

Model State Plan(CSBG)
CSBG Cover Page (SF-424M)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

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

COVER PAGE

* 1.a. Type of Submission: Other (2 Year)	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: Initial
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION

* a. Legal Name: Washington State Department of Commerce			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 91-0823820		* c. Organizational DUNS: 808882302	
* d. Address:			
* Street 1:	1011 Plum St SE	Street 2:	
* City:	Olympia	County:	Thurston
* State:	WA	Province:	
* Country:	United States	* Zip / Postal Code:	98504 - 2525

e. Organizational Unit:

Department Name: Washington State Department of Commerce	Division Name: Community Services and Housing Division
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Diane	Middle Name:	* Last Name: Fay
Suffix:	Title: Program Manager	Organizational Affiliation:	
* Telephone Number: (360) 725-2903	Fax Number:	* Email: diane.fay@commerce.wa.gov	

*** 8a. TYPE OF APPLICANT:**

A: State Government

b. Additional Description:

*** 9. Name of Federal Agency:**

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant

11. Descriptive Title of Applicant's Project
Community Services Block Grant

12. Areas Affected by Funding:
State Wide

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 10	b. Program/Project:
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Attach an additional list of Program/Project Congressional Districts if needed.
Adams, Asotin, Benton, Chelan, Clallam, Clark, Columbia, Cowlitz, Douglas, Ferry, Franklin, Garfield, Grant, Grays Harbor, Island, Jefferson, Kin, Kitsap, Lewis, Lincoln, Mason, Okanogan, Pacific, Pierce, San Juan, Skagit, Skamania, Snohomish, Spokane, Stevens, Thurston, Wahkiakum, Walla Walla, Whatcom, Whitman, Yakima Counties

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0

*** 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

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

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

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SECTION 1

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

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

1.1a. Lead agency	Washington State Department of Commerce		
1.1b. Cabinet or administrative department of this lead agency <i>(Check one option and narrative where applicable)</i>			
Community Services Department			
1.1c. Division, bureau, or office of the CSBG authorized official	Community Services and Housing Division		
1.1d. Authorized official of lead agency	Diane Klontz, Assistant Director		
1.1e. Street Address	1011 Plum St SE		
1.1f. City	Olympia	1.1g. State WA	1.1h. Zip 98504
1.1i. Telephone number and extension (360) 725 - 4142 ext.		1.1j. Fax number: (360) 586 - 0489	
1.1k. Email address diane.klontz@commerce.wa.gov		1.1l. Lead agency website www.commerce.wa.gov	

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

1.2a. Agency name	Washington State Department of Commerce		
1.2b. Name of the point of contact	Diane Fay		
1.2c. Street address	1011 Plum St SE		
1.2d. City	Olympia	1.2e. State WA	1.2f. Zip 98504
1.2g. Point of contact telephone number (360) 725 - 2903 ext.		1.2h. Fax number (360) 586 - 0489	
1.2i. Point of contact email address diane.fay@commerce.wa.gov		1.2j. Point of contact agency website www.commerce.wa.gov	

1.3. Designation Letter:

Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.

Section 2: State Legislation and Regulation

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

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

RCW 43.63A.115 Community action agency network -- Delivery system for federal and state anti-poverty programs. (1) The community action agency network, established initially under the federal economic opportunity act of 1964 and subsequently under the federal community services block grant program of 1981, as amended, shall be a delivery system for federal and state anti-poverty programs in this state, including but not limited to the community services block grant program, the low-income energy assistance program, and the federal department of energy weatherization program. (2) Local community action agencies comprise the community action agency network. The community action agency network shall serve low-income persons in the counties. Each community action agency and its service area shall be designated in the state federal community service block grant plan as prepared by the department of community, trade, and economic development. (3) Funds for anti-poverty programs may be distributed to the community action agencies by the department of community, trade, and economic development and other state agencies in consultation with the authorized representatives of community action agency networks. [1993 c 280 Å§ 60; 1990 c 156 Å§ 1.] NOTES: Effective date -- Severability -- 1993 c 280: See RCW 43.330.902 and 43.330.903

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No

2.4b. Did the State establish or amend regulations for CSBG last year? Yes No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes No

