Community Services Block Grant (CSBG)

For Federal Fiscal Year 2020 and 2021

John Bel Edwards
Governor

Ava Dejoie
Secretary, Louisiana Workforce Commission

October 24, 2019
# Table of Contents

**CSBG Cover Page (SF-424M)**

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

1.1. Identify whether this is a one-year or a two-year plan. Two Year

1.1a. Provide the federal fiscal years this plan covers: Year One 2020 Year Two 2021

1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency changed since the last submission of the state plan? No

If yes, provide the date of change and select the fields that have been updated

☐ Lead Agency ☐ Department Type ☐ Department Name
☐ Authorized Official ☐ Street Address ☐ City
☐ Zip Code ☐ Office Number ☐ Fax Number
☐ Email Address ☐ Website

1.2a. Lead agency Louisiana Workforce Commission

1.2b. Cabinet or administrative department of this lead agency [Check One and narrative where applicable]

☐ Community Affairs Department
☐ Community Services Department
☐ Governor’s Office
☐ Health Department
☐ Housing Department
☐ Human Services Department
☐ Social Services Department
☒ Other, describe: Division of Administration

1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official

Click or tap here to enter text.

1.2d. Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M.

Name Ava Dejoie       Title Secretary, LA Workforce Commission

1.2e. Street Address 1001 North 23rd Street

1.2f. City Baton Rouge

1.2g. State LA

1.2h. Zip Code 70804
1.2i. Work Telephone Number and Extension (if applicable) 225-342-3001
1.2j. Fax Number 225-342-3778
1.2k. Email Address adejoie@lwc.la.gov
1.2l. Lead Agency Website www.laworks.net

Note: Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

1.3. **Designation Letter:** Attach the state’s official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. See Page 51.

1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding the state point of contact changed since the last submission of the state plan? Yes

If yes, provide the date of change and select the fields that have been updated

- ☑ Point of Contact
- ☐ Agency Name
- ☐ City
- ☐ Office Number
- ☐ Website
- ☐ Street Address
- ☐ State
- ☐ Fax Number
- ☐ Email Address

1.4a. Agency Name Louisiana Workforce Commission

1.4b. Point of Contact Name

**Name** Rhea Woods  **Title** Acting Program Manager

1.4c. Street Address 1001 North 23rd Street

1.4d. City Baton Rouge

1.4e. State LA

1.4f. Zip Code 70804

1.4g. Office Telephone Number 225-342-7686

1.4h. Fax Number 225-342-0209

1.4i. Email Address rwoods@lwc.la.gov

1.4j. Agency Website www.laworks.net
1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. Yes

Has information in regards to the state Community Action Association changed since the last submission of the state plan? Yes

If yes, provide the date of change and select the fields that have been updated.

☐ Agency Name ☐ Executive Director ☒ Street Address
☐ City ☐ State ☐ Zip Code
☐ Office Number ☐ Fax Number ☐ Email Address
☐ Website ☐ ☐ RPIC Lead

1.5a. Agency name Click or tap here to enter text.

1.5b. Executive Director or Point of Contact

Name Click or tap here to enter text. Title Click or tap here to enter text.

1.5c. Street Address 11919 Sunray Avenue

1.5d. City Click or tap here to enter text.

1.5e. State Click or tap here to enter text.

1.5f. Zip Code 70816

1.5g. Telephone Number Click or tap here to enter text.

1.5h. Fax Number Click or tap here to enter text.

1.5i. Email Address Click or tap here to enter text.

1.5j. State Association Website Click or tap here to enter text.

1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead Yes
Section 2: State Legislation and Regulation

2.1. **CSBG State Legislation**: State has a statute authorizing CSBG. Yes

2.2. **CSBG State Regulation**: State has regulations for CSBG. Yes

2.3. **Legislation/Regulation Document**: Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. [Attach a document and/or provide a link, 1500 characters]

LA 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 of the following items about the state statute and/or regulations authorizing CSBG:

2.4a. **Authorizing Legislation**: State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. No

2.4b. **Regulation Amendments**: State established or amended regulations for CSBG last federal fiscal year. No

2.4c. **Designation**: State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. Yes
Section 3: State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities: Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency.

The mission and responsibilities of the Louisiana Workforce Commission (LWC) include utilizing state, federal and private resources to provide the training, employment assistance and regulatory services to increase employment, and to promote workplace safety and expanded employment opportunities in the State of Louisiana in a climate favorable to business, workers and job seekers.

Within the LWC’s Office of Workforce Development, the CSBG Unit administers community services block grant funds, ensures that funds are expended in accordance with the CSBG Act and all applicable laws and regulations, imparts guidance to 42 Community Action Agencies, provides oversight that resources are utilized to assist low-income individuals and families achieve self-sufficiency, ensure that CSBG 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 the State of Louisiana.

