

Draft Pending OMB Approval – For Planning Purposes Only

Community Services Block Grant (CSBG) Model State Plan

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

Public reporting burden for this collection of information is estimated to average 31 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

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

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 20192019 Year Two 20202020

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:

- | | | |
|--|--|--|
| <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

1.2b. Cabinet or administrative department of this lead agency

- Community Affairs Department
- Community Services Department
- Governor's Office
- Health Department
- Housing Department
- Human Services Department
- Social Services Department
- Other, describe:

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

South Dakota Department of Social Services

South Dakota Department of Social Services, Division of Economic Assistance

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 Lynne A. Valenti Title: Cabinet Secretary of DSS

1.2e. Street Address

700 Governors Drive

700 Governors Drive

1.2f. City

Pierre

1.2g. State

South Dakota

1.2h. Zip Code

57501-2291

1.2i. Work Telephone Number and Extension (if applicable)

605-77303165 e. 4855

1.2j. Fax Number

605-773-4855

1.2k. Email Address

Lynne.Valenti@state.sd.us

1.2l. Lead Agency Website

<https://dss.sd.gov>

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.

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

- | | | |
|--|---|---|
| <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

SD DSS

1.4b. Point of Contact Name

Name Kathleen Skoglund _____ Title Program Specialist II _____

1.4c. Street Address

811 E. 10th St. Dept. 10

1.4d. City

Sioux Falls

1.4e. State

South Dakota

1.4f. Zip Code

57103

1.4g. Office Telephone Number

605-367-5444 e.266

1.4h. Fax Number

605-782-3149

1.4i. Email Address

Kathleen.Skoglund@state.sd.us

1.4j. Agency Website

<https://dss.sd.gov>

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

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

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Executive Director | <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 | <input type="checkbox"/> RPIC Lead | |

1.5a. Agency name

South Dakota Community Action Partnership

1.5b. Executive Director or Point of Contact

Name Darci Bultje _____ Title: State Coordinator _____

1.5c. Street Address

Rural Office of Community Services, Inc.

140 HWY 50

1.5d. City

Lake Andes

1.5e. State

South Dakota

1.5f. Zip Code

57356

1.5g. Telephone Number

605-487-7634

1.5h. Fax Number

605-487-7883

1.5i. Email Address

dbultje@Rocsinc.org

1.5j. State Association Website

none

**1.5k. State Association currently serves as the Regional Performance Innovation
Consortia (RPIC) lead**

Yes No



STATE OF SOUTH DAKOTA
DENNIS DAUGAARD, GOVERNOR

July 21, 2014

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Division of State Assistance
Community Services Block Grant Branch
370 L'Enfant Promenade S.W., 5th Floor West
Washington, D.C. 20447

Re: Community Services Block Grant Designee

To Whom It May Concern:

As Governor of the state of South Dakota, I designate the Department of Social Services as the administering agency for the Community Services Block Grant (CSBG). I further delegate authority to Lynne A. Valenti, as Secretary of the Department of Social Services or her designee, to certify to all required statutory assurances and to submit the state applications and or plans for CSBG.

Sincerely,

A handwritten signature in cursive script that reads "Dennis Daugaard".

Dennis Daugaard

DD:kh

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.
- 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.

The mission of the SD Department of Social Services is “Strengthening and supporting individuals and families by promoting cost effective and comprehensive services in connection with our partners that foster independent and healthy families.”

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

The State has set five goals for the State Administration of CSBG. 1. Promote results oriented activities and services to assist individuals, families, and communities to move toward self-sufficiency. 2. Collaboratively communicate with Community Action Staff to identify needs for training, technical assistance, and information. 3. Evaluate agency performance and provide input within 30 days using the OCS recognized organizational standards and other pertinent measures of performance on an annual basis. 4. Develop technical assistance plans or quality improvement plans for agencies not meeting the organizational standards. 5. Complete reports, data collection, and documents related to the South Dakota implementation of the Community Services Block Grant within required timeframes.