Section 3: State Plan Development and Statewide Goals

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

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

3.2. State Plan Goals:

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

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

WA Department of Commerce continues to collaborate with community stakeholders to broaden and improve anti-poverty services in Washington communities. In collaboration with the state association, Washington State Community Action Partnership (WSCAP) and the 30 community action agencies have identified two main goals to focus on in the coming year: 1. To increase utilization of research and evidence-based programs, policies and performance outcomes to ensure all Washingtonians have access to effective programs designed to equip people to exit poverty. WA Dept of Commerce has partnered with the state association, WSCAP, to research and identify performance outcomes for community action agencies in Washington. 2. In partnership with The Prosperity Agenda, Oregon State University, and regional community action partners (Oregon and Idaho), WSCAP has developed a Theory of Change, designed to guide community action agencies toward shared goals that improve impact of community services. This Indicators Project aims to: Â Demonstrate the impact of community action agencies on stabilizing and equipping low-income Washingtonians to exit poverty Â To provide local agencies with the data and evaluation methods necessary to adapt, improve and better target programs to reach these intended outcomes. While the initial phase of the project has focused on research and identification of the appropriate performance indicators to show whether people served are equipped to exit poverty, Commerce, WSCAP, The Prosperity Agenda and Oregon State University will focus efforts in the next year to gather baseline data specific to the new performance indicators, and to develop a training and technical assistance program that can be offered throughout the state in order to build capacity within community action agencies to increase internal program evaluation and continuous improvement their programs, based on use of the new performance indicators.

3.3. State Plan Development:

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

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



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



U.S. Census data



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



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

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



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



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe) Individual calls were offered to all eligible entities. Eighteen calls took place ranging in time from 40-60 minutes. Email to Executive Directors and Program Staff for feedback, Email of draft plan, Posting on website, Interested Parties letter, posted on Washington State Register



National organizations (describe) Updates provided by NASCSP on quarterly calls



Federal Office of Community Services



Other (describe)

3.4. Eligible Entity Involvement

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

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

In developing this year's plan we gathered feedback using the following techniques 1) individual calls with eligible entity Executive Directors and some program staff lasting 40-60 minutes depending on entity. Calls were focused on the ACSI results and how to improve low scoring areas to include the development of the State Plan 2) Using feedback provided on the call an email will go out to Executive Directors and Program Staff with the draft language for the State Goal, and State and Local Linkages 3) Time will be requested on the agenda of the Washington Community Action Partnership quarterly meeting fall to review the State Plan 4) A draft of the State Plan will be sent out to all Executive Directors and Program Staff and posted on the Department's website. 5) Interested Parties letters will go out to all Executive Directors inviting comment and attendance at the State Plan Hearing.

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

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order
1) to encourage eligible entity participation and

2) to ensure the State Plan reflects input from eligible entities?

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

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

Individual calls were offered to all eligible entities to review ACSI measures to include development of State Plan. An email highlighting parts of the State Plan will be sent out prior to posting the draft, in response to feedback given in individual calls. A review of the State Plan will be provided in the fall and in the future the State hopes to participate in the April WSCAP quarterly meeting to solicit input on the plan in response to feedback.

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

3.5. Eligible Entity Overall Satisfaction:

Provide the State's target for eligible entity Overall Satisfaction during the performance period: 80

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

Section 4: CSBG Hearing Requirements

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

The Draft State Plan was made available for public inspection through the following avenues: 1)The State Plan was distributed to all eligible entities and WSCAP 2) The State Plan will be available for review on www.commerce.wa.gov as of July 1, 2016. 3) The State will hold a public hearing on August 2, 2016. 4) A link to the website will be posted in the Washington State Register on June 27. 5)Interested Parties letters will be sent out on June 27, 2016.

4.2. Public Notice/Hearing:

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

The State announced the expected timeline to eligible entities in individual calls, emails, and an Interested Parties letter.