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

Goal 1: To administer the CSBG program in accordance with its 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 exhibits and increases management efficiency and program effectiveness.

Objectives:

- Involve eligible entities and the State Association of Community Action Partnerships (hereinafter referred to as 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) to all Community Action Agencies 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.
- Review and process requests for funds and budget change requests within ten (10) calendar days of receipt.

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

Objectives:

- To provide consistent, professional and informed 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 Plans and Reports to ensure that CSBG program assurances are being met.
Ensure eligible entities conduct a Community Needs Assessment at least once every three years to determine the actual current and future needs of communities served.

Utilize the CSBG Annual Report to support agency efforts to set and measure progress on targets for individual, family and community outcomes derived from locally-determined services and strategies to address locally-identified community needs.

To increase the percentage of Organizational Standards met by all Community Action Agencies throughout the Network.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

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

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

3.3a. Analysis of state-level tools [Check all that 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)
☒ Monitoring Visits/Assessments
☐ Tools not identified above (specify) Click or tap here to enter text.

3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]

☒ Eligible entity community needs assessments
☒ Eligible entity community action plans
☒ Public Hearings/Workshops
☐ Tools not identified above (e.g., state required reports) [specify] Click or tap here to enter text.

3.3c. Consultation with [Check all that applies and narrative where applicable]

☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
☒ State Association
☒ National Association for State Community Services Programs (NASCSP)
☐ Community Action Partnership (The Partnership)
☐ Community Action Program Legal Services (CAPLAW)
☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
☒ Regional Performance Innovation Consortium (RPIC)
☐ Association for Nationally Certified ROMA Trainers (ANCRT)
☒ Federal CSBG Office
☐ Organizations not identified above (specify) Click or tap here to enter text.
3.4. **Eligible Entity Involvement**

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

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

The State Office instituted bi-monthly Field Leadership Advisory Team conference calls and Small Community Action Agencies’ Listening Sessions throughout FY19. During these teleconferences, CAAs were able to provide meaningful input toward the development of the State Plan. Additionally, every Community Action Agency within the Network was asked for input. Finally, a standing monthly meeting between the State Office and the State Association was held, with the State Plan as a recurring agenda item.

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

**Note:** This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

The State Office adjusted its State Plan development procedures by making sure that the smaller eligible entities had a voice and a seat at the table. The bi-monthly Small CAA Listening Sessions provided these eligible entities with a forum to ensure that their needs and issues would not be drowned out by the larger voices.

3.5. **Eligible Entity Overall Satisfaction:** Provide the state’s target for eligible entity Overall Satisfaction during the performance period.

**Instructional Note:** The state’s target score will indicate improvement or maintenance of the states’ Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state’s eligible entities.

**Note:** Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the state’s annual report form.

**Year One 80 Year Two 80**
Section 4: CSBG Hearing Requirements

4.1. Public Inspection: Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

The State will notify the public that the State Plan is available for review and comments prior to the public hearing through newspaper advertisements in official publications and by posted notices at all eligible entities’ offices and websites. The State Association will also post the notice at its office and on its website.

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 notice of the public hearings ten (10) days in advance of the first public hearing.

4.3. Public and Legislative Hearings: In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Instructional Note: A public hearing is required for each new submission of the State Plan. The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Type of Hearing [Select an option]</th>
<th>If a Combined Hearing was held, confirm that the public was invited</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/29/2019</td>
<td>Humanitarian Enterprises of Lincoln Parish, 307 N. Homer St., 2nd Floor, Ruston, LA 71270</td>
<td>Public</td>
<td>☐</td>
</tr>
<tr>
<td>8/7/2019</td>
<td>Louisiana Housing Corporation, 2415 Quail Drive, Baton Rouge, LA 70808</td>
<td>Public</td>
<td>☐</td>
</tr>
</tbody>
</table>

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

Section 5: CSBG Eligible Entities

5.1. **CSBG Eligible Entities:** In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Geographical Area Served (by county) [Provide all counties]</th>
<th>Public or Nonprofit [READ-ONLY]</th>
<th>Type of Entity (choose all that apply) [READ-ONLY]</th>
</tr>
</thead>
<tbody>
<tr>
<td>[READ-ONLY]</td>
<td>[READ-ONLY]</td>
<td>[READ-ONLY]</td>
<td>[READ-ONLY]</td>
</tr>
</tbody>
</table>

**Note:** Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

5.2. **Total number of CSBG eligible entities:** _____[#] [This will automatically update based on Table 5.1.]

