

Community Services Block Grant (CSBG) Model State Plan

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Section 1

CSBG Administrative Information

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

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

GUIDANCE: If a state indicates “One-Year” under 1.1., they will only have to provide a response for “Year One”

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? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- | | | |
|--|--|--|
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |

1.2a. Lead agency **[Narrative, 150 Characters]**

GUIDANCE: This should only include the exact name of the lead agency and an acronym (as applicable).

EXAMPLE: Office of Community Services (OCS)

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: **[Narrative, 100 characters]**

1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official **[Narrative, 100 Characters]**

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. **[Narrative, 50 Characters each]**

Name Dr. Kara Odom Walker Title Cabinet Secretary

1.2e. Street Address **Main Building, 1901 N. Dupont Highway**

1.2f. City **New Castle**

1.2g. State **Delaware**

1.2h. Zip Code **19720**

1.2i. Work Telephone Number and Extension (if applicable) **302-255-9043**

1.2j. Fax Number **302-255-4429**

1.2k. Email Address **kara.walker@delaware.gov**

1.2l. Lead Agency Website **<http://www.dhss.delaware.gov/dhss/>**

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. **[Attach a document.]**

GUIDANCE: The designation letter should be updated whenever there is a change to the designee.

Instructional Note: The letter should be from the chief executive officer of the state and include, at minimum, the designated state CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

- 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 to the state point of contact changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | | |

1.4a. Agency Name **[Narrative, 150 characters]**

1.4b. Point of Contact Name **[Narrative, 50 characters each]**

Name Kimberly Snowden Title CSBG Administrator

1.4c. Street Address **Charles Debnam Building, 1901 N. Dupont Highway**

1.4d. City **New Castle**

1.4e. State **DE**

1.4f. Zip Code **19720**

1.4g. Office Telephone Number **302-255-9876**

1.4h. Fax Number **302-255-4463**

1.4i. Email Address **kimberly.snowden@delaware.gov**

1.4j. Agency Website **<http://www.dhss.delaware.gov/dhss/>**

1.5. Provide the following information in relation to the State Community Action Association.

GUIDANCE: Under this question, please respond yes and provide the information if there is an entity or organization that serves in the capacity of a state community action association that is located within your state, whether voluntarily or contractually. If the entity that serves as the state community action association is located outside of the state, or if there is only a single eligible entity within the state that also performs the functions of a Community Action Association, please answer no to this question.

There is currently a state Community Action Association within the state. ☐ Yes ☒ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated. **[Date Picker and Check all the apply]**

☐ Agency Name

☐ Executive Director

☐ Street Address

☐ City

☐ State

☐ Zip Code

☐ Office Number

☐ Fax Number

☐ Email Address

☐ Website

☐ RPIC Lead

1.5a. Agency name **[Narrative, 150 characters]**

1.5b. Executive Director or Point of Contact **[Narrative, 50 characters each]**

Name _____ Title _____

1.5c. Street Address **[Narrative, 200 characters]**

1.5d. City **[Narrative, 50 characters]**

1.5e. State **[Dropdown]**

1.5f. Zip Code **[Numerical Response, 5 digits]**

1.5g. Telephone Number **[Numerical Response, 10 – 15 digits to include extensions]**

1.5h. Fax Number **[Numerical Response, 10 digits]**

- 1.5i.** Email Address **[Narrative, 150 characters]**
- 1.5j.** State Association Website **[Narrative, 200 characters]**
- 1.5k.** State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ☐ Yes ☐ No

Section 2

State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☐ Yes ☒ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☐ Yes ☒ No
- 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]**

GUIDANCE: The labeling of all attachments should include the question number for which the document provides supplementary information, the question heading, and the type of document provided. As an example, a state statutory document could be labeled as:

2.3. Legislation/Regulation Document, Washington D.C. Statute

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

Section 3

State Plan Development and Statewide Goals

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

DHSS is the largest state agency, employing 4,300 individuals in a wide range of public service jobs. The Department includes 11 divisions, which provide services in areas of public health, social services, substance abuse and mental health, child support, developmental disabilities, long-term care, visual impairment, aging, management services, state services and Medicaid and medical assistance.

The mission of the Division of State Service Centers (DSSC) is to provide convenient access to human services, assist vulnerable populations, support communities, and promote volunteer service opportunities. In order to accomplish its mission and objectives, the DSSC administers a number of programs and services, as well as a statewide network of safe, secure, well-maintained and efficiently operated service centers. These centers, 15 in all, serve as multi-service facilities in which various public and private agencies are collected.

The goal of the centers is to promote access to Delaware's health and human service system. Annually, more than 400,000 visits are made to State Service Centers throughout Delaware. Based on demographic analysis and community outreach, each service center provides a mix of services appropriate to the community it serves. There are more than 160 programs and services delivered through the State Service Centers.

The mission of the Office of Community Services (OCS) is to enable Delaware's low-income citizens and communities to access opportunities and services that will improve their living conditions and promote their potential to healthy and self-sustaining lives. The office directly administers the following programs: The Community Services Block Grant (CSBG), The Low-Income Home Energy Assistance Program (LIHEAP), Regional Green House Gas Initiative Program Services, Emergency and Transitional Housing Program Family Visitation Program, Adopt-A-Family, State Community Food and Nutrition Program.

- 3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan. **[Narrative, 3000 characters]**

GUIDANCE: States should take into account feedback from OCS, their eligible entities, and the ACSI survey completed by eligible entities when creating their state plan goals.

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.

The goals of the state of Delaware's CSBG program are to assist low-income persons and families to achieve self-sufficiency and to assist communities in reducing poverty. The target population for direct CSBG services includes those individuals and families with incomes at or below 125 percent of the federally established poverty level. These goals are to be accomplished by providing support for services, initiatives and community activities having a measurable and potentially major impact on the causes of poverty in

Delaware.

No more than 5% of the State's allocation may be used for administrative expenses, including monitoring fees. CSBG Administrative funds (5%) will support: 100% of one Social Services Administrator, who manages the CSBG program in Delaware, 25% of one Senior Social Services Administrator, who will be responsible for overseeing the Office of Community Services, 25% of one Administrative Specialist II, who provides secretarial support, 25% of one Internal Auditor, who tracks and monitors CSBG contract expenditures.

CSBG Administrative Funds also cover other related employment costs for the above mentioned positions, Related state, departmental, and divisional indirect cost rates for the above positions, Travel in state and out of state for national or regional conferences and trainings sponsored by the National Association for State Community Services Programs or similar organizations, State audit and personnel charges, Postage, printing, telephone, and association and conference fees, Office and computer supplies and Contracted services to help monitor and evaluate CSBG services.