4.3. Public and Legislative Hearings:

Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing <small>[Select an option]</small>
1	08/02/2016	Washington State Department of Commerce	Public

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

The CSBG update begins at approximately 49:30. <http://www.tvw.org/watch/?eventID=2016021321>

Section 5: CSBG Eligible Entities

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**SECTION 5
CSBG Eligible Entities**

5.1. CSBG Eligible Entities:

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

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

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Benton Franklin Community Action Committee	Nonprofit	Community Action Agency (CAA)	Benton, Franklin	
2	Blue Mountain Community Action Council	Nonprofit	Community Action Agency (CAA)	Columbia, Garfield, Walla Walla	
3	Centerstone	Nonprofit	Community Action Agency (CAA)	King	
4	Chelan-Douglas Community Action Council	Nonprofit	Community Action Agency (CAA)	Chelan, Douglas	
5	Clark County Department of Community Services	Nonprofit	Local Government Agency	Clark	
6	Coastal Community Action Program	Nonprofit	Community Action Agency (CAA)	Grays Harbor, Pacific	
7	Community Action Center	Nonprofit	Community Action Agency (CAA)	Whitman	
8	Community Action Council of Lewis, Mason, and Thurston Counties	Nonprofit	Community Action Agency (CAA)	Lewis, Mason, Thurston	
9	Community Action Partnership of Idaho	Nonprofit	Community Action Agency (CAA)	Asotin	
10	Community Action of Skagit County	Nonprofit	Community Action Agency (CAA)	Skagit	
11	El Centro de la Raza	Nonprofit	Community Action Agency (CAA)	King	
12	Hopelink	Nonprofit	Community Action Agency (CAA)	King	
13	Hopesource	Nonprofit	Community Action Agency (CAA)	Kittitas	
14	Kitsap Community Resources	Nonprofit	Community Action Agency (CAA)	Kitsap	
15	Lower Columbia Community Action Program	Nonprofit	Community Action Agency (CAA)	Cowlitz, Wahkiakum	
16	Metropolitan Development Council	Nonprofit	Community Action Agency (CAA)	Pierce	
17	Multi-Service Center	Nonprofit	Community Action Agency (CAA)	King	
18	Neighborhood House	Nonprofit	Community Action Agency (CAA)	King	
19	Opportunities Industrialization Center of WA	Nonprofit	Community Action Agency (CAA)	Grant, Adams, Yakima	
20	Okanogan Community Action Programs	Nonprofit	Community Action Agency (CAA)	Okanogan	
21	Olympic Community Action Programs	Nonprofit	Community Action Agency (CAA)	Clallam, Jefferson	
22	Opportunity Council	Nonprofit	Community Action Agency (CAA)	Island, San Juan, Whatcome	
23	Pierce County Community Connections	Nonprofit	Local Government Agency	Pierce	

24	Rural Resources Community Action	Nonprofit	Community Action Agency (CAA)	Ferry, Lincoln, Pend Oreille, Stevens	
25	City of Seattle-Seattle Conservation Corps	Nonprofit	Limited Purpose Agency	King	
26	Snohomish County Human Services Department	Nonprofit	Local Government Agency	Snohomish	
27	Solid Ground	Nonprofit	Community Action Agency (CAA)	King	
28	Spokane Neighborhood Action Partners	Nonprofit	Community Action Agency (CAA)	Spokane	
29	Washington Gorge Action Programs	Nonprofit	Community Action Agency (CAA)	Klickitat, Skamania	
30	Yakima Valley Farm Workers Clinic/Northwest Community Action Center	Nonprofit	Migrant or Seasonal Farmworker Organization	Yakima	

5.2 Total number of CSBG eligible entities 30

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

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Section 6: Organizational Standards for Eligible Entities

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SECTION 6

Organizational Standards for Eligible Entities

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

6.1. Choice of Standards:

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

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

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes No

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

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

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?[Check all that apply.]

- Peer-to-peer review (with validation by the State or State-authorized third party)
- Self-assessment (with validation by the State or State-authorized third party)
- Self-assessment/peer review with State risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

6.4a. Describe the assessment process.

Commerce will assess all CSBG eligible entities to identify if organizational standards are met or not met annually using a variety of review processes. All agencies will be required to complete a web based assessment (requiring the upload of relevant documents) based on the CAP model. The review process will vary based on where the eligible entity is in the on-site monitoring cycle. All assessments will be reviewed for compliance with standards within 60 working days of submittal. For any standards Not Met, eligible entities will be required to fill out a Technical Assistance Plan, TAP. The TAP is integrated in to the web based system and will be submitted, tracked and approved through the system. The TAP will be closed once the standard is Met. Review Process: For entities that were recently monitored on-site, a complete document review will be determined by the Commerce Program Risk Assessment score. For entities that will be monitored on-site the same year, a full document review will be conducted with follow up to take place on-site. For entities that will not be monitored during the year, and were not monitored the previous year a full review of all documents will take place via a desk audit. Any unmet standards will result in a TAP, and may result in a quality improvement plan.