5.3. **Changes to Eligible Entities List:** Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list:

- Designation and/or Re-Designation
- De-designations and/or Voluntary Relinquishments
- Mergers
- ☒ No Changes to Eligible Entities List

5.3a. **Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Type</th>
<th>Start Date</th>
<th>Geographical Area Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>None.</td>
<td>Choose an item.</td>
<td>Click or tap to enter a date.</td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>

5.3b. **De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>None.</td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>
5.3c. **Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

<table>
<thead>
<tr>
<th>Original CSBG Eligible Entities</th>
<th>Surviving CSBG Eligible Entity</th>
<th>New Name (as applicable)</th>
<th>DUNS No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>None.</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>
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: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. [Select one]

☒ COE CSBG Organizational Standards
☐ Modified version of COE CSBG Organizational Standards
☐ Alternative set of organizational standards

Note: Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

Click or tap here to enter text.

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. [Attachment (as applicable)]

6.1c. Alternative Organizational Standards: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE-developed standards.

☐ There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Click or tap here to enter text.

Describe rigor compared to COE-developed Standards

Click or tap here to enter text.

6.2. Implementation: Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state’s administrative procedures act. If “Other” is selected, provide a timeline and additional information, as necessary.

☐ Regulation
☐ Policy
☒ Contracts with eligible entities
☐ Other, describe: Click or tap here to enter text.
6.3. **Organizational Standards Assessment**: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s).

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

6.3a. **Assessment Process**: Describe the planned assessment process.

The State Office will provide each eligible entity with a self-assessment template to be completed and returned with supporting documentation within a prescribed period of time. The State Office will conduct an initial validation review of each eligible entity’s completed template using the documents submitted. The Specialist assigned to the entity will provide detailed, written feedback on any standards not met or requiring additional documentation. A deadline for supplementing the submission will be given. Once the deadline has passed, the assigned Specialist will conduct a final review. The results of the final review will be disseminated to each eligible entity. A Technical Assistance Plan will be required for any unmet standards. The State Office will monitor the eligible entity’s progress in developing and adhering to its TAP to ensure that progress is made and that the number of organizational standards met by all eligible entities will increase.

6.4. **Eligible Entity Exemptions**: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)?

No

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: [Auto – calculated]

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Exemption Provided</th>
<th>Description/Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>None.</td>
<td>Choose an item.</td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>

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

**Note**: Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

**Year One** 10% **Year Two** 15%
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. [Select one]

- ☐ Historic
- ☐ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☒ Other

7.1a. **Formula Description**: Describe the current practice for allocating CSBG funds to eligible entities.

We measure the poverty population per parish against the total poverty population for the state, as reported in the most recent U.S. Census and the 5-year American Community Survey (ACS) estimates. No eligible entity receives less than $50,000.

7.1b. **Statute**: Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities?

No

7.2. **Planned Allocation**: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

**Note**: This information pre-populates the state’s Annual Report, Module 1, Table E.2.

**Year One 90%**

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Funding Amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within OLDC, this list will pre-populate from the CSBG Eligible Entity Master List.</td>
<td>Click or tap here to enter dollar amount.</td>
</tr>
<tr>
<td>Total</td>
<td>Auto-calculated</td>
</tr>
</tbody>
</table>

**Year Two 90%**

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Funding Amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within OLDC, this list will pre-populate from the CBSG Eligible Entity Master List.</td>
<td>Click or tap here to enter dollar amount.</td>
</tr>
<tr>
<td>Total</td>
<td>Auto-calculated</td>
</tr>
</tbody>
</table>
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 advises the eligible entities in writing when funds are received from OCS. Contracts and Letters of Credit are distributed to each eligible entity within thirty (30) days of the Notice of Funding.

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

7.4a. **Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state’s annual report form.

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

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

The State offers the opportunity for feedback and input on all processes by the eligible entities via regularly scheduled teleconferences with the Field Leadership Advisory Team, Small CAA Listening Sessions as well as through open lines of communication with each eligible entity and the State Association.

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

7.6. **Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>5%</td>
<td>5%</td>
</tr>
</tbody>
</table>

Note: This information pre-populates the state’s Annual Report, Module 1, Table E.4.

7.7. **State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>13</td>
<td>13</td>
</tr>
</tbody>
</table>

7.8. **State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>6</td>
</tr>
</tbody>
</table>

**Use of Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]
7.9. **Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act?  