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)
- x Monitoring Visits/Assessments
- ☒ Tools not identified above (specify) **Monthly Narrative and Data Reports**

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
- x Public Hearings/Workshops
- ☐ Tools not identified above (e.g., state required reports) [specify] **[Narrative, 500 characters]**

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 (NASCSPP)
- x 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) **[Narrative, 500 characters]**

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the state took in developing the State Plan to involve the eligible entities. **[Narrative, 3000 Characters]**

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

The State of Delaware only has one eligible entity, First State Community Action Agency (FSCAA). Each year that the State Plan is created, FSCAA is sent the Model State Plan so they can review it before submission and provide input and/or edits. After FSCAA reviews the State Plan, a meeting is set up with the lead agency and FSCAA in order to discuss any concerns. The lead agency also submits the State Plan for public comment, so any other agencies in the state and the public can also review and comment.

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. **[Narrative, 3000 Characters]**

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

Previous State Plans have been developed with the eligible entity's input. The Division of State Service Centers will continue to encourage the inclusion of the eligible entity during the development process and throughout the year by not only maintaining established lines of communication and business practices, but by also making staff more available to the eligible entity through additional Trainings and Technical Assistance, increased follow-up and feedback and bi-monthly attendance of board meetings. Each communication creates an opportunity to improve processes, performance and as a result outcomes.

3.5. Eligible Entity Overall Satisfaction: Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One ____ Year Two ____ **[Numerical, 3 digits]**

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.

GUIDANCE: The targets reported here should match the future target set in the Annual Report, Section B, Table B.2.

GUIDANCE: Review the [ACSI IM](#) about setting targets for your eligible entity overall satisfaction that are realistic, reasonable, attainable, and possible.

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. **[Narrative, 2500 Characters]**

GUIDANCE: Under this question, detail how the state provided the State Plan to the public, including providing sufficient time (ideally no fewer than 30 days) for the public to provide feedback prior to the public hearing. Distribution to the public should include distribution directly to the eligible entities (e.g. via email or publication on a public website with specific notification to the eligible entities) in the state as well as any other interested parties.

Copies of the CSBG State Plan will be available at the Public hearing and also available for review at the fifteen State Service Center locations, First State Community Action Agency's three office locations, and the Division's central office in the Charles H. Debnam Building, Herman Holloway, Sr., Health and Social Services Administrative Campus, 1901 North DuPont Highway, New Castle, DE 19720. Delaware's 2020 CSBG State Plan will also be available on the State's website, www.dhss.delaware.gov/dssc in July and August for a total of at least sixty days.

- 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. **[Narrative, 2500 Characters]**

A public hearing will be held to review and receive comment on the 2020 CSBG State Plan in July 2019, at the Kent County Administrative Complex located in Dover, the state capital. Legal notice of the public hearing will be published by the Delaware Public Meeting Calendar, Delaware State Newspaper and the Delaware News Journal at least two weeks prior to the hearing date. The public hearing notice will also be sent to list serves maintained by the United Way of Delaware, the Delaware State Housing Authority, and the Delaware Housing Coalition at least two weeks prior to the hearing date.

- 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.

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
07/20/2020	Webex Virtual Meeting Charles Debnam Building 1901 N Dupont Highway New Castle, DE 19720	<ul style="list-style-type: none"> • Public <input type="radio"/> Legislative <input type="radio"/> Combined 	<input type="checkbox"/>
08/27/2019	Joint Finance Committee Conference Room at Legislative Hall, Dover, Delaware	<ul style="list-style-type: none"> <input type="radio"/> Public • Legislative <input type="radio"/> Combined 	
ADD a ROW function Note: States will be able to add as needed for each additional hearing.			

GUIDANCE: A combined hearing refers to having one joint public and legislative hearing.

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.
[Attach supporting documentation or provide a hyperlink(s), 500 characters]

GUIDANCE: Supporting documentation may include, but is not limited to, agendas, sign-in sheets, transcripts, and notices/advertisements of the hearings. All attachments should include the question number, question heading, type of document and the date of the hearing/meeting (as applicable).

EXAMPLE: An agenda would be named: 4.4. Public and Legislative Hearings Agenda 062117

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.

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
First State Community Action Agency	New Castle County, Kent County, Sussex Count	Non Profit	<ul style="list-style-type: none"> Community Action Agency
THE ADD-A-ROW FUNCTION WILL NOT BE AVAILABLE ON THIS TABLE. ANY ADDITIONS/DELETIONS TO THE ELIGIBLE ENTITY LIST SHOULD BE MADE WITHIN THE MASTER LIST.			

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

GUIDANCE: Under *Type of Entity*, select more than one type by holding down the CTRL key while making selections.

Note: Whether nonprofit or public, entities that receive CSBG funds are generally considered to be Community Action Agencies for the purpose of administering CSBG. The only specific exceptions outlined in the CSBG Act are Limited Purpose Agencies, Migrant and Seasonal Farmworker organizations, and Tribes and Tribal Organizations

Instructional Note: **Limited Purpose Agency** refers to an eligible entity that was designated as a limited purpose agency under Title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under Title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under Title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: **90 percent funds** are the funds a state provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A state must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

5.2. Total number of CSBG eligible entities: 1 [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: **[Check all that apply]**.

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

GUIDANCE: The following three questions will only need to be answered based on your response to 5.3.

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.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> Designation Permanent Re-Designation Interim Re-Designation] 	[Date Picker]	[Narrative, 550 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

GUIDANCE: A designation refers to an entity that was not receiving funding in the previous federal fiscal year(s) and/or was not included in the previous CSBG State Plan. Re-designation refers to an entity that is already designated/receiving funds but is now receiving funds to serve an additional geographic area previously served by another entity. A permanent re-designation **must be conducted consistent with procedures outlined in Section 676A of the CSBG Act.** An interim re-designation may be noted when an entity has been identified to provide services after a voluntary relinquishment pending official designation of a permanent entity consistent with the requirements of Section 676A. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

- 5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities 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.

CSBG Eligible Entity	Reason
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> Termination/De-designation Voluntary Relinquished]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.	

- 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.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
[Narrative, 500 characters] <i>List and number all entities involved.</i>	[Narrative, 150 characters]	[Narrative, 150 characters]	[Narrative, 150 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

GUIDANCE: This question refers to the merger of two or more existing CSBG eligible entities only. If an organization that was not previously a CSBG eligible entity merges is the surviving organization in a merger with a CSBG eligible entity, the new entity should be listed under 5.3a. as a new designation, while the previously funded CSBG eligible entity should be included under 5.3b.

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.
[Narrative, 2500 characters]

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 **[Narrative, 2500 characters if not selected]**

Provide reason for using alternative standards **[Narrative, 2500 characters]**

Describe rigor compared to COE-developed Standards **[Narrative, 2500 characters]**

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. **[Check all that applies and narrative (as applicable)]**

- ☐ Regulation
- ☒ Policy – **in reference to policies and procedures manual**
- ☒ Contracts with eligible entities
- ☐ Other, describe: **[Narrative, 5000 characters]**

6.3. Organizational Standards Assessment: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**

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

6.3a. Assessment Process: Describe the planned assessment process. **[Narrative, 5000 characters]**

GUIDANCE: Descriptions should also include improvements to the process made since the previous year including any new processes to increase efficiency or consistency of assessments.