- 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

- 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)
- xx Monitoring Visits/Assessments
- Tools not identified above (specify)

3.3b. Analysis of local-level tools

- Eligible entity community needs assessments
- Eligible entity community action plans
- xx Public Hearings/Workshops
- Tools not identified above (e.g., state required reports) [specify]

3.3c. Consultation with

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State Association
- National Association for State Community Services Programs (NASCSPP)
- 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)

3.4. Eligible Entity Involvement

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

This proposed plan is made available to the Community Action Agencies in South Dakota, the South Dakota CAP (association), and other interested parties for review and comment. A public hearing on the SD Community Services Block Grant for FFY 2019 and 2020 will be held August 7, 2018 at 4:00PM. This document (in final draft form) was distributed to the four community action agencies in the State and made available by postal mail or email to anyone requesting a copy of the document. In addition, it was posted to the SD Department of Social Services website. Notice of the period of public inspection and the public hearing is placed in five major newspapers in the state, that includes at least one from each of the service areas of the community action agencies.

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.

In addition to the printed copies (mailed) of the plan, the Program Specialist will initiate a conversation with each of the CAA Executive Directors related to the plan and timing of the public hearing. Each will be invited to the public hearing, participate in the hearing, or submit comments.

3.5. Eligible Entity Overall Satisfaction: Provide the state’s target for eligible entity Overall Satisfaction during the performance period. Year One 86 Year Two 86.

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.

A public hearing on SD Community Service Block Grant State Plan for FFY 2019 and 2020 will be held August 7, 2018 at 4:00PM CDT. The state plan draft document will be distributed to the four community action agencies in the State and made available by postal mail or email to anyone requesting a copy of the document. Notice of the period of public inspection and the public hearing will be placed in five major newspapers in the state, representing each of the service areas of the community action agencies. In addition, a copy of the plan will be posted on the SD DSS website.

PUBLIC HEARING

FY 2019-2020 State Plan for Community Services Block Grant

The Department of Social Services will hold a public hearing on the proposed FY 2019 and 2020 State Plan for the administration of the Community Services Block Grant. The hearing is to obtain final comments on the proposed plan. It will be held Aug. 7, 2018 at 4 p.m. CDT, at 700 Governor's Drive (Conference Room #1), Pierre, SD.

Interested persons may obtain copies of the proposed State Plan by contacting Kathleen Skoglund, Program Specialist, Division of Economic Assistance, 811 E. 10th St. Dept 10, Sioux Falls, SD 57103. Written comments will be accepted at the Division of Economic Assistance at the address in Pierre until 4 p.m. CDT, Aug. 7, 2018.

Notice is further given to individuals with disabilities that the hearing is being held in a physically accessible building.

- 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.

This document is being distributed to the four community action agencies in the State and made available by postal mail or email to anyone requesting a copy of the document. Notice of the period of public inspection and the public hearing is placed in five major newspapers in the State, representing each of the service areas of the community action agencies, on July 10, 2018. Comments may be submitted in person or in writing.

- 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.

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
2/5-6/2018	Pierre, SD Health and Human Services Committee	<input checked="" type="checkbox"/> Legislative	<input type="checkbox"/>
8/7/2018	SD Department of Social Services, Pierre, SD	<input checked="" type="checkbox"/> Public <input type="checkbox"/> Legislative <input type="checkbox"/> Combined	Hearing notice attached.

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
(An attachment of the outcome of the hearing will be attached.)

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)
Inter-Lakes Community Action Partnership, Inc.	Brookings, Clark, Codington, Grant, Hamlin, Kingsbury, Lake, Lincoln, McCook, Miner, Minnehaha, Moody, Turner	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency
Northeast South Dakota Community Action Program (dba Grow South Dakota)	Beadle, Brown, Campbell, Day, Edmunds, Faulk, Hand, Hughes, Hyde, Marshall, McPherson, Potter, Roberts, Spink, Stanley, Sully, Walworth	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency
Rural Office of Community Services, Inc.	Aurora, Bon Homme, Brule, Buffalo, Charles Mix, Clay, Davison, Douglas, Gregory, Hanson, Hutchinson, Jerauld, Jones, Lyman, Mellette, Sanborn, Todd, Tripp, Union, Yankton	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency
Western South Dakota Community Action Agency, Inc.	Bennett, Butte, Corson, Custer, Dewey, Fall River, Haakon, Harding, Jackson, Lawrence, Meade, Pennington, Perkins, Ziebach	Nonprofit	<ul style="list-style-type: none"> • Community Action Agency

5.2. Total number of CSBG eligible entities: 4

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

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

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

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.