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

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

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 70%

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

Section 7: State Use of Funds

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**SECTION 7
State Use of Funds**

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

7.1. Formula:

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

Base + Formula

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

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Benton Franklin Community Action Committee	\$301,817	0.00%	\$0	0.00%
2	Blue Mountain Community Action Council	\$158,923	0.00%	\$0	0.00%
3	Centerstone	\$180,486	0.00%	\$0	0.00%
4	Chelan-Douglas Community Action Council	\$182,630	0.00%	\$0	0.00%
5	Clark County Department of Community Services	\$366,732	0.00%	\$0	0.00%
6	Coastal Community Action Program	\$185,835	0.00%	\$0	0.00%
7	Community Action Center	\$153,951	0.00%	\$0	0.00%
8	Community Action Council of Lewis, Mason, and Thurston Counties	\$360,732	0.00%	\$0	0.00%
9	Community Action Partnership of Idaho	\$48,233	0.00%	\$0	0.00%
10	Community Action of Skagit County	\$187,167	0.00%	\$0	0.00%
11	El Centro de la Raza	\$163,057	0.00%	\$0	0.00%
12	Hopelink	\$290,708	0.00%	\$0	0.00%
13	Hopesource	\$142,043	0.00%	\$0	0.00%
14	Kitsap Community Resources	\$231,443	0.00%	\$0	0.00%
15	Lower Columbia Community Action Program	\$195,585	0.00%	\$0	0.00%
16	Metropolitan Development Council	\$305,810	0.00%	\$0	0.00%
17	Multi-Service Center	\$585,141	0.00%	\$0	0.00%
18	Neighborhood House	\$178,255	0.00%	\$0	0.00%
19	Opportunities Industrialization Center of WA	\$390,850	0.00%	\$0	0.00%
20	Okanogan Community Action Programs	\$144,311	0.00%	\$0	0.00%
21	Olympic Community Action Programs	\$178,854	0.00%	\$0	0.00%
22	Opportunity Council	\$311,616	0.00%	\$0	0.00%
23	Pierce County Community Connections	\$448,588	0.00%	\$0	0.00%
24	Rural Resources Community Action	\$167,847	0.00%	\$0	0.00%
25	City of Seattle-Seattle Conservation Corps	\$173,933	0.00%	\$0	0.00%
26	Snohomish County Human Services Department	\$483,544	0.00%	\$0	0.00%
27	Solid Ground	\$168,542	0.00%	\$0	0.00%

28	Spokane Neighborhood Action Partners	\$527,901	0.00%	\$0	0.00%
29	Washington Gorge Action Programs	\$130,952	0.00%	\$0	0.00%
30	Yakima Valley Farm Workers Clinic/Northwest Community Action Center	\$245,266	0.00%	\$0	0.00%
Total		\$7,590,752	0.00%	\$0	0.00%

7.3. Distribution Process:

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

CSBG funding is distributed to eligible entities through a contract for the projected full amount of potential funding based on the last federal award. The Department releases spending authority based on grant award notices and available Federal funding award allocations. Contracts are generated to allocate the 90% pass through funding to eligible entities. The state uses a multiyear contract as a mechanism to provide funding to each CSBG eligible entity. Grants begin on October 1st and close September 30th. There is an overlapping period of Federal and State funds. Eligible entities are required to spend out their earliest awarded Federal funds before beginning spending of next Federal grant. They may spend State funds concurrently. Contracts are approved by the division budget manager, unit managing director, and the assistant director. The intent is to distribute funds within 30 days of receipt of OCS Federal award.

7.4. Distribution Timeframe:

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

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

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

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

7.5. Performance Management Adjustment:

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

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

The State scored well in the ACSI Survey under Distribution of Funds. We have changed our Federal contract period to begin on 10-1 to align with the federal fiscal year. This change is helpful to the network. Previously our grants began on 1-1 to align with the release of federal awards. Once contracts are in place the Department releases spending authority based on grant award notices and available Federal funding award allocations.