The CSBG Program Manager has attended several training opportunities regarding the Organizational Standards mandated by IM 138. These training sessions were offered by National Association for State Community Services Programs. The information was provided at Conferences and during webinars and included a thorough explanation of each organizational standard. A site monitoring will provide a follow up check to ensure that all Organizational Standards are implemented. Each standard has been discussed to ascertain that all understand what each one means and how to ensure that each standard is enforced. There have been discussions on the proper procedure and regulations that are needed. State of Delaware has also provided training and technical assistance for the state staff and the eligible entity. A comprehensive monitoring was conducted in October 2018 where it was determined that the eligible entity were at that time 50% in compliance of the Organizational Standards. A Technical Assistance Plan was developed between the CAA and the CSBG lead office with a goal to meet full compliance by July 31, 2019. A re- assessment was conducted in August 2019, where it was found that there was still some issues to organization meeting full compliance around data integrity. The CSBG Lead office will continue to provide training and technical assistance with the goal of the eligible entity becoming 100% compliant. Another comprehensive monitoring will be done in 2021.

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)? ○ Yes ● No

GUIDANCE: The following question will only need to be answered based on your response to 6.4.

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]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
[Narrative, 150 characters]	[Select Yes or No]	[If Yes is selected, provide a narrative, 2500 characters]

CSBG Eligible Entity	Exemption Provided	Description/Justification
ADD a ROW function Note: Rows will be able to be added for each additional exception.		

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. **[Insert a percentage]** **Year One 100% Year Two ____**

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

GUIDANCE: Prior to setting the target, states should review [IM 138](#), review previous performance, and collaborate with the eligible entities and state association in identifying targets.

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. **[Check one ~~and narrative where applicable~~]**
- ☐ Historic
 - ☐ Base + Formula
 - ☐ Formula Alone
 - ☐ Formula with Variables
 - ☐ Hold Harmless + Formula
 - ☒ Other – The State of Delaware allocates up to 5% of allotment for administrative activities, at least 5% for discretionary programs, and at least 90% to the one eligible entity in Delaware, First State Community Action Agency.
- 7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities. **The State of Delaware allocates up to 5% of allotment for administrative activities, at least 5% for discretionary programs, and at least 90% to the one eligible entity in Delaware, First State Community Action Agency.**
- 7.1b. Statute:** Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☐ Yes ☐ 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.

Year One 100% Year Two _____ %

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the first FFY covered by this plan
Total	Auto-calculated

Planned CSBG 90 Percent Funds – Year Two	
CSBG Eligible Entity	Funding Amount \$
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the second FFY covered by this plan
Total	Auto-calculated

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

- 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). **[Narrative, 5000 characters]**

One hundred percent (100%) of the 90% of funds designated by the CSBG Act for Eligible Entities are contracted to the First State Community Action Agency (FSCAA), Delaware's only statewide community action agency so designated by then Governor Thomas R. Carper on May 18, 1994.

- 7.4. Distribution Timeframe:** Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☐ Yes ☐ No

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.
[Narrative, 5000 Characters]

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.
[Narrative, 5000 Characters]

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

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

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

Year One 5% Year Two % **[Numeric response, specify %]**

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.

Year One 4 Year Two **[Numeric response, 0.00 – 99.99]**

- 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?

Year One 1.75 Year Two **[Numeric response, 0.00 – 99.99]**

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 ☐ No

GUIDANCE: "No" should only be selected if the percentages provided under 7.2. and 7.6. equal

to 100%.

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One** 5% **Year Two** _____%

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

Instructional Note: The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) specifically requires a description of how the state intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in Item 7.9f of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. – 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.

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

Use of Remainder/Discretionary Funds – Year One		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	25% - TTA	These planned services/activities will be described in State Plan Item 8.1 [Read Only]
7.9b. Coordination of State-operated programs and/or local programs		These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9c. Statewide coordination and communication among eligible entities		These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		[Narrative, 5000 characters]
7.9e. Asset-building programs		[Narrative, 5000 characters]

Use of Remainder/Discretionary Funds – Year One		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	50% - Innovation program/activities by eligible entities and other organizations 25% - Other Activities	The state will fund innovative programs and activities conducted by community action agencies or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization; Innovative programs and activities will include: the Division will use CSBG discretionary funds to help facilitate the Eligible Entities involvement with the Delaware Workforce Development Board in accordance with the Workforce Innovation Opportunity Act (WIOA), whereas the Eligible Entity will participate in local One-Stop Team meetings. The purpose of these meetings is to further evolve the State's One-Stop System. Regularly scheduled and facilitated meetings will, work to coordinate services, develop
7.9g. State charity tax credits		[Narrative, 5000 characters]
7.9h. Other activities [Specify under Column 4]		The state notes that other proposed activities that may be approved by department leadership to include employment and educational training, statewide coordination of services such as conferences, forums, meetings that promote partnership among stakeholders, community organizations and other state agencies that serve the CSBG target population.
Totals	Auto-calculated	

Use of Remainder/Discretionary Funds – Year Two (as applicable)		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	Enter either a planned \$ or % for each item listed for the first FFY that this plan covers.	These planned services/activities will be described in State Plan Item 8.1 [Read Only]
7.9b. Coordination of State-operated programs and/or local programs		These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]
7.9c. Statewide coordination and communication among eligible entities		These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		[Narrative, 5000 characters]
7.9e. Asset-building programs		[Narrative, 5000 characters]
7.9f. Innovation programs/activities by eligible entities or other neighborhood group		Describe here. [Narrative, 5000 characters]
7.9g. State charity tax credits		[Narrative, 5000 characters]
7.9h. Other activities [Specify under Column 4]		Specify the other activities funded through discretionary funds here. [Narrative, 2500 characters]
Totals	Auto-calculated	

GUIDANCE: If the percentages provided under 7.2. and 7.6. do not equal 100%, the remaining percentage should be reported under 7.9. If the state does not have any remainder/discretionary fund activities (as listed in 7.9a. – 7.9g.), the remainder should be described in 7.9h.

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 partially carries out some activities
- ☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☒ 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 – **Other State of Delaware Departments, Divisions, and Commissions**

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.

[Narrative, 5000 Characters]

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

Though not explicitly stated in the CSBG discretionary proposal elements shared with potential community projects, it is required that agencies utilize a strategic approach to the integration of larger, local networks of partners and the community. Agencies are also asked to provide a listing of the organizations who are a part of their approach and with whom they plan to work; this whilst demonstrating a shared agenda for action and strategies to serve the low-income population. The Division of State Service Centers always has a discussion with potential projects requesting inclusion and partnership between final funded discretionary projects and the eligible entity. Projects are asked to work with or have a key partnership role for the eligible entity and describe how the project links with their efforts and does not duplicate services. Additionally, it is the States goal that a description as to how the project promotes, leverages and/or partners with community and/or economic development programs in the service area is articulated. The Division will continue to reach out and work with First State Community Action Agency to evaluate discretionary funding priorities in FFY 2021 in an effort to leverage key partnerships within the community.