Yes

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

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

**Note:** This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

**Year One 1.2%**  

**Year Two 1.2%**

### Use of Remainder/Discretionary Funds – Year One

<table>
<thead>
<tr>
<th>Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)</th>
<th>Planned $</th>
<th>Brief Description of Services and/or Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9a. Training/technical assistance to eligible entities</td>
<td>$100,000</td>
<td>These planned services/activities will be described in State Plan Item 8.1 [Read Only]</td>
</tr>
<tr>
<td>7.9b. Coordination of State-operated programs and/or local programs</td>
<td>Click or tap here to enter text.</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]</td>
</tr>
<tr>
<td>7.9c. Statewide coordination and communication among eligible entities</td>
<td>Click or tap here to enter text.</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]</td>
</tr>
<tr>
<td>7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9e. Asset-building programs</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9f. Innovation programs/activities by eligible entities or other neighborhood group</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9g. State charity tax credits</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9h. Other activities [Specify under Column 4]</td>
<td>$98,000</td>
<td>Annual fee for statewide CAP60 data management system.</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>Auto-calculated</td>
<td></td>
</tr>
</tbody>
</table>

### Use of Remainder/Discretionary Funds – Year Two

<table>
<thead>
<tr>
<th>Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)</th>
<th>Planned $</th>
<th>Brief Description of Services and/or Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9a. Training/technical assistance to eligible entities</td>
<td>$100,000</td>
<td>These planned services/activities will be described in State Plan Item 8.1 [Read Only]</td>
</tr>
<tr>
<td>7.9b. Coordination of State-operated programs and/or local programs</td>
<td>Click or tap here to enter text.</td>
<td>These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]</td>
</tr>
<tr>
<td>7.9c. Statewide coordination and communication among eligible entities</td>
<td>Click or tap here to enter text.</td>
<td>These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]</td>
</tr>
<tr>
<td>7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9e. Asset-building programs</td>
<td>Click or tap here to enter text.</td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>
### Remainder/Discretionary Fund Uses

(See 675C(b)(1) of the CSBG Act)

<table>
<thead>
<tr>
<th>Planned $</th>
<th>Brief Description of Services and/or Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9f. Innovation programs/activities by eligible entities or other neighborhood group</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9g. State charity tax credits</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>7.9h. Other activities [Specify under Column 4]</td>
<td>$98,000</td>
</tr>
<tr>
<td>Totals</td>
<td>Auto-calculated</td>
</tr>
</tbody>
</table>

#### 7.10. Remainder/Discretionary Funds Partnerships:
Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ The state directly carries out all activities (No Partnerships)
- ☐ The state does not have remainder/discretionary funds
- ☐ The state partially carries out some activities
- ☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) Click or tap here to enter text.
- ☐ 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 Click or tap here to enter text.

**Note:** This response will link to the corresponding CSBG assurance in Item 14.2.

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

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

The State is not making any adjustments at this time, but may do so after considering feedback and desires from eligible entities on contracting a mandated, statewide data collection system and statewide coordination and communication methods.
Section 8: State Training and Technical Assistance

8.1. Training and Technical Assistance Plan: Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

### Training and Technical Assistance – Year One

<table>
<thead>
<tr>
<th>Planned Timeframe</th>
<th>Training, Technical Assistance, or Both</th>
<th>Topic</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Fiscal</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Organizational Standards - for eligible entities with unmet TAPs or QIPs</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Governance/Tripartite Boards</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>ROMA</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Community Assessment</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Strategic Planning</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
</tbody>
</table>

### Training and Technical Assistance – Year Two

<table>
<thead>
<tr>
<th>Planned Timeframe</th>
<th>Training, Technical Assistance, or Both</th>
<th>Topic</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ongoing/Multiple Quarters</td>
<td>Both</td>
<td>Organizational Standards - for eligible entities with unmet TAPs or QIPs</td>
<td>If other is selected in column 3, describe in this column.</td>
</tr>
</tbody>
</table>

8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9a):

**Year One** Within OLDC, this is pre-populated with the amount under 7.9a.

**Year Two** Within OLDC, this is pre-populated with the amount under 7.9a.
8.1b. **Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance.

The State meets with the State Association monthly via in-person meetings or teleconferences to discuss the training needs of the Network. Based on those expressed and demonstrated needs, the State and the State Association agree on training topics to be included at planned conferences. Trainers are solicited among the Network and other stakeholders, as well as regionally and nationally.

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

**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).

8.2a. **Address Unmet Organizational Standards:** Describe the state’s plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards.

Any eligible entity with unmet Organizational Standards is required to have a Technical Assistance Plan in place. The plan has prescribed timelines for having a task initiated, in progress and completed and it is monitored regularly by the assigned Specialist. Any eligible entity with a TAP receives training and technical assistance on the specific unmet Organizational Standard. This T/TA may include regularly scheduled teleconferences with the assigned Specialist as well as site visits.

8.3. **Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.)

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) Click or tap here to enter text.
- ☐ 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 Click or tap here to enter text.
8.4. **Performance Management Adjustment**: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

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

More T/TA is planned to increase the number of met Organizational Standards by all eligible entities.
Section 9: State Linkages and Communication

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

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed.