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

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

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **8**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **2**

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

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

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

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

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

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

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	39.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.50%	\$0.00	0.00%	Funding to WSCAP
c. Statewide coordination and communication among eligible entities	\$0.00	36.00%	\$0.00	0.00%	Funding to WSCAP
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.06%	\$0.00	0.00%	Support of EITC Program. This is often covered with State CSBG Discretionary.

f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	24.34%	\$0.00	0.00%	These efforts are covered with State and Federal CSBG Discretionary. Other projects yet to be determined, potentially additional support of three state effort, Clarity, Impact and Performance Project.
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$0.00	0.10%	\$0.00	0.00%	Disaster support such as Eastern Washington Fires, Western Washington Mud Slides, Washington Flooding, etc. IT system enhancement at the state level and potentially local entity support. We are researching this.
Total	\$0.00	100.00%	\$0.00	0.00%	

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

CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **5**

Other community-based organizations

State Community Action association

Regional CSBG technical assistance provider(s)

National technical assistance provider(s)

Individual consultant(s)

Tribes and Tribal Organizations

Other IT Vendor

None (the State will carry out activities directly)

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

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

7.11. Performance Management Adjustment:

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

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

The State conducted individual calls with eligible entities and reviewed the past use of discretionary funds. There were no recommendations for a change in discretionary fund investment. However, there was a request for more transparency in use of funds. The State has shared the use of discretionary funds via the Association Quarterly Meeting and individual calls.

Section 8: State Training and Technical Assistance

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

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SECTION 8
State Training and Technical Assistance

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

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

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Other	Training, T&TA is developed as identified by eligible entities, monitoring reports, and/or performance analysis
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Standards for eligible entities with unmet standards on TAPs and QIPs	
5	Ongoing / Multiple Quarters	Both	Reporting	
6	Ongoing / Multiple Quarters	Both	ROMA	
7	Ongoing / Multiple Quarters	Both	Community Assessment	
8	Ongoing / Multiple Quarters	Both	Strategic Planning	
9	Ongoing / Multiple Quarters	Both	Monitoring	
10	Ongoing / Multiple Quarters	Both	Technology	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$0

If this is the implementation year for organizational standards, skip the following question.

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

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

This is our implementation year, however we are requiring all eligible entities to have TAPs for any unmet standards. This helps us and the entities in tracking how standards are being met.

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

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

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

8.4. Performance Management Adjustment:

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

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

The State has provided more direction in the contract with WSCAP. WSCAP is responsible for providing Technical Assistance and Training on behalf of the Department of Commerce and the needs of the Community Action network. WSCAP will contract, when necessary, with consultants to provide training and supportive services as identified in an annual T & TA Needs Survey and thru ongoing training requests from Community Action Agency (CAA) staff and Commerce CSBG staff. WSCAP will provide outreach and marketing of this service to CAA staff, inclusive of Executive Directors, Fiscal Directors, Human Resource staff, CSBG Program Staff, CSBG Data

staff, and Board members. *Develop a SFY17 training plan based on an annual T & TA Needs Survey and ongoing training requests received. *Evaluations will be conducted for each training and workshop offered *Conduct an annual T & TA Needs Survey to be used in the development of the annual training plan. *Establish and promote a procedure for CAA staff at all levels to submit training and technical assistance requests to WSCAP *Provide Bi-Annual CSBG Conference

Section 9: State Linkages and Communication

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

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

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

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

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

State Low Income Home Energy Assistance Program (LIHEAP) office

State Weatherization office

State Temporary Assistance for Needy Families (TANF) office

State Head Start office

State public health office

State education department

State Workforce Innovation and Opportunity Act (WIOA) agency

State budget office

Supplemental Nutrition Assistance Program (SNAP)

State child welfare office

State housing office

Other

Lead Rental Registry Team which is in partnership with DOH regarding Lead Hazards in Washington and impacts to young children. Homeless Youth Advisory Committee - Governor's Office staff, HAU, Columbia Legal, and other local service providers and stakeholder. Affordable Housing Advisory Board (AHAB) Housing Finance Commission (HFC), variety of local stakeholders to work on affordable housing availability, maintenance, and other issues related to affordable housing. Adult Education Advisory Council (AEAC) SBCTC, Workforce Development Councils, CAAs, Community Colleges, ESD, DOC, Workforce board, Office of Superintendent of Public Instruction (OSPI), DSHS. EITC Campaign Partner with DSHS, WorkFirst, and 211 WorkFirst Leadership Team which partners with DSHS TANF, ESD, State Board of Community & Technical Colleges (SBCTC), and DEL. Rapid Rehousing Leaders collaborative efforts with Governor's Office staff, HAU, DSHS, ESD, local housing providers, and other stakeholders to address homelessness issues. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.