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.

GUIDANCE: Table 8.1. should only include the trainings that are being paid for using state discretionary training and technical assistance funds as noted under 7.9a.

Training and Technical Assistance – Year One			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown Options: <ul style="list-style-type: none"> FY1 Q1 FY1 Q2 FY1 Q3 FY1 Q4 Ongoing/Multiple Quarters All quarters 	Toggle Options: <ul style="list-style-type: none"> Training Technical Assistance Both 	Dropdown Options: <ul style="list-style-type: none"> Fiscal Governance/Tripartite Boards Organizational Standards – General Organizational Standards – for eligible entities with unmet TAPs or QIPs Correcting Significant Deficiencies Among Eligible Entities Reporting ROMA Community Assessment Strategic Planning Monitoring Communication Technology Other 	If other is selected in column 3, describe in this column
[Select one dropdown per row]	[Select one dropdown per row]	[Select one dropdown per row]	[Narrative, 500 characters]

ADD A ROW function Note: Rows will be able to be added for each additional training

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. [Narrative, 2500 characters]

The State continues to work with the eligible entity to implement a specific Technical Assistance and/or Quality Improvement Plan within 60 days of the documented deficiency. The State will continue to conduct follow-up assessments to ensure the eligible entity's continued progression toward 100% compliance.

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.) [Check all that applies and narrative where applicable]

- ☒ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) [Numeric response, 0 – 100]
- ☒ 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 [Narrative, 1000 characters]

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. [Narrative, 2500 Characters]

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

The training and technical assistance plan under this State Plan has been adjusted after the completion of a review of the Corrective Action Plan in August of 2019. The plan also reflects input from the eligible entity as they have identified areas where they would prefer additional training and assistance.

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. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

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

The Office of Community Services that manages the Community Services Block Grant also manages the State Low Income Home Energy Assistance Program (LIHEAP). The Social Services Administrator that oversees the administration of CSBG, the Community Food and Nutrition Program, is taking part in meetings for the State Workforce Innovation and Opportunity Act (WIOA) provided by Department of Labor and Department of Education. The Administrator is working very closely with the WIOA lead agencies and is prepared to provide assistance as needed to ensure the success of the WIOA. Through the utilization of CSBG funds, the Office of Community Services has continued to support Family Support Services clients by providing emergency grants. These emergency grants assist clients with money for housing, utilities, and food when they may not otherwise be eligible and or resources may be limited within other state agencies. Other Linkages and Coordination on the state level are with DART, First State,

Department of Corrections, Department of Education, Department of Health and Social Services, Office of Controller General, Office of the Bank Commissioner, Delaware Economic Development Office, Delaware Department of Services for Children, Youth, and Their Families, Delaware State Housing Authority, Delaware Human Relations Commission, Delaware State University, Delaware Technical and Community College, Delaware Workforce Investment Board, Delaware School Districts, and the University of Delaware.

- 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)). **[Narrative, 5000 Characters]**

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.

Other linkages and Coordination at the local level include the following Private organizations: American Lung Association, Artisans Bank, Bay Health Medical Center, Beebe Medical Center, Citizens Bank, Carl Freeman Foundation, Community Bank, Cooperative Mortgage, Delaware Electric Cooperative, Delmarva Power, Delaware National Bank, Discover Financial Services, Fannie Mae Foundation, Fellowship Health Resources, Inc., GMAC Bank, Jill Charity Foundation, JP Morgan Chase Foundation, Laffey McHugh Foundation, Logisticare, Metropolitan Wilmington Urban League, Nemours Health and Prevention Services, Perdue, PNC Bank of Delaware, Southeast Rural Community Assistance Project, Speer Trust, United Way of Delaware, and Verizon Foundation. Local Faith Based linkages and coordination are Georgetown Presbyterian Church, Community Outreach Prevention Education, Calvary Baptist Church, Georgetown Aid Society, Pentecostal Church of God of Lincoln, Friendship Baptist Church, Interdenominational Ministerial Alliance, First Pilgrim Baptist Church, Lewes/ Rehoboth Association of Churches, and Crossroads Christian Church. In general, the banks and foundations are involved in supporting community development and housing counseling work. The faith based organizations provide mainly financial support for crisis assistance.

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)). **[Narrative, 5000 Characters]**

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

First State Community Action Agency has been successful over the past fifty years in leveraging CSBG funds with other public and private resources. CSBG funds support First State's core management and many of its direct services, particularly case management and crisis assistance statewide. Mrs. Bernice Edwards, the Executive Director of First State Community Action Agency along with other Program Directors creates linkages statewide. Bernice Edwards has developed personal and long lasting partnerships through her services on a number of boards, council and committees statewide. Some of these boards include Human Relations Commission, Board of Trustees-Biggs Museum, Access to Justice Coalition, Georgetown and Millsboro Rotary, Community Health Coalition (U of D), Del Tech Alumni Association and Cinnaire. First State Community Action Agency works closely with the Division of State Service Centers, which operates a service delivery system for benefits and enrollment activities in fifteen locations throughout the state of Delaware. Collaboratively we will continue to make referrals to each other as we have in the past to assure maximization of services and resources to our clients. First State is instrumental in helping immigrant families with low-income through internal programs like La Casita Outreach and subcontracting with the Latin American Community Center in the northern part of the state. Bernice Edwards also serves on the Cape Henlopen Minority Advisory Committee, Georgetown Chamber of Commerce, Dr. Martin Luther King Celebration Organization of Sussex County, Sunshine Circle Club, and Milton Lions Club. First State CAA also coordinates with New Castle County Department of Community Services, Sussex County Council, Biggs Museum Board of Directors, Delta Sigma Theta Sorority, Nemours Health Advisory Board, and the Town of Georgetown. First State's subcontracts with non-profits organization in the central and northern parts of the state to administer holistic case management. CSBG is not critical to the survival of these organizations, but it provides resources for staff and related costs that are critical to maintaining comprehensive case management and/or health services to low income, sometimes homeless, individuals throughout the state.

- 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. **[Narrative, 5000 Characters]**

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

and pre-populates the Annual Report, Module 1, Item G.3b.