- COE CSBG Organizational Standards
- Modified version of COE CSBG Organizational Standards
- Alternative set of organizational standards

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

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

6.3. Organizational Standards Assessment: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s).

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

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

The State continues to conduct an on-site review of each eligible entity at least once during each three year period. South Dakota is currently choosing to monitor each entity on an annual basis. The Program Specialist meets with the Executive Director and other identified staff in each agency during a scheduled meeting and utilizes a monitoring assessment document in which the Organizational Standards are embedded and identified. The entire assessment document is completed, including the Organizational Standards. If it is found that a standard is not met, a discussion will take place to determine the status of meeting the standard: Is it in process or is there an intention to meet the standard? In what timeframe will the standard be met? Does the agency need training or more explanation/information? The discussion and resulting clarification will determine whether the State will follow up in 30 days, write a TAP for T/TA, or write a QIP. The organizational standards have been used since

2014 during State monitoring (even while in draft form). The agencies are familiar with them; we have discussed interpretation to create a mutual understanding; and the agencies have been working on items in preparation for implementation and implementation for several years. The DSS Office of Provider Reimbursements is responsible for completing Section 8 of the Organizational Standard related to Finance. This office provides feedback on those items to the CSBG Program Specialist.

- 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
- 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. **Year One 100% Year Two 100%**

SECTION 7 State Use of Funds

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

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

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

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

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 90% Year Two 90%

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Inter-Lakes Community Action Partnership, Inc.	\$1,036,163
Northeast South Dakota Community Action Program (dba Grow South Dakota)	\$465,826
Rural Office of Community Services, Inc.	\$642,004 + \$2000 (T/TA)
Western South Dakota Community Action Agency, Inc.	\$842,070
Total	\$298,063

Planned CSBG 90 Percent Funds – Year Two	
CSBG Eligible Entity	Funding Amount \$
	Dependent on allocation.
Total	

7.3. Distribution Process: Describe the specific steps in the state’s process for distributing 90

remainder/discretionary funds in the table below. Year One 5% Year Two 5%

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	\$2000	These planned services/activities will be described in State Plan Item 8.1	
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	
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	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need			
7.9e. Asset-building programs			
7.9f. Innovation programs/activities by eligible entities or other neighborhood group		Describe here.	
7.9g. State charity tax credits			
7.9h. Other activities [Specify under Column 4]		Specify the other activities funded through discretionary funds here.	
Totals		\$2000	

Use of Remainder/Discretionary Funds – Year Two (as applicable)		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	\$2000	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities		These planned services/activities will be described in State Plan Item 8.1
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
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
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		
7.9e. Asset-building programs		
7.9f. Innovation programs/activities by eligible entities or other neighborhood group		Describe here.
7.9g. State charity tax credits		

Use of Remainder/Discretionary Funds – Year Two (as applicable)		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	\$2000	Brief Description of Services and/or Activities
7.9h. Other activities [Specify under Column 4]		Specify the other activities funded through discretionary funds here.
Totals	\$2000	

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.

- The state directly carries out all activities (No Partnerships)
- The state does not have remainder/discretionary funds
- The state partially carries out some activities
- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **4 agencies**
- Other community-based organizations
- State Community Action association (**\$2000 for T/TA**)
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other

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.

Any funds remaining in administrative funds and all but \$2000 of the discretionary funds are currently distributed to the agencies at the same percentage as the 90% funds. Specifically, the discretionary funds are earmarked by the State for emergency services as defined by the agency. Food, shelter costs, utilities, medical, etc. are appropriate uses for these funds as distributed. The State does not intend, at this time, to make changes in the use of the discretionary funds, and it is noted by the State, these funds are consistently used by the agencies and three of the four agencies do supplement the amount of emergency services funds that are available through discretionary funds with some of their CSBG allocation or other funds. The State's view is that these funds designated as emergency funds are critical to the low income persons served by CSBG. The ACSI score in this area was 89%, so it is believed that generally the agencies are in agreement with distribution of discretionary funds.

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.)

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 Q3 	Toggle Options: <ul style="list-style-type: none"> • Training 	Dropdown Options: <ul style="list-style-type: none"> • Reporting 	

Training and Technical Assistance – Year Two			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown Options: <ul style="list-style-type: none"> • FY2 Q3 	Toggle Options: Training	Dropdown Options: <ul style="list-style-type: none"> • Other 	Year Two training has not yet been decided. We may need to do additional training on the new annual reporting, or another topic of interest or need.