Note: This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

☒ State Low Income Home Energy Assistance Program (LIHEAP) office
☒ State Weatherization office
☐ State Temporary Assistance for Needy Families (TANF) office
☐ State Head Start office
☐ State public health office
☐ State education department
☒ State Workforce Innovation and Opportunity Act (WIOA) agency
☐ State budget office
☐ Supplemental Nutrition Assistance Program (SNAP)
☐ State child welfare office
☐ State housing office
☐ Other

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

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

At the local level, the State intends to create or maintain collaborative efforts with governmental, private/non-profit, public and faith-based anti-poverty organizations through the Louisiana Workforce Investment Council. This council 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. It advises the Governor on the needs of Louisiana’s employers and its workforce. Members consist of stakeholder groups from business and industry, organized labor, state and local government and community action agencies and organizations.
9.3. **Eligible Entity Linkages and Coordination**

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

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5 and pre-populates the Annual Report, Module 1, Item G.3a.

The State requires CSBG eligible entities to coordinate funds and services at the local level by forming partnerships with civic, educational, business and faith-based organizations to provide a broad range of services to low-income people and communities. These partnerships and their resulting collaborative efforts allow for the identification of resources within the community that meet specific needs so that services are not duplicated. This allows individuals and families to know where to go for the help they need. The annual Community Action Plan required by the State requires each eligible entity to describe its coordination efforts with other community organizations in detail to assure that said linkages are established.

9.3b. **State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

**Note:** This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

The State encourages eligible entities to utilize information, referrals, case management and consultations to link with other community organizations to fill identified gaps in services through contractual agreement. The annual Community Action Plan requires eligible entities to identify gaps in services and the 3-year Community Needs Assessment insures that the challenges low income individuals and families actually face are adequately addressed.

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)?

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

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

Louisiana’s Combined State Plan includes the six core programs funded under WIOA (Adult, Dislocated Worker, Youth, Wagner-Peyser, Adult Education and Vocational Rehabilitation), as well the following partner programs:

- Unemployment Insurance
- Temporary Assistance for Needy Families Program (TANF)
- Employment and training programs under the Supplemental Nutrition Assistance Program (SNAP)
- Work programs under Section 6(o) of the Food and Nutrition Act of 2008
- Trade Adjustment Assistance for Workers Programs
- Jobs for Veterans State Grants Program
- Community Services Block Grant

Within the Louisiana Workforce Commission’s Office of Workforce Development, the CSBG Unit’s mission is to be the lead poverty reduction agency in the State, administer CSBG funds, provide guidance to Community Action Agencies, ensure that resources are utilized to help local, public and non-profit agencies assist low-income individuals and families achieve self-sufficiency, ensure that CSBG funds are expended in accordance with applicable rules and regulations, ensure that CSBG 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 the State of Louisiana.

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

9.4b. **Employment and Training Activities:** If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.
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.

The Louisiana Workforce Commission actively partners with the Louisiana Housing Corporation, the entity which administers the Low-Income Energy Assistance Program (LIHEAP) in the State of Louisiana. A majority of CSBG eligible entities are also recipients of the LIHEAP grant. The entities are required to submit a Community Action Plan and Quarterly Activity Plan at the beginning of the federal fiscal year which describes how they will provide emergency energy crisis services to low-income families and estimates the number of families they expect to assist in this regard.

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

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

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

As detailed in 9.3a, the State requires eligible entities to coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups and community organizations by listing said partnerships in their annual Community Action Plans. Additionally, the State monitors the existence of these required partnerships via desk reviews and onsite visits.

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

**Note:** This response will link to the corresponding assurance, Item 14.3c.

The annual Community Action Plan eligible entities must submit describes how they coordinate CSBG funds with other public and private resources in their communities. Many of the entities obtain either in-kind donations or funds from private and public organizations and/or local government to support the programs they administer. These in-kind donations can include office space, IT support, transportation, etc.
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.

