



## Community Services Block Grant (CSBG) State Plan for Federal Fiscal Year 2018 and 2019

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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 [**Louisiana Workforce Commission**]

**1.1b.** Cabinet or administrative department of this lead agency [**Check One and narrative where applicable**]

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe: [**Division of Administration**]

**1.1c.** Division, bureau, or office of the CSBG authorized official [**Office of the Secretary**]

**1.1d.** Authorized official of the lead agency [**Ava Dejoie, Executive Director**]

**1.1e.** Street address [**1001 North 23<sup>rd</sup> Street**]

**1.1f.** City [**Baton Rouge**]

**1.1g.** State [**Louisiana**]

**1.1h.** Zip [**70804**]

**1.1i.** Telephone number and extension [**225-342-3001**]

**1.1j.** Fax number [**225-342-3778**]

**1.1k.** Email address [**ADejoie@lwc.la.gov**]

**1.1l.** Lead agency website [**www.laworks.net**]

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

**1.2a.** Agency name [**Louisiana Workforce Commission**]

**1.2b.** Name of the point of contact [**Jonie Smith**]

- 1.2c. Street address [**1001 North 23<sup>rd</sup> Street**]
- 1.2d. City [**Baton Rouge**]
- 1.2e. State [**Louisiana**]
- 1.2f. Zip [**70804**]
- 1.2g. Point of contact telephone number [**225-342-4337**]
- 1.2h. Fax number [**225-219-0021**]
- 1.2i. Point of contact email address [**jsmith3@lwc.la.gov**]
- 1.2j. Point of contact agency website [**www.laworks.net**]

- 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.

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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 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Below is the link]**

**Louisiana Revised Statute**

<https://www.legis.la.gov/legis/Law.aspx?d=83942>

**Louisiana Administrative Code**

**Part XVII. Community Services Block Grant**

<http://www.doa.la.gov/osr/LAC/40v01/40.doc>

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

## SECTION 3

### State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency. **[We put people to work in fulfilling, family-sustaining careers by unlocking their potential with our extensive resources is the mission of the Louisiana Workforce Commission.]**
- 3.2. State Plan Goals:** Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

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

**Goal 1: To administer the CSBG program in accordance with the statutory purpose and in compliance with all other applicable statutes, rules, regulations, policies and procedures set forth by Federal and State government in a manner which will increase management efficiency and program effectiveness.**

**Objectives:**

- Involve eligible entities and the State Association in the development of the State Plan via meetings, conference calls, emails and public hearings.
- Prepare and send out the CSBG application package (contract) prior to the beginning of the Federal Fiscal Year.
- Distribute available funds to eligible entities within 15 calendar days after receiving a Notice of Grant award letter.

**Goal 2: To support organizational best practices and strengthen organizational capacity, management efficiency and program effectiveness of the CSBG eligible entities.**

**Objectives:**

- To provide training and technical assistance to assist eligible entities in complying with CSBG program objectives, ROMA and Organizational Standards.
- Evaluate eligible entities Community Action Plan and Quarterly Activity Plan to ensure the CSBG program assurances are being met.
- Ensure eligible entities conduct a Community Needs Assessment at least once every three years to assist in determining the current and future needs of communities served.
- Implement the CSBG Annual Report to support agency efforts to set and measure progress on targets for individual, family and community outcomes resulting from locally-determined services and strategies to address locally-identified community needs.

**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 applies 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) **[CSBG Training and Technical Assistance Survey]**

**3.3b. Consultation with [Check all that applies 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)

National organizations (describe)

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. **[On May 16, 2017, the State involved CSBG eligible entities and the State Association through a Field Leadership Advisory Team (FLAT) meeting to discuss the development of the plan. The FLAT committee provided the State feedback on the plan, the formula and other areas of interest to the network. The State conducted an electronic survey in May 2017 for CSBG eligible entities to provide the State input on training and technical assistance needs. The State will continue to involve eligible entities and the State Association through emails, phone calls, meetings and public hearings.]**

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

**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. **[In analyzing the ACSI 2015 Survey results, it was determined that more communication and dialog with the eligible entities would be beneficial in the development of the State Plan and identifying training and technical assistance needs. The State will be more proactive this year in soliciting comments from eligible entities through surveys, emails, phone calls and public hearings.]**

**Note:** This information is associated with State Accountability Measures 1Sb (i) and (ii) and may pre-populate the State’s annual report form.

