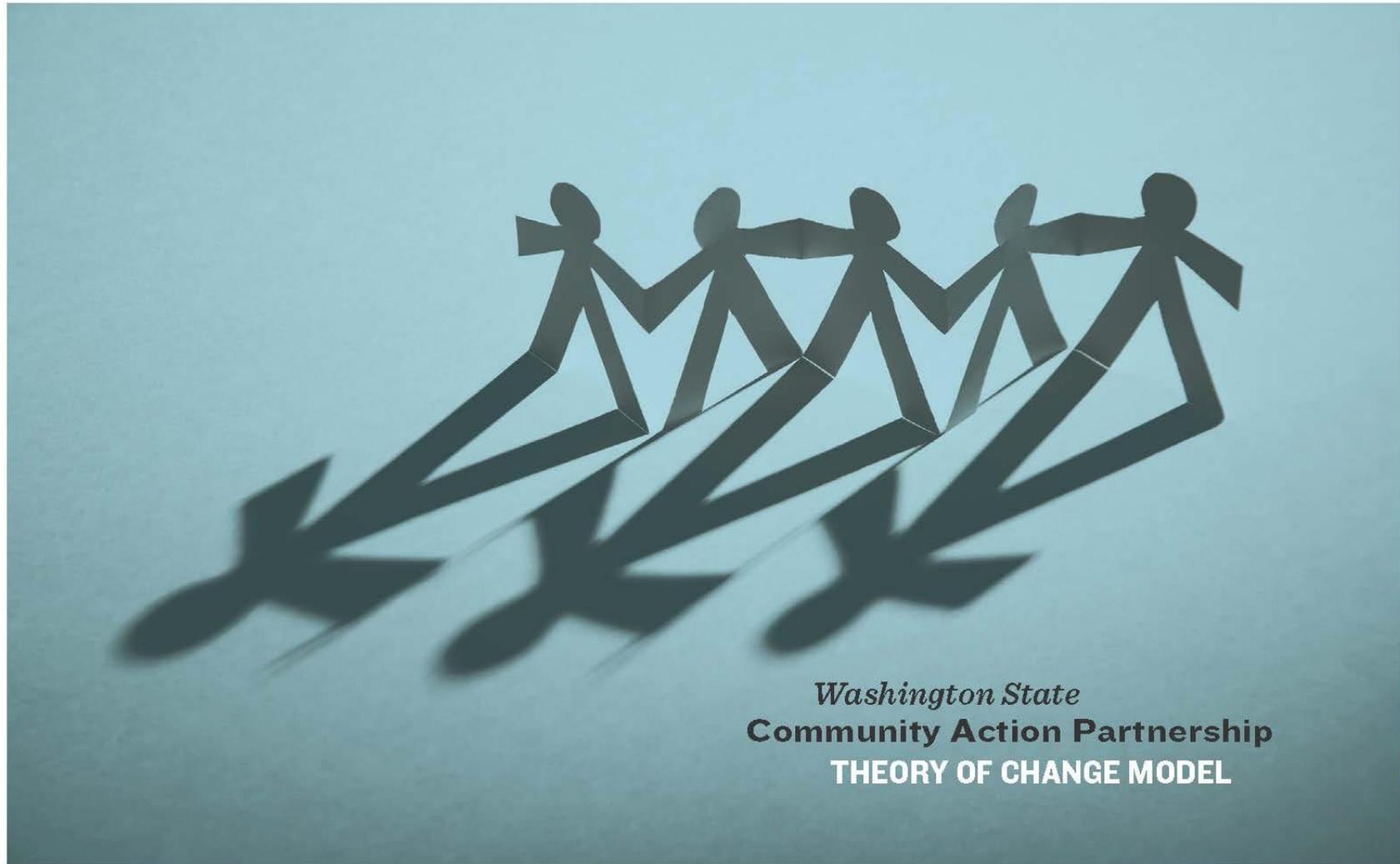
Community Action Connections
 Blue Mountain Action Council
 Centerstone
 Chelan-Douglas Community Action Council
 City of Seattle Department of Parks and Recreation/Seattle Conservation Corps
 Clark County, Community Services Department
 Coastal Community Action Program
 Community Action Center
 Community Action Council of Lewis, Mason & Thurston Counties
 Community Action Partnership
 El Centro de la Raza
 Solid Ground
 Hopelink
 HopeSource
 Kitsap Community Action Program
 Lower Columbia Community Action Council
 Metropolitan Development Council
 Multi-Service Center
 Neighborhood House
 Opportunities Industrialization Center of Washington
 Okanogan County Community Action Council
 Olympic Community Action Council
 Pierce County Community Services Department.
 Rural Resources Community Action
 Skagit County Community Action Agency
 Snohomish County Human Services Department
 Spokane Neighborhood Action Partners
 The Opportunity Council
 Washington Gorge Action Programs
 Yakima Valley FarmWorkers Clinic/Northwest Community Action Center