As required by the Coats Human Services Reauthorization Act of 1998 and as a condition of funding, eligible entities shall submit a community needs assessment with their annual application. The work processes employed must meet the approval of DSSC in advance. A full community assessment shall be completed, at a minimum, once every three (3) years; updates detailing significant variances shall be provided in intervening years. The full assessment shall include: An executive summary including key findings and priorities. The purpose for the assessment; why an assessment, what were/are the goals and objectives, who is involved, dates, etc. Background information (definition of the community, location, history, socio-demographic data, geography/physical characteristics, etc). A description of the process: type of information gathered; methodologies/ techniques used to collect the information (e.g., focus groups, key informants, surveys, forums, etc.) Process for identifying and setting priorities. The findings and an analysis: statistical profile (charts, graphs, maps, etc.); community perspectives (common themes, key quotes, etc.); community resources (breadth of services, gaps, duplication, etc.) • consider charting by function, target group, and region. Core issues. Each eligible entity shall have a strategic plan approved by its governing board that meets the following minimum specifications. The strategic plan shall be drawn from the findings contained in the community assessment. The strategic plan shall clearly define the period of time covered by the plan. The strategic plan shall contain a mission statement succinctly defining the reason the organization exists. The plan may contain a vision statement which succinctly defines the desired future that the entity envisions. The entity may wish to include a vision for individuals and families, the community, and the agency. The plan may include a list of core values. Core values are the absolutes that define the organization. Values give an organization its soul. They can clarify and resolve issues, help determine direction, and build community. The plan shall identify goals and/or strategic innovation initiatives. Goals are those overarching and broad statements of what the organization hopes to achieve. Strategic innovation initiatives are change-focused activities that demand attention and cannot be left to the business-as-usual planning cycle.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☐ Yes ☒ No

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

9.4a. 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. **[Narrative, 5000 Characters]**

- 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. **[Narrative, 5000 Characters]**

A MOU was signed by WIOA partners in Delaware. The purpose of this Memorandum of Understanding (MOU) is to establish the design framework and partnerships of the State of Delaware's One Stop Delivery System. While this is a requirement of the Workforce Innovation and Opportunity Act (WIOA), the intent is to create an atmosphere of cooperation and collaboration among Partners. By working together, Partners can identify current and future workforce skills, promote post-secondary education, develop lifelong learning strategies, and foster the entrepreneurship spirit for Delaware citizens. A highly educated, skilled, and talented population will enable Delaware to compete in the global economy. The MOU establishes guidelines for the Partners designed to support the development and maintenance of cooperative working relationships. It describes how the various funding streams and resources will be utilized to better serve mutual customers, both job seekers and employers through the System operated at four (4) comprehensive Delaware Job Link Centers (Centers), Affiliated Sites and One Stop Partners operating under the common identifier of American Job Center. This System is interactively linked through the Delaware Job Link electronic System (DJL) at <https://joblink.delaware.gov>. Delaware CSBG Roles currently described in the MOU are as follows. 1. Provide access to its program or activities through the one stop delivery system through the agreed upon referral mechanism between all partner programs 2. Provide information and schedule of services to DET to enable referral mechanism to refer to services and for public to learn about services. 3. Register all clients in Delaware Job Link when client is job ready 4. Attend scheduled partner and Board meetings and activities 5. Provide information as requested by the Board to position the Board to make informed employment and training decisions for the State As workforce system, align and coordinate programs when applicable, and gather and disseminate best practices. 6. Work collaboratively with the Board to establish and maintain the one stop delivery system including one stop infrastructure 7. Work jointly to provide services that mutually benefit clients.

- 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).

[Narrative, 5000 Characters]

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

Assurance 676(b)(6) regarding coordination of anti-poverty programs in communities and the emergency crisis intervention program is addressed by providing referral information to the state service centers and non-profit staff that are in a position to make referrals to Catholic Charities, which contracts with the Delaware Department of Health and Social Services, Division of State Service Centers, Office of Community Services to operate the Delaware Energy Assistance Program statewide. Information is disseminated through direct training, brochures, and the Human Services Directory, the Delaware 211, and radio and newspaper public service announcements.

- 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. **[Narrative, 5000 characters]**

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

Assurance 676(b)(9) regarding coordinating and partnering with other organizations serving low-income residents including religious, charitable, and community organizations is addressed under the Partnerships goals in First State's contract work plans under Programmatic Assurances. The state uses the mechanism of the Single Point of Contact (SPOC) to solicit coordination of federal programs through the State Budget Office. There are many coordinated efforts with nonprofit, public and private partners to support low-income individuals and reduce poverty that will be documented and reported at the end of each contract period.

- 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. **[Narrative, 5000 Characters]**

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

In order to achieve greater participation in the affairs of the communities involved, First State CAA does statewide-needs assessment, provides funding to emergency shelters, and creates a Request for Proposals to provide case management statewide. First State's Executive Director and Program Directors serve on numerous boards and committees throughout the state. First State works with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication, and strengthen/improve relationships with local law enforcement agencies. First State is housed in a community center that affords First State access to a diverse group of clients (ages,

race and gender).

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. **[Narrative, 5000 Characters]**

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

The State of Delaware has only one eligible entity. The eligible entity also receives support from and provides support to the Maryland State Association in the form of shared training opportunities and shared program best practices.

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.

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	[Dropdown Options: <ul style="list-style-type: none">• Daily• Weekly• Twice-Monthly• Monthly• Quarterly• Semi-Annually• Annually• Biannual• Triennial• As needed• Upon Request• Not Applicable]	[Select All That Apply: <ul style="list-style-type: none">• Newsletters• Mailing• Meetings/Presentations• Blog• Email• Website• Social Media• Webinar• 1:1• Phone Calls• Public Notice• Letters/Hard Copies• Other]	If "Other" is selected in Columns 3, describe in this column. [Narrative, 250 characters]
State Plan Development			
Organizational Standards Progress			
State Accountability Measures Progress			
Community Needs Assessments/Community Action Plans			
State Monitoring Plans and Policies			
Training and Technical Assistance (T/TA) Plans			
ROMA and Performance Management			
State Interagency Coordination			
CSBG Legislative/Programmatic Updates			
Tripartite Board Requirements			
ADD A ROW function Note: Rows will be able to be added for each additional training			

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. **[Narrative, 5000 Characters]**

Note: This information is associated with State Accountability Measure 5S(iii) and will

pre-populate the Annual Report, Module 1, Item G.6.

Since Delaware has only the one eligible entity, it is easier to provide feedback regarding performance on State Accountability Measures. Any feedback will be provided at the board meetings, via email or phone conference calls in order to stay within the required 60 calendar days.

GUIDANCE: Under this question, include how the state will provide information to local entities and state associations within 60 days of receiving feedback from OCS.

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. **[Narrative, 5000 Characters]**

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

Communication pertaining to this plan is extensive and will not be adjusted. A Public Hearing is held in conjunction with the Development of each State Plan per the CSBG statute to review and receive comment. Legal notices are published by Delaware Independent Newspapers, Inc. as well as the News Journal. The public hearing notice is also sent to list serves maintained by the United Way of Delaware, the Delaware State Housing Authority, and the Delaware Housing Coalition. Copies of the CSBG State Plan are made available to all those attending the hearing, and also available for review after at the State's fifteen State Service Center locations, First State Community Action Agency's three office locations, and the Division's central office. The plan is also shared on the on the Division's website, www.dhss.delaware.gov/dssc for at least sixty days.

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.