**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

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act. **[The State will hold public hearings in two locations at which the Plan will be available for review and the draft State Plan will be posted on the State’s website at [www.laworks.net](http://www.laworks.net).]**
- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[The State will post notices of the public hearings on the State’s website, notice of the public hearings will be published in local newspapers and eligible entities will post notices in their offices and make the plan available for public review and comment.]**
- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a) (2) (B) and Section 676(a) (3) of the Act.

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

Date	Location	Type of Hearing
December 17, 2015	900 N. 3rd Street, Baton Rouge, LA	Legislative
August 1, 2017	1407 Barrow Street, Franklin, LA 70538	Public
August 3, 2017	307 North Homer Street, Ruston, LA 71270	Public

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

[http://house.louisiana.gov/Agendas\\_2015/Dec\\_2015/1217\\_15\\_MP\\_Joint.pdf](http://house.louisiana.gov/Agendas_2015/Dec_2015/1217_15_MP_Joint.pdf)

## 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.)

<b>CSBG Eligible Entity</b>	<b>Public or Nonprofit</b>	<b>Type of Agency</b>	<b>Geographical Area Served</b>
Allen Action Agency, Inc.	NON-PROFIT	CAA	Allen
ASSIST Agency, Inc.	NON-PROFIT	CAA	Acadia, Jeff Davis, Vermilion
Assumption Parish Police Jury	PUBLIC	Local Government Agency	Assumption
Avoyelles Progress Action Committee, Inc.	NON-PROFIT	CAA	Avoyelles
Beauregard CAA, Inc.	NON-PROFIT	CAA	Beauregard
Bossier Office of Community Services Inc.	NON-PROFIT	CAA	Bossier
Caddo CAA, Inc.	NON-PROFIT	CAA	Caddo
Calcasieu Parish Police Jury Human Services Department	PUBLIC	Local Government Agency	Calcasieu
Cameron CAA, Inc.	NON-PROFIT	CAA	Cameron
Cenla Community Action Committee, Inc.	NON-PROFIT	CAA	Rapides
City of Baton Rouge of Human Development & Services	PUBLIC	Local Government Agency	East Baton Rouge
Claiborne Parish Police Jury Office of Community Services	PUBLIC	Local Government Agency	Claiborne
Delta CAA, Inc.	NON-PROFIT	CAA	Madison, Richland
Desoto Parish Police Jury Office of Community Services	PUBLIC	Local Government Agency	Desoto
East Carroll CAA	PUBLIC	Local Government Agency	East Carroll
Evangeline CAA, Inc.	NON-PROFIT	CAA	Evangeline

HELP	PUBLIC	Local Government Agency	Lincoln
Iberville Parish Council, Office of Community Services	PUBLIC	Local Government Agency	Iberville
Jefferson Community Action Programs	PUBLIC	Local Government Agency	Jefferson
Lafourche Parish Council, Office of Community Action	PUBLIC	Local Government Agency	Lafourche
LaSalle CAA, Inc.	NON-PROFIT	CAA	Caldwell, Catahoula, Concordia, Franklin, Grant, LaSalle, Tensas
Macon Economic Opportunity, Inc.	NON-PROFIT	CAA	West Carroll
Natchitoches Parish Police Jury, Office of Community Services	PUBLIC	Local Government Agency	Natchitoches
Ouachita Multi-Purpose CAP, Inc.	NON-PROFIT	CAA	Ouachita
Pine Belt Multi-Purpose Agency, Inc.	NON-PROFIT	CAA	Bienville, Jackson, Morehouse, Red River, Sabine, Winn
Plaquemines Parish CAA	PUBLIC	Local Government Agency	Plaquemine
Pointe Coupee Community Advancement, Inc.	NON-PROFIT	CAA	Pointe Coupee
Quad Area CAA, Inc.	NON-PROFIT	CAA	Ascension, East Feliciana, Livingston, St. Helena, Tangipahoa, Washington, West Feliciana
St. Bernard Parish Government	PUBLIC	Local Government Agency	St. Bernard
St. Charles Parish Department of Community Services	PUBLIC	Local Government Agency	St. Charles
St. James Parish Government Department of Human Resources	PUBLIC	Local Government Agency	St. James
St. John Department of Health and Human Services	PUBLIC	Local Government Agency	St. John
St. Landry Community Action Agency	PUBLIC	Local Government Agency	St. Landry
St. Mary CAA, Inc.	NON-PROFIT	CAA	St. Mary
St. Tammany Parish Department of Community Action	PUBLIC	Local Government Agency	St. Tammany
S.M.I.L.E. CAA, Inc.	NON-PROFIT	CAA	St. Martin, Iberia, Lafayette