**Note:** This information will pre-populate the Annual Report, Module 1, Item G.5.

The State communicates with the State Community Action Association (ACAP) on a regular basis via a standing monthly meeting, conference calls and email correspondence to discuss ways that the State can better meet the needs of eligible entities. The State Association is invited to participate in bimonthly Field Leadership Advisory Team meetings and Small Community Action Agency Listening Sessions for input on use of discretionary funds, training and technical assistance and other issues. The State partners with the State Association in hosting two training conferences each calendar year for eligible entities.
9.9. **Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

<table>
<thead>
<tr>
<th>Subject Matter</th>
<th>Expected Frequency</th>
<th>Format</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upcoming Public and/or Legislative Hearings</td>
<td>As needed</td>
<td>Public Notice</td>
<td>Email, conference calls</td>
</tr>
<tr>
<td>State Plan Development</td>
<td>As needed</td>
<td>Email</td>
<td>Conference calls</td>
</tr>
<tr>
<td>Organizational Standards Progress</td>
<td>Quarterly</td>
<td>Email</td>
<td>Conference calls, letters</td>
</tr>
<tr>
<td>State Accountability Measures Progress</td>
<td>Annually</td>
<td>Email</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>Community Needs Assessments/Community Action Plans</td>
<td>As needed</td>
<td>Email</td>
<td>1:1, conference calls, letters</td>
</tr>
<tr>
<td>State Monitoring Plans and Policies</td>
<td>As needed</td>
<td>Email</td>
<td>Conference calls</td>
</tr>
<tr>
<td>Training and Technical Assistance (T/TA) Plans</td>
<td>As needed</td>
<td>Letters/Hard Copies</td>
<td>Conference calls, email, 1:1</td>
</tr>
<tr>
<td>ROMA and Performance Management</td>
<td>As needed</td>
<td>Email</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>State Interagency Coordination</td>
<td>As needed</td>
<td>Email</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>CSBG Legislative/Programmatic Updates</td>
<td>As needed</td>
<td>Email</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>Tripartite Board Requirements</td>
<td>Quarterly</td>
<td>Email</td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td>Program updates</td>
<td>Monthly</td>
<td>Phone Calls</td>
<td>Field Leadership Advisory Team Meetings, Small CAA Listening Sessions</td>
</tr>
</tbody>
</table>

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

**Note:** This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

**Within 60 days of receiving information from OCS on State Accountability Measures, the State will provide all eligible entities and the State Association with the results via email. Thereafter, the State and the State Association will confer to discuss the results in detail and will develop a collaborative plan to address any areas of concern.**
9.11. **Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

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

The State and the State Association are working in tandem to devise a Communication Plan that includes mass email capability through Constant Contact or a similar medium, a quarterly Newsletter and consistent State, State Association and eligible entity website updates.
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.

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

<table>
<thead>
<tr>
<th>CDBG Eligible Entity</th>
<th>Monitoring Type</th>
<th>Review Type</th>
<th>Target Quarter</th>
<th>Start Date of Last Full Onsite Review</th>
<th>End Date of Last Full Onsite Review</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within OLDC, this column will pre-populate from the CDBG Eligible Entity Master List.</td>
<td>Choose an item.</td>
<td>Choose an item.</td>
<td>Choose an item.</td>
<td>Click or tap to enter a date.</td>
<td>Click or tap to enter a date.</td>
<td>If “Other” is selected in Column 2, describe in this column.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Monitoring Schedule – Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDBG Eligible Entity</td>
</tr>
<tr>
<td>----------------------</td>
</tr>
<tr>
<td>Within OLDC, this column will pre-populate from the CDBG Eligible Entity Master List.</td>
</tr>
</tbody>
</table>

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.
10.3. **Initial Monitoring Reports:** According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities?

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

The State will disseminate initial monitoring reports to local entities within 60 calendar days of completion.

**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 closure of findings included in the state monitoring protocols attached above? Yes.

10.4a. **Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.

Click or tap here to enter text.

10.5. **Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable.

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

10.6. **Reporting of QIPs:** Describe the state’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP?

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

The State will report eligible entities on QIPs to OCS within 30 days of State approval via email and telephone call to our assigned Specialist.

10.7. **Assurance on Funding Reduction or Termination:** The state assures that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. Yes.

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

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

10.8. **Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? Yes.

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

10.8b. **New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public.

Click or tap here to enter text.

10.9. **Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities?  

No

10.9a. **Termination Citation:** If yes, provide the citation(s) of the law and/or regulation.

10.9b. **Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public.

Although there is no statute or regulation providing for termination of eligible entities, the State Lead Agency does have a policy which contains provisions for termination. This policy was drafted with input from the Field Leadership Advisory Team and was distributed to all eligible entities via email.

10.10. **Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity?  

No

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

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

The State Lead Agency does have a policy on re-designation which was drafted with input from the Field Leadership Advisory Team and was distributed to all eligible entities via email.

**Fiscal Controls and Audits and Cooperation Assurance**

10.11. **Fiscal Controls and Accounting:** Describe how the state’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

(a) The eligible entity’s general ledger is the source for the SF-425 Federal Fiscal Reports. The reports are prepared by State accountants and approved by management prior to submission. Reports are prepared according to program rules and regulations.
(b) 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 Block Grant regulations and federal guidelines. Independent annual audits and single audits are performed for the State.