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

Year One \$2000_ Year Two \$2000_

8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance.

The Program Specialist conferences with the Director of the SDCAP (association) to develop a survey of the agencies related to T/TA needs that is sent to the agencies. We then meet in person to develop the State T/TA plan using the results of the survey. The results are sent to all of the agencies as well as to the RPIC lead in North Dakota.

8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? Yes No

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.

The monitor will be meeting with all agencies prior to 10/1/2018 to conduct a monitoring of CSBG requirements, including specifically the organizational standards, with each agency. Following that monitoring, a letter outlining the areas of non-compliance work will be sent to each agency when issues are discovered. The State views that each agency has until the following year's monitoring to be in compliance with all of the standards but would prefer a more timely response.

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

CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)

Other community-based organizations

State Community Action Association

The State T/TA funds are allocated to the SD CAP (Association) and training is organized through that entity. Either a statewide training has been offered or scholarship assistance to another training, such as the Regional training offered by the RPIC.

Regional CSBG technical assistance provider(s)

National technical assistance provider(s)

Individual consultant(s)

Tribes and Tribal Organizations

Other

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.

The State does offer \$2000 to the SD CAP Association to assist in paying for a speaker for their statewide training. We have made it clear that they may request additional funds if needed. The State also made clear that since we are allocating the remainder of the State’s administrative funds to the agencies (see7.11), the agencies are allowed the flexibility to propose using dollars to pay for needed training for staff. The State is participating in Region VIII calls and there is a plan to meet training and technical assistance needs of agencies in each state. The SD CAP that manages the RPIC funds allocated to the state and the State Program Specialist will work on this together and carefully review the outcome of the agency surveys that will be conducted in August. Training and technical assistance offerings, including funding, will be targeted to any needs identified.

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

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

The Low Income Energy Assistance Program (LIEAP in SD), weatherization, Temporary Assistance for Needy Families (TANF), and Supplemental Nutrition Assistance Program (SNAP) are also within the Division of Economic Assistance (where CSBG is administratively located), so there is continual communication. The Divisions of Child Support, Child Care Services, and Behavioral Health are also within the Department of Social Services. The Division Directors and Division staff members work closely to avoid 'silos' of work, poor communication, as well as duplication of effort. The Division of Finance, with SD DSS, oversees approval of funds for the agencies and communicates regularly with the state budget office.

The Economic Assistance Division Director, Carrie Johnson, and I spoke with the staff person who is administering the Workforce Innovation and Opportunity Act state plan related to CSBG and any coordination of effort. There is knowledge of CSBG and two of the agencies have been included in meetings.

The SD Housing Authority is a frequent partner with most of the Economic Assistance programs.

The State Head Start office is located in the SD Department of Education. These programs are continually coordinating with Division of Economic Assistance programs and services and there are many mutual referrals. One of the four Community Action Agencies is a Head Start provider in a 14-county area, so communication is frequent.

The SD Department of Health is the home for the Public Health programs. As the primary contact for CSBG, direct contact with this agency is somewhat limited; they do work closely with entities within the Department of Social Services. They also have worked with one of the eligible entities who oversees the licensed commercial kitchen being used for low-income entrepreneurs to create foods, sauces, etc. to be sold. Long Term Services and Supports (formerly Adult Services and Aging) is co-located locally with DSS, though it is now within the Division of Human Services. Communication is frequent. South Dakota is a smaller population state. Coordinated efforts are the way work is done.

- 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)).

Linkages and coordination are the primary resource for access to CSBG and other services to individuals, families, and communities. State entities and eligible entities work through coalitions and other formal and informal relationships to address identified needs that are currently unmet by other agencies or groups. A variety of issues such as housing (including on reservation areas), needs of incarcerated and paroled persons and their families, community gardens and farmers' markets, and thrift stores in remote and rural areas are some of the areas that have been identified and are currently being addressed through linkages with funding sources, governmental agencies, non-profits, and other interested individuals and agencies. Community needs assessments are often the source for identifying unmet or inadequately met needs. Boards of Directors and the agencies they connect with become a catalyst for the responses to these needs to increase the access.

- 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)).