Terrebonne Parish Consolidated Government	PUBLIC	Local Government Agency	Terrebonne
Total CA, Inc.	NON-PROFIT	CAA	Orleans
Union CAA, Inc.	NON-PROFIT	CAA	Union
Vernon Community Action Council, Inc.	NON-PROFIT	CAA	Vernon
Webster Parish Police Jury	PUBLIC	Local Government Agency	Webster
West Baton Rouge Parish Council	PUBLIC	Local Government Agency	West Baton Rouge

5.2. Total number of CSBG eligible entities: 42

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

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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)

The State will use an alternative set of organizational standards [**Attach supporting documentation if this option is selected**]

**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 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 applies 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)

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other [**Desk Reviews**]

**6.4a.** Describe the assessment process. [Annually, the State will perform desk reviews of eligible entity's Organizational Standards self-assessment and documents submitted to support its assessment. After the preliminary review, the State will provide a report to the eligible entities identifying the unmet Organizational Standards as well as those that are met based off the supporting documentation reviewed. The report will include information related to the deficiency, requirements of the Organizational Standards, and technical assistance tools, if applicable. The eligible entity will be given a deadline to provide additional documentation once the preliminary review has been completed.

After the State receives the additional documentation from the eligible entity, the State will review the documentation and provide a subsequent report indicating if the organizational standards have been met or not met. The eligible entity will be provided with another opportunity to provide additional documentation to address the unmet standards within an agreed upon deadline. The eligible entity's response must address each unmet standard and contain supporting documentation that clearly demonstrates the standard has been met. The State will review the response and determine if the eligible entity's response satisfies the standard. Following, another report will be issued to the eligible entity indicating which Organizational Standards were met or not met. In the event the eligible entity does not meet a standard, the State will review whether the eligible entity requires technical assistance to meet the standard(s) and what other steps are necessary. The State will continue to provide technical assistance and develop a Technical Assistance Plan (TAP) with the eligible entity until all the standards have been met.]

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

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

**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) **[50%]**

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

## SECTION 7 State Use of Funds

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

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

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula

**Other [Poverty population per parish against the total poverty population for the state with no eligible entity receiving less than \$50,000 using the 2010 Census Data and the 5-year American Community Survey (ACS) estimates.]**

**7.1a.** Does the State statutory or regulatory authorities 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.

<b><i>Planned CSBG 90 Percent Funds</i></b>		
<b>CSBG Eligible Entity</b>	<b>Year One (FY 2018) Funding % Amount</b>	<b>Year Two (FY 2019) Funding % Amount</b>
Allen Action Agency, Inc.	0.39%	0.39%
ASSIST Agency, Inc.	3.30%	3.30%
Assumption Parish Police Jury	0.41%	0.41%
Avoyelles Progress Action Committee, Inc.	0.98%	0.98%
Beauregard CAA, Inc.	0.80%	0.80%
Bossier Office of Community Services Inc.	1.94%	1.94%
Caddo CAA, Inc.	6.04%	6.04%
Calcasieu Parish Police Jury	3.69%	3.69%
Cameron CAA, Inc.	0.32%	0.32%
Cenla Community Action Committee, Inc.	2.99%	2.99%
City of Baton Rouge of Human Development & Services	9.57%	9.57%
Claiborne Parish Police Jury	0.46%	0.46%

Delta CAA, Inc.	0.91%	0.91%
Desoto Parish Police Jury	0.79%	0.79%
East Carroll CAA	0.33%	0.33%
Evangeline CAA, Inc.	0.94%	0.94%
HELP	1.59%	1.59%
Iberville Parish Council	0.63%	0.63%
Jefferson Community Action Programs	8.12%	8.12%
Lafourche Parish Council, Office of Community Action	1.59%	1.59%
LaSalle CAA, Inc.	2.63%	2.63%
Macon Economic Opportunity, Inc.	0.32%	0.32%
Natchitoches Parish Police Jury	1.26%	1.26%
Ouachita Multi-Purpose CAP, Inc.	4.08%	4.08%
Pine Belt Multi-Purpose Agency, Inc.	2.83%	2.83%
Plaquemines Parish CAA	0.42%	0.42%
Pointe Coupee Community Advancement, Inc.	0.49%	0.49%
Quad Area CAA, Inc.	8.91%	8.91%
St. Bernard Parish Government	0.92%	0.92%
St. Charles Parish Department of Community Services	0.69%	0.69%
St. James Parish Government Department of Human	0.43%	0.43%
St. John Department of Health and Human Services	0.89%	0.89%
St. Landry Community Action Agency	2.58%	2.58%
St. Mary CAA, Inc.	1.32%	1.32%
St. Tammany Parish Department of Community Action	3.09%	3.09%
S.M.I.L.E. CAA, Inc.	6.74%	6.74%
Terrebonne Parish Consolidated Government	2.43%	2.43%
Total CA, Inc.	11.10%	11.10%
Union CAA, Inc.	0.69%	0.69%
Vernon Community Action Council, Inc.	0.83%	0.83%
Webster Parish Police Jury	1.05%	1.05%
West Baton Rouge Parish Council	0.52%	0.52%
<b>Total</b>	<b>100%</b>	<b>100%</b>