All drawdowns by eligible entities must be consistent with the most recently approved budget. Drawdowns are then processed by State accountants. Back-up documentation to support drawdowns is reviewed during monitoring.

10.12. **Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

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

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 that support documentation be provided. The eligible entity will be given a timeframe to respond to the correspondence and to complete the corrective action. 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.

10.13. **Assurance on Federal Investigations:** The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. **Yes.**

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

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

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

The State devised a Monitoring Tool based on feedback from eligible entities and OCS. The State Association and eligible entities were provided a copy of the tool prior to onsite monitoring.
Section 11: Eligible Entity Tripartite Board

11.1. **Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. [Check all that applies and narrative where applicable]

- [ ] Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☒ Other An updated Board Matrix is required annually from each eligible entity.

11.2. **Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.

   **As It Occurs**
   Provide a Narrative if Other is Chosen.

11.3. **Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity’s Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act.

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

   The State requires each eligible entity to have a policy for individuals and organizations to petition for adequate representation on the Tripartite Board if it is deemed that such representation does not exist. The eligible entity must define its policy in writing and the policy must be available for review.

11.4. **Tripartite Board Alternative Representation:** Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and 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?

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

   **Title 40, Part XVII, Chapter 7, Sec. 701.D.2** allows for “another mechanism specified by the grantor to assure low-income citizens’ participation in the planning, administration and evaluation of projects for which such organization has been funded.”

   Yes.
Section 12: Individual and Community Income Eligibility Requirements

12.1. **Required Income Eligibility:** Provide the income eligibility threshold for services in the state. [Select one item below and numeric response where applicable.]
  
  ☒ 125% of the HHS poverty line
  ☐ X % of the HHS poverty line (fill in the threshold): Click or tap here to enter text. %
  ☐ Varies by eligible entity Click or tap here to enter text.

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 individuals and families be deemed eligible for assistance by meeting CSBG income guidelines of 125% of the U.S. Federal Poverty Guidelines issued by the Department of Health and Human Services in effect at the time of the application for assistance. Eligible entities are required to establish eligibility policies and determination procedures for CSBG-funded programs and activities in which low-income individuals receive a monetary benefit. Eligible entities must maintain accurate documentation of applicant eligibility determinations.

12.2. **Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

When in-take procedures are limited, due to the declaration of a Federal or State disaster, eligible entities can proceed to provide services with an official waiver from the State. This ensures that individuals and families in need are assisted in times of emergency.

12.3. **Community-targeted Services:** Describe how the state ensures eligible entities’ services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

The State ensures services by eligible entities target and benefit low-income communities even when those services provide a community-wide benefit, by requiring the eligible entities to describe all services and their specific impact on low-income individuals in the annual Community Action Plan.
Section 13: Results Oriented Management and Accountability (ROMA) System

13.1. **Performance Measurement System**: Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

*Note*: This response will also link to the corresponding assurance, Item 14.12, and will pre-populate the Annual Report, Module 1, Item I.1.

The Results Oriented Management and Accountability (ROMA) System

13.1a. **ROMA Description**: If ROMA was chosen in Item 13.1, describe the state’s written policies, procedures, or guidance documents on ROMA.

   The State adopted the COE’s Organizational Standards, which contains ROMA practices, and provided each eligible entity with a Manual for guidance.

13.1b. **Alternative System Description**: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

   Click or tap here to enter text.

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

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

CSBG National Performance Indicators (NPI)

Click or tap here to enter text.

13.3. **Eligible Entity Support**: Describe how the state supports the eligible entities in using ROMA or an alternative performance management system.

*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.

There are 14 NCRTs and 3 NCRIs throughout the State. One of the new NCRTs is a Specialist within the State Office. Thus, the State Office will be able to provide more support to eligible entities to improve performance management.

The State Office partners with the State Association to provide ROMA training at the State Association’s Winter and Summer annual conferences to hone the skills of ROMA trainers and to increase the number of trainers throughout the Network.
13.4. **Eligible Entity Use of Data:** Describe how the state plans to validate that the eligible entities are using data to improve service delivery.

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

The State requires each CSBG eligible entity to establish goals and objectives for service delivery in the Quarterly Activity Plan submitted at the beginning of the fiscal year. Thereafter, eligible entities submit Quarterly Activity Reports through the State Kiosk which includes targeted outcomes for the specific quarter. The targeted numbers are then supplemented by the actual number of outcomes for the period. The State reviews and compares target numbers of goals and objectives against actual program results and communicates with eligible entities when those numbers indicate areas of concern. Data compiled through the State Kiosk allows the State to validate whether eligible entities are improving service delivery. At the end of the program year, the State conducts an evaluation of contract performance measures for each eligible entity.