GUIDANCE: Monitoring that is specific to organizational standards should be referenced within Section 6, Item 6.3a.

Monitoring Schedule – Year One						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Narrative, 150 characters	[Dropdown Options: • Full On-Site • Newly Designated • Follow-up • Other • No Review]	[Dropdown Options: • Onsite Review • Desk Review]	[Dropdown Options: • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4]	10/01/2018	10/04/2018	If “Other” is selected in Column 2, describe in this column [Narrative, 500 characters]

Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
This column will auto-populate from the CSBG Eligible Entity Master List	[Dropdown Options: • Full On-Site • Newly Designated • Follow-up • Other • No Review]	[Dropdown Options: • Onsite Review • Desk Review]	[Dropdown Options: • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4]	Select a Date	Select a Date	If “Other” is selected in Column 2, describe in this column [Narrative, 500 characters]

GUIDANCE: Comprehensive monitoring includes a review of program, administrative, fiscal and organizational standards.

If you are monitoring an entity as a follow up to an issue with another program this can be listed under “Other.”

When providing the date of your last full onsite review – this could be for any type of review that took place onsite. No dates for desk reviews should be provided here.

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link]**

DSSC will diligently adhere to the following requirements under Section 678B (a) of the Act: a full onsite fiscal and programmatic review of each such entity will be conducted no less that triennially. DSSC will ensure that each CSBG eligible entity shall be monitored on-site at least once every three years in accordance with the CSBG Act. Monitoring will be conducted in accordance with Section 678B (a) of the Community Services Block Grant Act and the guidance provided to be states in Information Memorandum No. 97, dated October 10, 2006. After an on-site monitoring visit, the DSSC monitoring team will provide a written monitoring report within 45 days to the entity's executive director , board chairman, and/or board of directors that document the findings, corrective actions, required, and recommended actions. CSBG eligible entities and other CSBG funded organizations are required to respond to the report within an assigned time frame. Upon request, assistance will be provided to an eligible entity in the development and implementation of corrective action plans. The DSSC monitoring team will evaluate the adequacy of the responses and corrective action. A follow-up on-site monitoring is scheduled as deemed necessary. Eligible entities have 60 calendar days to respond to the report.

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? **[Insert a number from 1 – 100] 45**

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

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

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

10.4a. Closing Findings Procedures: If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.
[Narrative, 2500 characters]

- 10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. [Numeric Response, 0 – 100] 1

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?
[Narrative, 5000 characters]

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

At the discretion of the State (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), allow the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period of time, as determined by the State; and, not later than 30 days after receiving from an eligible entity a proposed quality improvement plan, either approve such proposed plan or specify the reasons why the proposed plan cannot be approved. Once the quality improvement plan has been approved, the State will notify the Office of Community Services within 30 calendar days.

- 10.7. Assurance on Funding Reduction or Termination:** The state assure 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 ☐ No

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

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

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☐ No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation. [Narrative, 2500 Characters]

The DSSCs follow the requirements of the CSBG Act (Section 676A) for designating and re-designating eligible entities. The DSSC will also use the Federal guidance provided

in HHS Information Memorandum, Transmittal #42 for the designating and re-designating eligible entities.

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. **[Narrative, 5000 Characters]**

10.9. Eligible Entity Termination: Do state CSBG statute and/or regulations provide for termination of eligible entities? ☒ Yes ☐ No

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 characters]**

A determination to terminate the designation or reduce the funding of an eligible entity is reviewable by the Secretary of the US Department of Health and Human Services. The Secretary shall, upon request of the eligible entity, review such a determination. The review shall be completed not later than 90 days after the Secretary receives from the State all necessary documentation relating to the determination to terminate the designation or reduce the funding. If the review is not completed within 90 days, the determination of the State shall become final at the end of the 90th day.

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. **[Narrative, 5000 characters]**

10.10. Eligible Entity Re-Designation: Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☒ Yes ☐ No

10.10a. Re-Designation Citation: If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 Characters]**

The DSSCs follow the requirements of the CSBG Act (Section 676A) for designating and re-designating eligible entities. The DSSC will also use the Federal guidance provided in HHS Information Memorandum, Transmittal #42 for the designating and re-designating eligible entities

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. **[Narrative, 5000 Characters]**

GUIDANCE: Re-designation implies that an entity that is already designated/receiving funds is now performing the duties and receiving funds that were previously designated to another entity, in addition to the funding that they are already receiving. This is different from a merger as an entity is not absorbing another entity. This re-

designation may be permanent (**requires a formula redistribution**) or temporary while the state has officially designated a new entity and has completed a formula redistribution. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

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). **[Narrative, 5000 Characters]**

The State of Delaware and Delaware Health and Social Services have established fiscal controls and fund accounting procedures that enable tracking of expenditures of all federal funds, including limitations on administrative and/or discretionary expenditures. Monitoring of expenditures at the state level for the CSBG is carried out by the CSBG Program Administrator and by the fiscal unit of the Division of State Service Centers. One or more staff from the division or the Office of Community Services monitors expenditures of the agencies eligible for direct CSBG funding from the State.

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. **[Narrative, 5000 Characters]**

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

Delaware Health and Social Services (DHSS) is audited every year by the State Auditor's Office, which conducts its audits in accordance with generally accepted accounting principles and in the manner and to the extent provided in chapter 75 of title 31, United States Code, commonly known as the Single Audit Act Amendments of 1996. The CSBG was audited as a major program under the State's Single Audit in state fiscal years 2004 and 2005. A copy of the audit is forwarded annually to the federal cognizant agency by the State Auditor's Office. The Division of Management Services within the Department of Health and Social Services followed up in writing and required the appropriate program manager or fiscal officer to address all findings, recommendations, and corrective actions in writing prior to the commencement of the next year's audit. This was done, and the CSBG was not audited as a major program in state fiscal years 2006 through 2018. CSBG Certification Requirements specify that contractors must provide annual audits in compliance with Uniform Grant Guidance, unless exempt. If exempt, the contractor must have an internal control review, which assesses accounting procedures and ensures their adequacy. If findings are identified in the audit then a management decision will be issued by the Division within 6 months of receipt of the annual audit report. In the event that the State's program is audited by the federal government, the State of Delaware will make appropriate books, documents, papers and records available to the Secretary of Health and Human Services and Comptroller General of the United States, or any of their duly authorized representatives, for examination, copying or mechanical reproduction on or off the premises of the appropriate entity upon a reasonable request for the items. The State OCS will notify the Department's chief fiscal officer of the provision in the CSBG Act that requires the chief

executive officer of a state to submit an audit copy to the federal Secretary of Health and Human Services, to the state legislature, and to any eligible entity that was the subject of the audit at no charge within 30 days after completion.

- 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 ☐ No

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. **[Narrative, 2500 Characters]**

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

No additional adjustments have been made by the state with regard to monitoring procedures, as changes to the state monitoring tools were implemented under the previous state plan. The Division continues to provide appropriate technical assistance to support the eligible entity in achieving compliance with the organizational standards. The State will require full compliance with the organizational standards, and will monitor the entity in accordance with its regular desk and site monitoring schedule.