**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). **[The State distributes funding utilizing a contract and letters of credit. Prior to the start of the new federal fiscal year, the State distributes and processes contracts with tentative allocations based on previous years funding to eligible entities. Upon receipt of a Notice of Grant Award from USHHS, the State generates a letter of credit to each eligible entity with the eligible entity’s allocated percentage of funds awarded. Once the State is aware of the federal fiscal year’s final allocation, the State distributes and processes contract amendments to include each eligible entity’s final allocation.]**

**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 pre-populate the State’s annual report form.

**7.5. Performance Management Adjustment:** How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. **[The State has made improvements to minimize the contract approval process by obtaining delegated authority for contracts and has standardized the contract template and attachments. The State receives feedback from the eligible entities and the State Association on how to improve the State Plan process and program forms and instructions.]**

**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the State’s annual report form.

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

**7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. **[5 %]**

**7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[13]**

**7.8.** How many State Full Time Equivalent (FTEs) will be funded with CSBG funds under this State Plan? **[6]**

**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; the responses may pre-populate the State’s annual report form.

Remainder of Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training and Technical Assistance	\$100,000	0.00%	\$100,000	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0	0.00%	\$0	0.00%	
c. Statewide coordination and communication among eligible entities	\$0	0.00%	\$0	0.00%	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0	0.00%	\$0	0.00%	
e. Asset building programs	\$0	0.00%	\$0	0.00%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0	0.00%	\$0	0.00%	
g. State charity tax credits	\$0	0.00%	\$0	0.00%	
h. Other activities, specify	\$97,900.00	0.00%	\$97,900	0.00%	To support the annual fee for the statewide CAP60 data management system.
<b>Totals</b>	<b>\$197,900.00</b>	<b>0.00%</b>	<b>\$197,900</b>	<b>0.00%</b>	

**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)
- 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
- None (the State will carry out activities directly)

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

**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. **[The State increased the amount of discretionary funds used to support the statewide computer software system to develop and customize new statewide quarterly/annual reporting. In partnership with the State Association and eligible entities, the State was able to decrease the amount of discretionary funds planned for training and technical assistance and innovative programs by providing annual training at the State Association Training conferences, conducting regional training at eligible entities facilities and utilizing available trainers within the network.]**

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

## SECTION 8

### State Training and Technical Assistance

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

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

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Quarters	Both	CSBG Annual Report	
Ongoing/Multiple Quarters	Both	Community Assessment	
Ongoing/Multiple Quarters	Both	Organizational Standards - General	
Ongoing/Multiple Quarters	Both	Governance/Tripartite Boards	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Both	Organizational Standards	

**8.1a.** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): \_\_\_\_\_  
**[Prepopulated with the budget allocation for years one and two under 7.9a]**

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

Yes    No

After CSBG eligible entities submitted their original submission of documentation for organizational standards, the State completed desk reviews and provided technical assistance and guidance on why the documentation submitted did not meet the standard. The State has some TAP's in place with eligible entities that have unmet organizational standards, and will continue to provide them with technical assistance and/or training.

**Note:** 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C (a) (4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

**8.3.** 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) **[42]**
- 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

**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. **[The State has developed a T/TA Plan in partnership with the State Association. The State will continue to partner with the State Association to offer enhanced training and technical assistance for eligible entities. Eligible entities provide feedback on training and technical assistance needs through conference calls, emails and/or surveys.]**

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

## 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. **[The State has a Louisiana Workforce Investment Council that serves to develop a strategic plan to coordinate and integrate a workforce development delivery system to assure efficiency and cooperation between public and private entities by advising the governor on the needs of Louisiana’s employers and its workforce. Members are from stakeholder groups, which are business and industry, organized labor, state and local government and community organizations. The State administers funding under Workforce Innovation and Opportunity Act (WIOA), Vocational Rehabilitation Services and contractual services in partnership with the Department of Family and Children Services to provide employment focused services to individuals enrolled in SNAP and classified as mandatory work registrants.]**

**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

**X Other [The State has a Louisiana Workforce Investment Council that serves to develop a strategic plan to coordinate and integrate a workforce development delivery system to assure efficiency and cooperation between public and private entities by advising the governor on the needs of Louisiana’s employers and its workforce. Members are from stakeholder groups, which are business and industry, organized**

labor, state and local government and community organizations. The State administers funding under Workforce Innovation and Opportunity Act (WIOA), Vocational Rehabilitation Services and contractual services in partnership with the Department of Family and Children Services to provide employment focused services to individuals enrolled in SNAP and classified as mandatory work registrants.]