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

STATE LINKAGES Rapid Rehousing Leaders collaborative efforts with Governor's Office staff, HAU, DSHS, ESD, local housing providers, and other stakeholders to address homelessness issues. Affordable Housing Advisory Board (AHAB) Housing Finance Commission (HFC), variety of local stakeholders to work on affordable housing availability, maintenance, and other issues related to affordable housing. Homeless Youth Advisory Committee - Governor's Office staff, HAU, Columbia Legal, and other local service providers and stakeholder. EITC Campaign Partner with DSHS, WorkFirst, 211 and local entities. LOCAL LINKAGES Eligible entities work with over 5,780 public and private organizations to expand resources and opportunities in order to achieve family and community outcomes. NPI 4.1 FY 2015 Community Action Agencies actively engage in coalitions in their community. Attached find a sampling of coalition membership. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

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

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department via a web based system. The organization section includes a tab wherein eligible entities describe the process utilized to link services and coordinate funding in their service area. Eligible entities provide information on coalitions, MOUs, and partnerships. *[Click paper clip to attach file]*

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

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

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department via a web based system. The organization section includes a tab wherein eligible entities describe the process utilized to link services and coordinate funding in their service area. Eligible entities provide information on coalitions, MOUs, and partnerships.

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

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

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

Washington State does intend to include CSBG employment and training activities as part of our WIOA Combined State Plan. The following language is included in Washington's WIOA state plan: The Community Services Block Grant (CSBG), administered by the Department of Commerce, awards funds to local community action agencies to provide services to low-income households at or below 125% of the federal poverty level (FPL). CSBG Grantees determine how funding will be used to support allowable CSBG activities, such as employment and training activities. These funds may be used to provide actual services to individuals, or they may be used to support the administration of allowable services and activities funded thru a different source. When the CSBG grantee elects to use CSBG funding to provide workforce development employment and training services to individuals, those services will be required to align with the States WIOA strategies and be coordinated with the local one-stop center. When CSBG funding is used to support allowable services and activities funded thru a different source, WIOA requirements will be determined by the primary funding source.

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

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

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

The Department administers the LIHEAP grant. LIHEAP also supports the Department's weatherization program. The majority of the CSBG eligible entities administer both the LIHEAP and WX programs. The Department reserves a portion of CSBG discretionary funds for assistance in natural disasters. These funds may be used to provide emergency energy crisis intervention.

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

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. They must describe organizations with which they coordinate services, including faith-based organizations, charitable groups, and community organizations. All eligible entities participate in coalitions which are comprised of multiple organizations. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. They must describe organizations with which they coordinate services.

9.8. Coordination among Eligible Entities and State Community Action Association:
Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The Department works closely with the State Community Action Association, Washington State Community Action Partnership and annually provides funds for WSCAP activities and statewide services. The Department collaborates with WSCAP on training and technical assistance for the eligible entities.

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

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	The Division and Unit lead of the Community Services Block Grant meet quarterly with the Executive Director of WSCAP.	Quarterly	Meetings/Presentation	
2	All eligible entities and WSCAP will receive an email with 3.2 State Plan Goals and local linkages from section 9.	Other	Email	One time before posting of draft
3	Individual calls to Executive Directors were available to discuss ACSI and the State Plan.	Other	Other	Phone calls lasting 40-60 minutes
4	Email of Draft State Plan to all Executive Directors, Program Staff and WSCAP	Other	Email	Once before posting draft
5	Post State Plan draft on Department web site	Other	Website	July 1, 2016
6	Interested Parties letter sent to all Executive Directors.	Other	Email	end of June
	Debrief/review at WSCAP			

7	quarterly meeting	Other	Meetings/Presentation	Fall or Winter depending on availability
9.10. Feedback to Eligible Entities and State Community Action Association:				
Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.				
<i>Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.</i>				
Email and individual calls. We intend to form a CSBG workgroup. We presently have a ROMA NG workgroup, an Organizational Standards workgroup, and data/performance disappearing task force.				
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>				
9.11. Performance Management Adjustment:				
How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.				
<i>Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.</i>				
Email and individual calls. We intend to form a CSBG workgroup. We presently have a ROMA NG workgroup, an Organizational Standards workgroup, and data/performance disappearing task force				