Service Area

Benton and Franklin Counties
 Walla Walla, Columbia and Garfield Counties
 City of Seattle
 Chelan and Douglas Counties
 City of Seattle
 Clark County
 Grays Harbor and Pacific Counties
 Whitman County
 Lewis, Mason and Thurston Counties
 Asotin County
 City of Seattle
 City of Seattle
 North and East King County
 Kittitas County
 Kitsap County
 Cowlitz and Wahkiakum Counties
 City of Tacoma
 South King County
 City of Seattle
 Yakima, Grant and Adams Counties
 Okanogan County
 Clallam and Jefferson Counties
 Pierce County
 Ferry, Stevens, Pend Oreille and Lincoln Counties
 Skagit County
 Snohomish County
 Spokane County
 Whatcom, Island and San Juan Counties
 Klickitat and Skamania Counties
 Yakima County

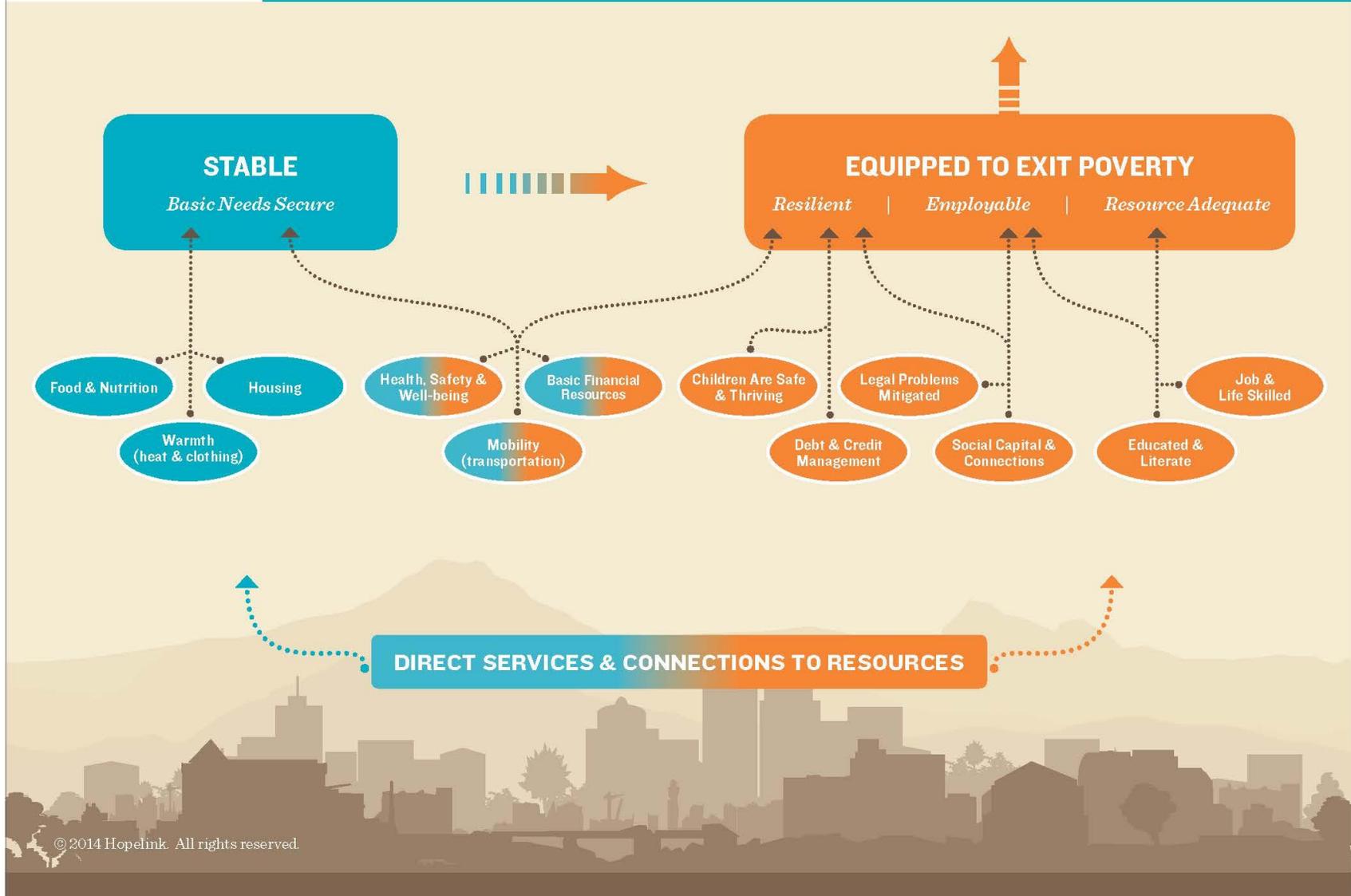
Appendix B-2: Planned Distribution of Funds for FFY 2014