- 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. **[The Community Action Network is made up of private non-profit and public agencies that provide a broad range of services to individuals and families to assist them to achieve economic security and efforts to form partnerships with business, non-profits and governmental entities to address community poverty issues. The scope of services provided by each agency varies based on the size of the community, the types of other non-profit partners within the community and the resources available to the agency. As such, the State’s strategy centers on ensuring local coordination through the local service providers. The State requires CSBG eligible entities to coordinate funds and services at the local level. The annual Community Action Plan from each entity has to describe the eligible entities’ coordination efforts with schools, non-profits, and other local or regional organizations. CSBG eligible entities are encouraged to participate in local coalitions whose goal is to coordinate services. ]**

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

9.3. **Eligible Entity Linkages and Coordination**

- 9.3a **State Assurance of Eligible Entity Linkages and Coordination:** Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed. **[The scope of services provided by each agency varies based on the size of the community, the types of other non-profit partners with in the community and the resources available to the agency. As such, the State’s strategy centers on ensuring local coordination through the local service providers. The State requires CSBG eligible entities to coordinate funds and services at the local level. The annual Community Action Plan from each entity has to describe the eligible entities’ coordination efforts with schools, non-profits, and other local or regional organizations. CSBG eligible entities are encouraged to participate in local coalitions whose goal is to coordinate services.]**

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

**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. **[Annually, CSBG eligible entities must submit a Community Action Plan to the State. The document includes a section wherein eligible entities describe any gaps in services and their strategy to address those gaps through the provision of information sharing, referrals, case management and follow-up consultations with other organizations in their local communities.]**

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

**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. **[The mission and responsibilities of the state agency that serves as the CSBG lead agency is to provide resources and foster partnerships in low-income communities that will enable low-income individuals to achieve self-sufficiency, enhance family stability and revitalize their community. Within the Louisiana Workforce Commission’s Office of Workforce Development, the Community Services Block Grant Unit’s mission and responsibilities are to be the lead poverty reduction agency in the state, administer the Community Services Block Grant funds, provide guidance to Community Action Agencies, ensure that resources are utilized to help local public and private nonprofit agencies assist low-income individuals and families achieve self-sufficiency, ensure that Community Services Block Grant funds are expended in accordance with applicable rules and regulations, ensure that Community Services Block Grant services are accessible through and coordinated with the One-Stop Career Centers as specified in the Workforce Innovation and Opportunity Act (WIOA), and encourage innovative initiatives to combat the effects of poverty throughout Louisiana.**

The CSBG Act, Sec. 676(b)(5) requires eligible entities to coordinate the provision of employment and training activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. The Workforce

Innovation and Opportunity Act (WIOA), which was signed into law on July 22, 2014, supersedes the Workforce Investment Act of 1998 (WIA).

**Agencies align services to ensure that customers receive the best available employment and training services, as well as employment supports to achieve their employment and self-sufficiency goals. As partners in the workforce system continuum of services, services focus on vulnerable populations and other least job-ready customers by focusing on reduction of the barriers to employment.]**

**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. **[Majority of the CSBG eligible entities administer the LIHEAP program. Annually, eligible entities must submit a Quarterly Activity Plan to the State. As a part of their plan, eligible entities describe how the organization will provide emergency energy crisis services to low-income families.]**

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

**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. **[Annually, CSBG eligible entities must submit a Community Action Plan to the State. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services including faith-based organizations, charitable groups, and community organizations.]**

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

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

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

**9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association. **[The State communicates with the State Association on a regular basis via conference calls, meetings and emails to discuss ways that the State can better meet the needs of the eligible entities. The State receives their input on training and technical assistance needs, use of CSBG discretionary funds, and other issues. The State Association holds two annual conferences and the State partners with them to provide training for 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 (drop down)	Brief Description of “Other”
Program Updates	Quarterly	Email	
Reports/Plans	Annually Quarterly	Email	
Notices received from USHHS, the National Association for State Community Services Programs (NASCSPP) and the Community Action Partnership.	Quarterly	Email	
Public and Legislative Hearings	Other	Email Website	Notices will be published in newspapers, local offices and on websites.