**Community Action Plans and Needs Assessments**

13.5. **Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

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

Submission of an annual Community Action Plan by each eligible entity is a requirement of the State contract. The State provides eligible entities with the template for completion of the plan and a deadline for submission prior to the start of the fiscal year to ensure that the Community Action Plan is submitted and approved before the term of the contract is set to begin.

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

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

Eligible entities are required, by contract, to complete and submit a Community Needs Assessment every three (3) years. The State monitors the due dates of all community needs assessments and works with each eligible entity to ensure that quantitative and qualitative data are included in addressing identified needs.
Section 14: CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1. Use of Funds Supporting Local Activities

CSBG Services

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

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

(i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) to secure and retain meaningful employment;

(iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;

(iv) to make better use of available income;

(v) to obtain and maintain adequate housing and a suitable living environment;

(vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;

(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
The Community Action Plan, required annually by CSBG eligible entities, the Quarterly Activity Plan and Quarterly Activity Reports include proposed activities, services and performance goals which are directly tied to the Community Needs Assessment. The State reviews the plans, reports and assessments when submitted and then monitors to ensure that activities supported are qualified uses of CSBG funds and correspond to 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 eligible entities are required, by contract, to submit an annual Community Action Plan which is based on the Community Needs Assessment. If the submitted plan specifies that youth programs will be developed, the State reviews the proposed services and activities to ensure that CSBG funds are utilized to meet the performance goals set.

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)

Within the annual Community Action Plan required under the State contract, eligible entities must specify funding coordination, coordination with WIOA programs. Referrals to local child support offices and participation in social service coalitions. The State reviews the coordination efforts of the eligible entities to ensure that they are appropriate 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:** The State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to 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...”

**Eligible Entity Service Delivery System**

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

The annual Community Action Plan required contractually by the State, includes a description of the service delivery system, delineates parishes served, identifies facilities where services are available and details how the eligible entity coordinates funds with other organizations in the community.

**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.

[No response; links to 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.

[No response; links to 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).

Part of the annual Community Action Plan submitted by eligible entities requires a description of any innovative community and neighborhood-based initiatives that the entities may be involved in.

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 Community Action Plan submitted on an annual basis by eligible entities contains a section on how emergency supplies and services will be provided to counteract conditions of starvation and malnutrition. Most CSBG eligible entities partner with either a local food pantry or food bank to provide nutritious meals in these circumstances. If no other resources are available, CSBG funds are used to provide nutritional support for those experiencing food insecurity.

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.

[No response; links to 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.

[No response; links to 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.

[No response; links to 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.

[No response; links to 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, item 9.6.

[No response; links to 9.6]

**Eligible Entity Tripartite Board Representation**
Section 14

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 under Eligible Entity Tripartite Boards, item 11.3

[No response; links to item 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.”

[No response; links to 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.

[No response; links to 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.

[No response for this item]

☒ By checking this box, the state CSBG authorized official is certifying the assurances set out above.
Section 15: Federal Certifications
The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements
The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

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

Statement for Loan Guarantees and Loan Insurance
The undersigned states, to the best of his or her knowledge and belief, that:

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

☐ By checking this box, the state CSBG authorized official is providing the certification set out above.
15.2. Drug-Free Workplace Requirements

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

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

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

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

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

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

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

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

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

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

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

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;
**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

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

**Certification Regarding Drug-Free Workplace Requirements**

Alternate I. (Grantees Other Than Individuals)

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

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

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

(1) The dangers of drug abuse in the workplace;
(2) The grantee’s policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

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

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

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

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

Place of Performance (Street address, city, county, state, zip code)

Click or tap here to enter text.

☐ Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.
15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

(7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
(8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

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

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Primary Covered Transactions

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

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

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

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

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

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

Instructions for Certification

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

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

(3) The prospective lower tier participant shall provide immediate written notice to the person to 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.

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

15.4. Environmental Tobacco Smoke

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

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

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.
Seth Hassett
Director, Division of Community Assistance
Office of Community Services
U.S. Department of Health and Human Services
330 C Street, SW, 5th Floor
Mail Room 5425
Washington, DC 20201

Re: Designation of Lead Agency for Community Services Block Grant Funds

Dear Mr. Hassett:

As governor of the State of Louisiana, I, John Bel Edwards, hereby give authority to the Louisiana Workforce Commission (LWC) as the lead agency for the State to administer the Community Services Block Grant (CSBG) funds.

Ms. Ava Dejoie, Executive Director of LWC has authority to receive a grant or allotment and execute or sign documents on behalf of the State for carrying out the State’s activities under the CSBG Act.

Sincerely,

John Bel Edwards
Governor