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 **[Narrative, 2500 characters]**

- 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. **[Select one and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☒ Quarterly
- ☐ Monthly
- ☒ As It Occurs
- ☐ Other **[Narrative, 2500 characters]**

- 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. **[Narrative, 2500 Characters]**

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

First State has a recruitment system that includes the following:

- Fact Sheet (integrative sheet that not only introduces the organization to the interested person but allows them to see how they would fit into the organization)
- Application for Consideration must be completed • Prospective application from the consumer sector needs a letter from their respective communities showing they have gone through the demographic process of electing them to serve on First State's Board of Directors.
- The entire process will be documented in First State's board minutes • Each new board member has like information placed in their file In the event that any group,

including but not limited to low income communities, feels itself inadequately represented on the Board of Directors of the Corporation, such group may petition the Board of Directors for adequate representation on this Board by following the procedures hereinafter set out: a. Prepare a petition bearing the signature, name and address of at least twenty-five (25) persons who are over the age of 18 and residing in Delaware regardless of race religion, national origin or place of residence. b. Upon receipt of the petition, the Board of Directors shall instruct the Executive Committee to determine the merits of such complaint. The Executive Committee shall, within fifteen (15) days from receipt of the petition, file a report with the Secretary of the Board, including recommendations. c. At the next meeting of the Board of Directors following the date of filing of the committee report, the entire Board of Directors shall consider the recommendations of the Executive Committee and determine whether or not the group is adequately represented on the Board of Directors. During its deliberations, the Board shall allot time for the spokesperson of the petitioning group to present its case. The presentation may be either verbal or in writing. d. The Board shall then vote to determine if representation or additional representation shall be given to the petitioning group. If the petition is denied, the response to the spokesperson of the group shall include reasons in support of the Board's decision. If it is determined that additional representation is needed, then the Board shall declare and shall take steps as are necessary to implement such action, including amendment of the by-laws of the Corporation, if necessary. e. New representatives, so approved, shall be seated within thirty (30) days of the approval date. The State ensures compliance by monitoring eligible entity agency by-laws, policies, and procedures for compliance with the CSBG Act. The State also requires the eligible entity to adhere to Department Health & Social Services (DHSS) Policy Memorandum 70, Inclusion Policy The intent of this policy is to recognize that inclusion of diverse populations is not only within our agency, but the larger systems that constitute our environment, programs and clients. As an agency we embrace the concept of an inclusive workplace which is accepting of diverse populations in our own workforce.

- 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? ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

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): _____% **[Numeric response]**
- Varies by eligible entity **[Narrative, 5000 characters]**

GUIDANCE: Under *Varies by eligible entity*, provide the threshold and the reason that it varies by entity.

12.1a. Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 5000 Characters]**

Community Services Block Grant helps low income individuals become self-sufficient. Low-income is defined in the CSBG Statute as having an income at or below 125% of the Poverty Income Guidelines published and updated annually by the Federal Department of Health and Human Services. Income levels are reported in the annual report. Each eligible entity is audited every three years, which includes checking client files for proof of income.

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. **[Narrative, 5000 Characters]**

Each program funded by the CSBG is required to submit a monthly report on the identified National Performance Indicators applicable to the program services. Each report will show how many individuals were served. Each eligible entity is audited every three years, which includes checking client files for proof of income.

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). **[Narrative, 5000 Characters]**

Former Governor Tom Carper's emphasis on the Strong Communities Initiative, which targeted communities in census tracts that ranked high for social and economic indicators of poverty in unincorporated areas of Kent and Sussex Counties, was a major factor in the selection of targeted communities. In New Castle County, most CSBG funds have been provided to subcontractors for case management services to low-income residents of subsidized or transitional housing. In the spring of 2018, as was done in prior years, First State CAA issued a Request for Proposals to provide case management services to low-income populations defined by applicants in New Castle and Kent Counties. Applicants described the need that their target population had to develop and implement personal action plans to achieve economic viability.

Proposals were evaluated by a committee composed of First State board members and others. Evaluation criteria included the applicant's track record with successful case management outcomes, strategies for participant recruitment, retention, measuring milestones and outcomes, cost benefit, and wrap around services provided to participants. United Way of Delaware's application format, which requires agencies to complete a program Logic Model, was utilized by First State with United Way's permission. All subcontractors agree to track progress using First State's criteria and reporting processes, and all meet for orientation and subsequent trainings throughout the year. First State's board and the State CSBG Program Administrator require logic models for all of First State's internal programs. In the event of future funding reductions, the board will determine its program priorities by evaluating logic model and monthly reports, which describe each program's budget (inputs), services, outputs and outcomes.

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. **[Select one]**

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
- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

- 13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. **[Narrative, 5000 characters]**

42 U.S.C. § 9908(b)(12), 9917(a)(1)(A): The federal CSBG Act requires states and CAAs participate in a ROMA performance measurement system annually to measure the CAA's performance in promoting self-sufficiency, family stability, and community revitalization. The State requires that First State CAA maintain back-up documentation to support the total number of families and individuals reported and that such information should be reported on a monthly basis. The CSBG Act of 1998 requires that CSBG eligible entities be monitored once every three (3) years in order to identify opportunities to assist CAA's in improving outcomes that impact poverty. The Division of State Service Centers will continue to conduct a full onsite review of First State Community Action Agency by contracting this service out and may also use the services of interns from the University of Delaware's Center for Community Development and Family Policy within the College of Human Resources, Education & Public Policy, who will use monitoring tools approved by the Division of State Service Centers. Program monitoring is conducted through regular CSBG administrative funds. In compliance with the CSBG Act, our three (3)-year comprehensive monitoring of First State reviews the agency's mission and planning, fiscal stability, customer services, ROMA outcomes, organization/personnel, governance, community partnerships, program compliance and information technology.

- 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. **[Narrative, 5000 characters]**

- 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. **[Select one and Narrative, 5000 characters]**

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

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

Assurance 676(b)(12), which states: 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 has been addressed by structuring eligible entity contract work plans using the now three national goals and appropriate measures since 1998. Performance measures identified by eligible entities will monitor performance in meeting the National Goals of the Community Services Block Grant Program as listed below: Goal 1: Individuals and families with low incomes are stable and achieve economic security. Goal 2: Communities where people with low incomes live are healthy and offer economic opportunity. Goal 3: People with low incomes are engaged and active in building opportunities in communities. Beginning in State fiscal year 2018, the revised National Performance Indicators for the CSBG program was incorporated into the Contract work plans. Appropriate national goals and measures are also used to structure work plans for any organizations funded through CSBG discretionary funds. The national goals, indicators, and performance measures to promote self-sufficiency, family stability, and community revitalization are detailed under the first Programmatic Assurance section of this state plan for First State and its subcontractors.