**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. **[Within 60 calendar days of receiving feedback from OCS, the State will provide eligible entities and the State Association via email the results of the ACSI Survey. The State will meet with the State Association to discuss the survey results and develop a plan to address concerns.]**

**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.

**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. **[The State is working in partnership with the State Association regarding communications sent out to the network via the association's website. The goal is to have all program communications posted on the association's website.]**

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

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**SECTION 10**  
**Monitoring, Corrective Action, and Fiscal Controls**

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

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

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

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

**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)
Allen Action Agency, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
ASSIST Agency, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Assumption Parish Police Jury	Full onsite	4 <sup>th</sup> quarter of FY17	
Avoyelles Progress Action Committee, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Beauregard CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Bossier Office of Community Services Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Caddo CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Calcasieu Parish Police Jury Human Services Department	Full onsite	4 <sup>th</sup> quarter of FY17	
Cameron CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Cenla Community Action Committee, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
City of Baton Rouge of Human Development & Services	Full onsite	4 <sup>th</sup> quarter of FY17	
Claiborne Parish Police Jury Office of Community Services	Full onsite	4 <sup>th</sup> quarter of FY17	

Delta CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Desoto Parish Police Jury Office of Community Services	Full onsite	4 <sup>th</sup> quarter of FY17	
East Carroll CAA	Full onsite	4 <sup>th</sup> quarter of FY17	
Evangeline CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
HELP	Full onsite	4 <sup>th</sup> quarter of FY17	
Iberville Parish Council, Office of Community Services	Full onsite	4 <sup>th</sup> quarter of FY17	
Jefferson Community Action Programs	Full onsite	4 <sup>th</sup> quarter of FY17	
Lafourche Parish Council, Office of Community Action	Full onsite	4 <sup>th</sup> quarter of FY17	
LaSalle CAA, Inc.	Full onsite		6/6-9/2017
Macon Economic Opportunity, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Natchitoches Parish Police Jury, Office of Community Services	Full onsite	4 <sup>th</sup> quarter of FY17	
Ouachita Multi-Purpose CAP, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Pine Belt Multi-Purpose Agency, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Plaquemines Parish CAA	Full onsite	4 <sup>th</sup> quarter of FY17	
Pointe Coupee Community Advancement, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Quad Area CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
St. Bernard Parish Government	Full onsite	4 <sup>th</sup> quarter of FY17	
St. Charles Parish Department of Community Services	Full onsite	4 <sup>th</sup> quarter of FY17	
St. James Parish Government Department of Human Resources	Full onsite	4 <sup>th</sup> quarter of FY17	
St. John Department of Health and Human Services	Full onsite	4 <sup>th</sup> quarter of FY17	
St. Landry Community Action Agency	Full onsite	4 <sup>th</sup> quarter of FY17	
St. Mary CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
St. Tammany Parish Department of Community Action	Full onsite	4 <sup>th</sup> quarter of FY17	
S.M.I.L.E. CAA, Inc.	Full onsite		5/17-18/2017
Terrebonne Parish Consolidated Government	Full onsite	4 <sup>th</sup> quarter of FY17	
Total CA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Union CAA, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	

Vernon Community Action Council, Inc.	Full onsite	4 <sup>th</sup> quarter of FY17	
Webster Parish Police Jury	Full onsite	4 <sup>th</sup> quarter of FY17	
West Baton Rouge Parish Council	Full onsite	4 <sup>th</sup> quarter of FY17	

**10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[A copy of the updated State monitoring policy will be provided upon approval.]**

**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? **[60]**

**Note:** This item is associated with State Accountability Measure 4Sa (ii) and may pre-populate the State’s annual report form.

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

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

**10.4a.** If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings.

**10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? **[0]**

**Note:** The QIP information is associated with State Accountability Measures 4Sc.

**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? **[The State will contact the Office of Community Services either by phone or through e-mail to inform them of an eligible entity who is put on a Quality Improvement Plan.]**

**Note:** This item is associated with State Accountability Measure 4Sa (iii)).

**10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).”  Yes  No

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

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

**10.8.** Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?  Yes  No

**10.8a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State

procedures for the designation of new eligible entities.