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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SECTION 10
Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Benton Franklin Community Action Committee	Full onsite	FY2 Q4	09/14/2014	
2	Blue Mountain Community Action Council	Full onsite	FY2 Q1	10/18/2016	
3	Centerstone	Full onsite	FY2 Q2	03/14/2014	
4	Chelan-Douglas Community Action Council	Full onsite	FY1 Q3	06/20/2016	
5	Clark County Department of Community Services	Full onsite	FY1 Q4	09/17/2015	
6	Coastal Community Action Program	Full onsite	FY2 Q3	04/14/2014	
7	Community Action Center	Full onsite	FY1 Q4	08/09/2016	
8	Community Action Council of Lewis, Mason, and Thurston Counties	Full onsite	FY2 Q1	10/25/2016	
9	Community Action Partnership of Idaho	Full onsite	FY2 Q4	09/14/2014	
10	Community Action of Skagit County	Full onsite	FY1 Q3	05/24/2016	
11	El Centro de la Raza	Full onsite	FY1 Q3	05/18/2015	
12	Hopelink	Full onsite	FY1 Q3	06/02/2015	
13	Hopesource	Full onsite	FY1 Q4	08/25/2015	
14	Kitsap Community Resources	Full onsite	FY1 Q4	06/29/2016	
15	Lower Columbia Community Action Program	Full onsite	FY1 Q3	05/26/2015	
16	Metropolitan Development Council	Full onsite	FY1 Q4	09/08/2015	
17	Multi-Service Center	Full onsite	FY2 Q3	04/14/2014	
18	Neighborhood House	Full onsite	FY2 Q3	06/14/2014	
19	Opportunities Industrialization Center of WA	Full onsite	FY1 Q4	09/14/2015	
20	Okanogan Community Action Programs	Full onsite	FY2 Q4	09/14/2014	
21	Olympic Community Action Programs	Full onsite	FY1 Q4	09/06/2016	
22	Opportunity Council	Full onsite	FY2 Q4	07/14/2014	
23	Pierce County Community Connections	Full onsite	FY1 Q3	06/20/2016	
24	Rural Resources Community Action	Full onsite	FY1 Q3	05/24/2016	
25	City of Seattle-Seattle Conservation Corps	Follow-up	FY1 Q4	08/12/2015	
26	Snohomish County Human Services Department	Full onsite	FY1 Q4	09/15/2015	
27	Solid Ground	Full onsite	FY1 Q3	06/06/2016	
28	Spokane Neighborhood Action Partners	Full onsite	FY2 Q4	09/14/2014	
29	Washington Gorge Action Programs	Full onsite	FY2 Q3	05/14/2014	
30	Yakima Valley Farm Workers Clinic/Northwest Community Action	Full onsite	FY1 Q4	09/21/2015	

Center
10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.
See Attachments
10.3. Initial Monitoring Reports: According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?
<i>Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.</i>
30
Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)
10.4. Closing Findings: Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.
10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans?
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
0
10.6. Reporting of QIPs: Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
See CSBG Monitoring Policy attached in 10.2
10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input type="radio"/> Yes <input checked="" type="radio"/> No
10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.
10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? <input type="radio"/> Yes <input checked="" type="radio"/> No
10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.
10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? <input type="radio"/> Yes <input checked="" type="radio"/> No
10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.
Fiscal Controls and Audits and Cooperation Assurance
10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).
Please see Attachments
10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK HERE FOR LINK TO 45 CFR Â§75.521
<i>Note: This information is associated with State Accountability Measure 4Sd.</i>
Please see Attachment
10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>
10.14. Performance Management Adjustment:

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

Note: This item is associated with [State Accountability Measure 4S](#) and may pre-populate the State's annual report form.

Washington State received feedback regarding the need for more consistency in monitoring. As a result we redesigned our on-site monitoring tool to include less subjective questions and created questionnaires specifically for board members and staff. There are more prompts to elicit qualitative information, so that all monitors collect the same information. We also developed and have been using a governing/advisory board meeting review form.

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11
Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under [Section 676B](#) of the CSBG Act? *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- Other

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

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

The state of Washington follows federal and state guidelines requiring Subrecipients have written procedures under which a low-income individual, community organization, religious organization, or representative of such may petition for adequate representation on the board of an eligible entity. This verification is included as part of our on-site monitoring tool questionnaire.