Community Action Agency	CSBG
Community Action Connections	\$279,298
Blue Mountain Action Council	\$152,317
Centerstone	\$169,260
Chelan-Douglas Community Action Council	\$173,384
City of Seattle, Department of Parks and Recreation	\$163,437
Clark County, Community Services Department	\$338,427
Coastal Community Action Programs	\$176,232
Community Action Center	\$147,899
Community Action Council of Lewis, Mason, & Thurston Counties	\$332,890
Community Action Partnership Idaho	\$46,200
El Centro de la Raza	\$153,772
Hopelink	\$269,426
HopeSource	\$137,316
Kitsap Community Resources	\$216,761
Lower Columbia Community Action Council	\$184,896
Metropolitan Development Council	\$282,847
Multi-Service Center	\$539,979
Neighborhood House	\$167,278
Opportunities Industrialization Center of WA	\$360,683
Okanogan County Community Action Council	\$139,332
Olympic Community Action Programs	\$170,028
The Opportunity Council	\$288,006
Pierce County Community Action Connections	\$413,965
Rural Resources Community Action	\$160,247
Community Action Agency of Skagit County	\$177,415
Snohomish County Human Services Department	\$446,224
Solid Ground of Washington	\$158,646
Spokane Neighborhood Action Programs	\$487,160
Washington Gorge Action Programs	\$127,460
Yakima Valley Farmworkers Clinic/NW Community Action Center	\$229,044





HEALTHY INDIVIDUALS & FAMILIES





HEALTHY COMMUNITIES



Appendix B-4: List of Eligible Entities Scheduled to be Monitored 2014 and 2015

2014 CSBG Monitor Schedule

Centerstone	03/22-23/11	Mar-14
Multi- Service Center	04/23-24/11	Apr-14
Coastal Community Action Program	04/28-29/11	Apr-14
WA Gorge Action Programs	05/27-29/11	May-14
Neighborhood House	07/28-29/11	Jul-14
The Opportunity Council	07/26-27/11	Jul-14
Community Action Partnership	09/7-8/11	Sep-14
Okanogan Community Action Council	10/18-19/11	Sep-14
Spokane Neighborhood Action Programs	11/13-14/11	Sep-14
Benton-Franklin Community Action Committee	11/16-17/11	Sep-14

2015 CSBG Monitor Schedule

El Centro Del La Raza	05/5-6/12	May-15
Hopelink	03/25-26/12	Mar-15
HopeSource	08/24-25/12	Aug-15
Lower Columbia Community Action Program	07/6-7/12	Jul-15
Opportunities Industrialization Center of WA	11/17-18/12	Oct-15
Yakima Valley Farmworkers/ NW Community Action Center	08/31-31/12	Aug-15
Snohomish County Human Services	08/11-12/12	Aug-15
City of Seattle (Seattle Conservation Corps)	05/25-26/12	May-15
Clark County Dept. of Community Services and Correction	10/29-30/12	Sep-15
Metropolitan Development Council	03/30-31/12	Mar-15