<https://www.legis.la.gov/legis/Law.aspx?d=83944>

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

Yes  No

**10.9a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[If the State determines that, on the basis of a final decision in a review pursuant to Section 678C of the CSBG Act, that an eligible entity fails to comply with the terms of an agreement, or the State Plan, to provide services under this subtitle or to meet the appropriate standards, goals, and other requirements established by the State (including performance objectives) the State will: a. inform the entity of the deficiency to be corrected; b. require the entity to correct the deficiency; c. offer training and technical assistance – 1. if appropriate, to help correct the deficiency, and prepare and submit to the Secretary a report describing the training and technical assistance offered; or 2. if the State determines that such training and technical assistance are not appropriate, prepare and submit to the Secretary a report stating the reasons for the determination; and d. request a quality improvement plan – 1. at the discretion of the State (taking into account the seriousness of the deficiency), allow the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period of time, as determined by the State; and 2. not later than 30 days after receiving from an eligible entity a proposed quality improvement plan pursuant to subparagraph (1) either approve such proposed plan or specify the reasons why the proposed plan cannot be approved; and 3. after providing adequate notice and an opportunity for a hearing, initiate proceeding to terminate the designation of or reduce the funding under the Act for the eligible entity unless the entity corrects the deficiency.]**

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

**10.10a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[The re-designation process shall follow the same procedures as outlined in Louisiana RS 23:63 Community action agency; appointment, responsibilities. <http://legis.la.gov/Legis/Law.aspx?d=83944>]**

**10.11. Fiscal Controls and Accounting: 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).

**[All expenditures are recorded in the State's accounting system. Indexes, grant numbers**

and fund numbers allow for identification of charges to a specific grant and cost categories. Procedures are in place to ensure compliance with statues and regulations. Independent annual financial audit and single audit are performed for the State. All drawdowns must be consistent within the most current approved budget. Draws downs are then processed by accountants. Back up to support draws are reviewed during monitoring. The general ledger is the source for the SF-425 Federal fiscal reports. They are prepared by the accountant and approved by management prior to submission. Reports are prepared according to program rules and regulations.]

- 10.12. Single Audit Management Decisions:** Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR §75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE](#) FOR LINK TO 45 CFR §75.521 **[Upon receipt of the Single Audit, a review is completed to determine if the packet submitted is complete and all opinions are provided. If the audit contains findings, it is reviewed and discussed by management and staff to determine the appropriate steps to ensure the eligible entity corrects the issues identified in the audit report or management letter. The State will issue correspondence to the eligible entity, identifying that corrective action measures must be performed and requiring support documentation to be provided. The eligible entity will be provided a time frame to respond to complete the corrective action and to respond to the correspondence. At a maximum, the eligible entity must correct all identified issues within six (6) months of the Single Audit being submitted to the Federal Clearing House.]**

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

- 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?  Yes  No

**Note:** This response will link with the corresponding assurance, item 14.7

- 10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[After a review of the last ACSI survey results, the State had conference calls, meetings and conducted training with the State Association and eligible entities on the monitoring process.]**

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

**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
  - Track Board vacancies/composition
  - Other **[The State reviews tripartite board information which includes a list of board members, the segment each represents, their mailing address, and their terms.]**
- 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 **[When changes occur with the Tripartite Board.]**
- 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. **[The State requires eligible entities, to develop policies and procedures that provide a means for low-income individuals, community organizations, or religious organizations, or representatives of low-income individuals that considers its organization or low-income individuals to be under-represented on the board to petition for adequate representation in the CSBG contract.]**
- Note:** This response will link with the corresponding assurance, item 14.10.
- 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. **[Public agencies have advisory boards and develop bylaws for the advisory board.]**

## Section 12

### Individual and Community Income Eligibility Requirements

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

125% of the HHS poverty line

X % of the HHS poverty line (fill in the threshold): \_\_\_\_\_% **[insert up to a 3 digit percentage]**

Varies by eligible entity

**12.1a.** Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[The State's CSBG contract requires that participants receiving assistance must meet CSBG income guidelines—125% of the U.S. Federal Poverty Guidelines issued by the Department of Health and Human Services in effect at the time of application for assistance. Eligible entities are required to establish eligibility polices and determination procedures for CSBG funded programs and activities in which low income individuals receive a monetary benefit. Income eligibility shall be based on gross income at or below 125% of the HHS poverty guidelines. Eligible entities must maintain accurate documentation of the applicant eligibility determinations. ]**

**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. **[In instances where there is an immediate need of services, due to unforeseen circumstances such as a Federal and/or State declared disaster, a waiver from the State is required to assist individuals with the need.]**

**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? **[Annually, CSBG eligible entities must submit a Community Action Plan and Quarterly Activity Plan to the State. As part of their plan, CSBG eligible entities describe services the organizations will provide to low-income communities.]**