13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. **[Narrative, 5000 characters]**

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.

The State supports the eligible entities in using ROMA system by requiring annual logic models and monthly reports for each program provided. The State has also coordinated with the eligible entity to receive training and certification of eligible entity and state staff as certified ROMA Implementers and ROMA Trainers.

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. **[Narrative, 5000 characters]**

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

First State uses customer/client and constituent/stakeholder feedback to improve or modify its operations. The State validates that the eligible entities are using data to improve services delivery by requiring various documents such as monthly program and financial reports from First State each year that shows comparisons from the current fiscal year to the previous year reports.

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. **[Narrative, 5000 characters]**

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

The following describes the manner in which the state of Delaware will comply with the following assurance in section 676(b)(11) of the CSBG Act: The State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity, 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. A funding letter is sent at least 45 days prior to the end of the current CSBG contract that requires updates on agency certification requirements, such as Single audit, annual report, and Board roster, and a description of and rationale for changes desired for the coming year. A program questionnaire is included which requires needs assessment information for each program that is to be included in First State's community action plan. A budget with itemized back up is also required. Through negotiations, these documents become the Contract Work Plan and Budget. The contract work plan includes priorities for communities in which First State conducts ongoing needs assessments and strategic planning sessions. Depending on the community, some may be working on implementation of their strategic plans while others may still be in the process of organizing or planning to conduct strategic planning. The CSBG Administrator receives copies of assessments and strategic plans as they become available. First State as community action plan/ contract work plan details communities for which specific activities and strategic planning activities are planned in the coming year.

- 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. **[Narrative, 5000 characters]**

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

The CSBG refunding application submitted by First State serves as its community action plan. As part of this application, First State is also required to conduct or update a statewide comprehensive needs assessment that describes local poverty related needs and prioritizes eligible activities to be funded by CSBG. First State must also describe the process it used to gather relevant information, involve its board and community, and ensure that the needs assessment reflects the current priorities of the low income residents in their service area. This funding application, including community needs assessments, will be kept on file by DSSC and will be available for inspection or for

submission, as required.

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;

[Narrative, 5000 characters]

Assurance 676(b)(1)(A) regarding how funds will be used and coordinated with other programs are addressed in the community action contract work plan for First State Community Action Agency.

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;

[Narrative, 5000 characters]

Funds made available through this grant or allotment will be used: To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skill training, job creation, and entrepreneurship programs; and after-school child care programs.

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)

[Narrative, 5000 characters]

Each year, First State is required to submit action plans for each program. The following information is required to show coordination and collaboration throughout the state: The number of organizations, both public and private, that community action actively works with to expand resources and opportunities in order to achieve family and community outcomes. All Community Action Programs Units measured: Partnerships All Administrators and Program Managers will report organizational relationships that have been developed to achieve family and community outcomes . First State will provide the following information for each partner identified:

- 1.Name of the partner
2. Type of partnership (contractual, informal working, etc.)
3. Roles each partner played, including First State;
- 4.Outcomes of the partnership to date. First State staff will classify and total the number of partners they have according to the following list:
 1. Non-Profit
 2. Faith Based
 3. Local Government
 4. State Government
 5. Federal Government
 6. For-Profit Business or Corporation
 7. Consortiums / Collaboration
 8. Housing Consortiums / Collaboration
 9. School Districts
 10. Institutions of Post-Secondary Education / Training
 11. Financial / Banking Institutions
 12. Health Service Institutions
 13. State-Wide Associations or Collaborations
 14. Other partnerships not captured above

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;”

[Narrative, 5000 characters]

Services offered by First State include:

- 1. Adult Culinary Training - A training program for 20 persons.**
- 2. Community Based Programs homework, tutorial, and summer enrichment programs at low-income community sites.**
- 3. Community Development - assisting rural, unincorporated, impoverished communities with organizing; leadership development; conducting and analyzing needs assessments; developing strategic plans; proposal writing and leveraging.**
- 4. Comprehensive Case Management/Family Resource Development - assisting families to become economically viable, by developing and implementing action plans to address obstacles.**
- 5. Crisis Intervention / Assistance providing financial assistance for mortgage, rent, utilities and medical prescriptions.**
- 6. Emergency Food - providing emergency food for an average size family of four for three days.**
- 7. Financial Literacy providing training in how to accumulate financial assets.**
- 8. Housing Counseling - comprehensive counseling service to prospective first-time home buyers which includes explanation of various mortgage programs and options.**
- 9. La Casita Learning Center - providing after school tutoring and homework help for low-income children.**
- 10. La Casita Outreach Center providing life skills assistance to immigrants with language and other barriers.**
- 11. Now We’re Cooking! - Culinary arts training for high school youth in partnership**

with local school districts.

12. Promoting Safe and Stable Families Program - designed to strengthen families and children in rural low-income communities statewide.

13. Senior Community Employment Services Program - provides subsidized part-time community service assignments to low-income persons age 55 and older.

14. Senior Companion Program - senior citizens age 60 or over are placed with other seniors or disabled individuals to provide person-to-person non-medical support.

15. Earned Income Tax Credit Section . 53

16. LIHEAP Summer Cooling Program - The Summer Cooling Program provides air conditioners to eligible households.

17. Furnace Replacement and Repair - The Furnace Replacement and Repair Program provides furnace replacement and repair to low-income individuals' residence.

18. Grant Diversion

19. Re-Entry

20. Family Fatherhood Coalition

21. State Rental Assistance Program

22. Energy Education

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).

[Narrative, 5000 characters]

Supporting Innovative Programs by CAA’s & Neighborhood Based Organizations: Geographically targeted or statewide initiatives/projects that address populations disproportionately impacted by poverty in innovative ways. Projects should focus on improving living conditions for those in poverty, promoting self-sufficiency and ownership, building partnerships among providers of services and promoting community revitalization. Priority will be given to projects requesting seed money for initiatives that have the potential to be self-sustaining in their efforts to combat unmet needs among the low-income (CSBG funds cannot be used as matching funds for other funding sources, per federal law). Where funding allows, community grants that address one or more priorities identified by strategic planning processes that take place in low-income communities may be rewarded with tangible resources to carry out their priorities. While CAA staff provide some services and help to leverage resources, some CSBG discretionary funds may be set aside for community priorities that will make a tangible difference and are allowable under the CSBG Act. It is hoped that such communities might apply for resources from First State CAA in the future.

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.”

[Narrative, 5000 characters]

As part of First State’s delivery system is the Emergency Food Program which provides emergency food for an average size family of four for 1 week in Georgetown,

Sussex County. The eligible entity is also required to provide a monthly report for the Emergency Food Program, as well as reporting how much food was given out on the annual report. Also visits and monitoring of the site allows the CSBG administrator to peruse the food closet.

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)(2)** 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

- 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) **[Narrative, 2500 characters]**

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

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

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

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

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

Primary Covered Transactions

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

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

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was 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 Non procurement 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.