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

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

Section 12: Individual and Community Eligibility Requirements

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

Form Approved
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SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

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

Income is used to ensure that participants do not exceed 125% of the Federal Poverty level. Household income is determined at the time of initial application and upon recertification. Proof of household income documentation may include but is not limited to: check stubs, award letters, communication from DSHS, ESD, accessing DSHS database (BVS), bank statements, copy of checks, letters from employers, self-employment records and tax records. Please see the attached Monitoring Tool in 10.2 Section III Client Eligibility and Client Files Direct Services pages 20 and 21.

12.2. Income Eligibility for General/Short-Term Services:

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

Eligibility must be documented in client files. In the event a client seeking services is unable to provide documentation due to an emergency or crisis situation, a client may self-certify.

12.3. Community-targeted Services:

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

Community targeted services are submitted through the web based Community Action Plan. The Department reviews the Community Needs Assessment and Community Action Plan to ensure services are targeting low income communities.

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

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SECTION 13
Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

- The Results Oriented Management and Accountability (ROMA) System**
- Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act**
- An alternative system for measuring performance and results.**

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

The Department has incorporated ROMA principles in the areas of reporting, Community Action Plans, Strategic Planning, Community Needs Assessment, goal/target setting, and Board Trainings. The Department has one certified ROMA trainer. All eligible entities have participated in ROMA training or the NCRI pilot. Please see the monitoring tool attached in 10.2, ROMA Reporting: Section III, ROMA Reporting, Page 22 as well as Section 4 on Service Delivery.

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

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

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

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

We use NPIs, Community Action Plan, Organizational Standards review, and Monitoring.

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

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

The State has collaborated with the Washington Community Action Partnership on ROMA trainings and the NCRI pilot. The State is working with NCRTs to provide focused, high touch support with eligible entities who have identified a need for T&TA.

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

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

Agencies are required to submit an annual CSBG IS-Survey, and provide performance measures biannually in the Community Action Plan to include targeting on activities funded by CSBG. The Community Action Plan can be used to report to the Board and Public. Eligible entities must also meet Organizational Standards 1.3, 6.4 and 9.1.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

The State secures a Community Action Plan from each eligible entity annually and update activities when impacted by additional state funds.

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

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

As part of Org Standards Assessment each entity must submit CNA on annual basis. In addition, we ask about CNA in Community Action Plan and also during on-site Monitoring. Prior to 2016, we received a copy of each agency's CNA electronically on an annual basis.

Section 14: CSBG Programmatic Assurances and Information Narrative

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SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP requires a Needs and Strategy Statement for programs not listed as a Priority Need in the CNA as well as Description of Outcome-Based Activities.

Needs of Youth

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

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

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP requires eligible entities provide a description of youth focused initiatives that demonstrate how CSBG funding was used and coordinated with other programs and resources.

Coordination of Other Programs

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

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP requires descriptions of how the eligible entity links services and coordinates funding in their service area. They are required to provide a list of coalitions by name, describe the missing, who participates, and methods used by the coalition to coordinate services and funding.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;
See 7.9 and 7.10
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.</i>
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.</i>
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP requires eligible entities to describe how funds will be used to support innovative community and neighborhood based initiatives specifically focused on fatherhood or other initiatives with the goal of strengthening families and encouraging effective parenting. Please see attached Monitor Tool: Fatherhood Initiative: Section III, Program Objectives, Page 22.
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."
All eligible entities directly provide emergency services and referrals to emergency services. All eligible entities are monitored on-site every three years and monitoring visits include food sites and nutrition programs, as appropriate and required.
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.</i>
State Coordination/Linkages and Low-income Home Energy Assistance
14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.</i>
Federal Investigations
14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
Funding Reduction or Termination
14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>
Coordination with Faith-based Organizations, Charitable Groups, Community Organizations
14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.</i>

Eligible Entity Tripartite Board Representation

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

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

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

Section 15: Federal Certifications

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

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SECTION 15
Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76,

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

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

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

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

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

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

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

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

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

 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

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

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

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

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

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

(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)

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.

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

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

** 9. Nothing contained in the foregoing shall be construed to require establishment of a**

system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart

9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

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

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

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

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

15.3. Debarment

After assurance select a check box:



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

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.