## SECTION 13

### Results Oriented Management and Accountability (ROMA) System

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

**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. **[Annually, CSBG eligible entities are required to identify, at a minimum, the goal and outcome measures it will address for self-sufficiency, family stability, and community revitalization utilizing a Quarterly Activity Plan. Eligible entities report performance based data on the National Goals/National Performance Indicators (NPIs).]**

**13.1b.** If ROMA was not selected in item 13.1; describe the system the State will use for performance measurement.

- 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

- 13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? **[The State has 11 certified ROMA trainers. In partnership with the State Association, ROMA training is provided at the State Association's annual training conferences to assist eligible entities to become Certified ROMA trainers. All training provided to eligible entities is ROMA-focused and the State's ROMA Certified staff member is available to provide training and technical assistance.]**

**Note:** The activities described under item 13.3 may include activities listed in "Section 8: 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.

- 13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery? **[The State requires each CSBG eligible entity to establish goals and objectives to be achieved through implementing program services and activities in its Quarterly Activity Plan. Goals and objectives are measured by comparing the actual program results with the established performance goals identified**

by the eligible entity. At the end of the program year, the State conducts an evaluation of contract performance measures.]

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

### **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. **[Annually as a contract requirement, eligible entities are required to submit a Community Action Plan.]**

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

- 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. **[Eligible entities are required to complete and submit a community needs assessment every 3 years. During the Community Action Plan review process, the State works with each eligible entity in analyzing data and addressing the identified needs.]**

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

**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 “those funds made available through grant or allotment will be used –

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

**[The State requires CSBG eligible entities to submit an annual Community Action Plan and Quarterly Activity Plan. The plans include performance goals which outline their proposed activities. Staff reviews the plans and ensures that the activities supported are eligible uses of CSBG funds and meet the above noted assurances.]**

### ***Needs of Youth***

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

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

(ii) after-school child care programs;

**[The State requires CSBG eligible entities to submit an annual Community Action Plan and Quarterly Activity Plan. The plans include performance goals which outline their proposed activities. Staff reviews the plans and ensures that the activities supported are eligible uses of CSBG funds and meet the above noted assurances]**

### ***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 State requires CSBG eligible entities to submit an annual Community Action Plan. The plan includes forms that address funding coordination, coordination with WIOA Programs, referrals to Child Support Office, and participation in social service coalitions. Staff reviews the plan and ensures that the activities supported are eligible uses of CSBG funds.]**

### ***State Use of Discretionary Funds***

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

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

### ***Eligible Entity Service Delivery, Coordination, and Innovation***

**14.3. 676(b) (3)** “Based on information provided by eligible entities in the State, a description of...”

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

**[The State requires CSBG eligible entities to submit an annual Community Action Plan and Quarterly Activity Plan. The plans include a description of the service delivery system, parishes served, facilities where services are available and how the eligible entity coordinates funds with other organizations.]**

***Eligible Entity Linkages – Approach to Filling Service Gaps***

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

**Note:** the State describes this assurance in the State Linkages and Communication section, item 9.3b.

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

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

**Note:** the State describes this assurance in the State Linkages and Communication section, item 9.7.

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

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

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

**[The State requires CSBG eligible entities to submit an annual Community Action Plan. As part of the plan, eligible entities must complete a form which provides information regarding any innovative community and neighborhood-based initiatives related to the purpose of CSBG, which may include fatherhood initiatives and other initiatives which strengthen families and encourage effective parenting. As the State identifies information on webinars or funding opportunities related to this area, the State will share the information with eligible entities.]**

***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.”

[The State requires CSBG eligible entities to submit an annual Community Action Plan. As part of the plan, eligible entities must complete a form which provides information related to how the CSBG eligible entity 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. Most CSBG eligible entities work with either a local food pantry or the food bank to provide food in these circumstances. If there are no other resources available, then CSBG funds may be utilized to provide nutritional support.]

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

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

**Note:** The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

#### **State Coordination/Linkages and Low-income Home Energy Assistance**

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

**Note:** The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

#### **Federal Investigations**

**14.7. 676(b) (7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

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

#### **Funding Reduction or Termination**

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

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

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

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

**Note:** the State describes this assurance in the State Linkages and Communication section, item 9.6.

### **Eligible Entity Tripartite Board Representation**

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

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

### **Eligible Entity Community Action Plans and Community Needs Assessments**

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

**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 section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

**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**

**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.

## 15.1 Lobbying

- ✓ 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.

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

## 15.2 Drug-Free Workplace Requirements

- ✓ 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**

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

***CERTIFICATION REGARDING ENVIRONMENT 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**

- ✓ 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.