Appendix B-5 : Organizational Performance Standards Implementation

Implementation of Community Action Agency Organizational Performance Standards

Start Date	Activity	Responsible Organization	Date Complete(d)
May 2014	Develop "Pre" Draft of Proposed Organizational Performance Standards (OPS) for WA State Implementation (Desk Audit & On-Site Monitoring Tool)	Department of Commerce (Commerce) Staff	July 10, 2014
June 2014	Create Workgroup of representatives from Community Action Agencies (CAP's), Commerce Staff, and WA State Community Action Partnership (WSCAP) Staff (see list on Page 2)	Commerce/WSCAP	June 30, 2014
Early Summer 2014	Commerce to work with WSCAP in identifying the state association's role in Training and Technical Assistance for OPS	Commerce/WSCAP	July 31, 2014
June 2014	Organize meetings, prepare agendas, establish goals, and determine outcomes for OPS Workgroup	Commerce	July 15, 2014
June 2014	Activity Timeline for OPS Implementation included in "Draft" Washington State Plan	Commerce	June 30, 2014
July 2014	Workgroup participates in 2-day meeting to review standards and develop Draft OPS Implementation	OPS Workgroup	July 30, 2014
Late Summer	Comment Period from CAP's on Draft OPS Implementation	CAP Network	September 30, 2014
October 2014	Include language in State and Federal CSBG Grants to address grantee compliance with OPS	Commerce	November 1, 2014
October 2014	Publish and distribute final OPS Implementation, Revised CSBG Monitor Template & Desk Audit Template.	Commerce & OPS Workgroup	November 1, 2014
October 2014	Evaluate Workgroup experience via Survey Monkey	Commerce	November 1, 2014
November - December 2014	Revise State CSBG Policies and Procedures to include OPS	Commerce	December 31, 2014

Draft

Draft

December 2014 – January 2015	Series of Webinars provided to CSBG grantees to introduce new OPS, revised On-Site Monitoring, and Desk Auditing	WSCAP & Commerce	January 31, 2015
Ongoing	Provide technical assistance and training to eligible entities and their governing boards so they can meet the required OPS	WSCAP & Commerce	Ongoing
February – March 2015	Perform Desk Audits for the 10 agencies to be monitored in 2015	Commerce	March 30, 2015
April 2015	Present Information and Training Session on Implementation of OPS and Revised Monitoring at State CSBG Conference	Commerce	April 2015
April 2015	Evaluate Webinars and overall rollout of standards in Customer Service Survey experience	Commerce	April 2015
Spring – Fall 2015	Implement new OPS into CSBG monitoring and perform regular site visits based on 3-year cycle	Commerce	Fall 2015

State of Washington Organizational Performance Standards Workgroup:

Name	Title	Organization	Representing
Andrea Kolacz	CSBG Program Manager (ROMA Certified Trainer)	Snohomish County Human Services	Public/Local Gov't CAA (Urban)
Darlene Cook	CSBG Program Manager	Kitsap Community Resources	Private Non-Profit CAA (Rural)
Kelly Charlton	Deputy Director/ CSBG Grant Manager	Rural Resources Community Action	Private Non-Profit CAA (Rural)
Doug Koening	Fiscal Director	Lower Columbia Community Action Programs	Private Non-Profit CAP (Urban)
John Walsh	Executive Director/CSBG Grant Manager	Community Action Council of Lewis, Mason, & Thurston Counties	Private Non-Profit CAC (Urban)
Jeri Epperson	Human Resources Manager (ROMA Certified Trainer)	HopeSource	Private Non-Profit CAA (Rural)
Karen Dunn	Commerce Specialist	Department of Commerce	State CSBG Office
Amanda Rains	Commerce Specialist	Department of Commerce	State CSBG Office
Merritt Mount	Director	WA State Community Action Partnership	State CAP Association
Megan Brown	Project Director	WA State Community Action Partnership	State CAP Association

Appendix B-6: Certifications

- **Certification Regarding Lobbying)**
- **Certification Regarding Drug-Free Workplace Requirements**
- **Certification Regarding Debarment, Suspension And Other Responsibility Matters**
- **Certification: Public Law 103-227, Part C, Environmental Tobacco Smoke**

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature	Date
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Deputy Director
 Title
Department of Commerce
 Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

The required certifications are per US. Department of Health and Human Services, Administration for Children and Families, Office of Community Services, Community Services Block Grant Program, Information Memorandum, Transmittal No. 114, dated July 2, 2009.

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 not 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

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 ten 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).

(B) 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)

1011 Plum Street SE
Olympia, WA 98501

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]

Signature

Date

Deputy Director
Title

Department of Commerce
Organization

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 Exclusion-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 it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and

frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

pursue available remedies, including suspension and/or debarment.

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

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

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

9. Except for transactions authorized under paragraph 5 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 an 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.

Signature

Date

Deputy Director
Title

Department of Commerce
Organization

CERTIFICATION: PUBLIC LAW 103-227, PART C, ENVIRONMENTAL TOBACCO SMOKE

P.L. 103.227, also known as the Pro-Children Act of 1994, requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by the Federal programs either directly or through States, or local government by Federal grant, contract, loan or loan guarantee.

By signing and submitting this assurance the grantee certifies that it will comply with the requirement of the Act. The grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Date

Deputy Director

Title

Department of Commerce
Organization