Agencies have been required to report annually through the CSBG IS report how many linkages they maintain and the number of partnerships within those agencies. In addition, linkages are monitored during the annual monitoring. In that report and in discussion, the agencies identify nearly 1000 entities with which they link to provide services to low income persons and families. This is critical in South Dakota as we are a very rural state and no one agency is able to provide all that is needed. Referrals made and received, coordinated efforts,

collaborations, and on-going communication with linkage entities are not only required; they are the only way that the needed work can be done. Avoiding duplication and maximizing opportunities for low income persons and families is done through linkages.

- 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.

The eligible entities work collaboratively with other businesses, non-profits, governmental entities, health services, tribal entities, and other linkages to identify needs, seek and develop strategies, and meet needs. Two of the four eligible entities in the state do not provide case management as they work with partners who provide that service. Memorandums of Understanding and consumer releases of information allow the entities to share necessary information so that low income persons and families receive the services that are needed to move toward self-sufficiency.

- 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

- 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.

- 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.

South Dakota submitted a State Unified Plan, rather than a combined plan. The primary difference is that the Combined Plan involves report input and submission from ALL core and required WIOA partners in the same plan, whereas a Unified State Plan focuses upon the Core Partners (the four titles of WIOA) and how those core partners will work with the required partners, such as TANF, Housing, Job Corps, SCSEP, etc. through MOUs and other devised strategies. The intended outcome is the same – agencies working together to

get people the resources they need to better themselves through education, training, skills development, employment, and other support mechanisms.

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

The Low Income Energy Assistance Program is implemented through the SD DSS Division of Economic Assistance where CSBG is also administered. Program staff and administrators are able to discuss needs, funding issues, etc. so that there is a coordinated effort between LIEAP and CSBG, including any emergency services offered by the eligible entities.

- 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.

The State requires that the eligible entities sign assurances as a part of the annual community action plan each submits similar to those that the State signs. Monitoring is done to identify to the partnerships and linkages and the way in which those faith based organizations, charitable groups, and community organizations work mutually with the eligible entities to meet needs.

- 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.

Funds made available to the eligible entities (at least 90 percent of the CSBG funds) are required to be used to maximize and leverage additional public and private resources, funds, and grants to maximize opportunities, services, and outcomes for low income persons, families, and communities to move toward self-sufficiency.

- 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.

Because South Dakota is a small population, rural state, there are only four community action agencies in the state. These four agencies have geographically large service areas with smaller satellite sites where staff are located full or part time. The Community Action Association is not as formalized as in some other states as a staff person from one of the entities serves as the State Coordinator for the association and is the Community Services Director (managing CSBG services) within the agency where she works. As the State representative for CSBG, this Program Specialist has close working relationships with all four agencies as well as the State Coordinator. The State

does provide a \$2000 each year to the agency housing the State Coordinator to assist with a statewide training (or approved alternative) provided to the staff of the agencies.

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	Biannual	Mailing Email Phone Calls Public Notice	
State Plan Development	Biannual	Mailing Email Phone Calls Public Notice	
Organizational Standards Progress	As needed Upon request	Phone calls 1:1 Email	
State Accountability Measures Progress	As needed Upon request	Email	
Community Needs Assessments/Community Action Plans	Annually	Mailing Email Phone Calls	
State Monitoring Plans and Policies	Annually	Mailing Email 1:1 Phone calls	
Training and Technical Assistance (T/TA) Plans	Annually	Email	
ROMA and Performance Management	Annually	Meetings/Presentation	
State Interagency Coordination	As needed	Email Meetings/Presentation	
CSBG Legislative/Programmatic Updates	Annually	Meetings/Presentation	
Tripartite Board Requirements	Semi-annually	Meetings/Presentation Email Phone Call	
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.

The Program Specialist discusses State performance at the annual monitoring. When a new ACSI score is received, this is discussed at the monitoring visit. Changes in practice or policy are discussed either at these visits or when they occur. The agencies are given an opportunity to provide feedback to the Program Specialist during these visits.

- 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.

ACSI scores in the area of communication were in the 83-97 range. It is the current plan to continue with the communication efforts made that relate to those very positive scores. The Program Specialist asks the agencies to submit monthly reports of activities, programs, and issues regarding CSBG funds. These reports are used to complete a summary report to the Program Specialist's supervisor (the Division Director of Economic Assistance). A summary report back to the agencies was done on a trial basis, but the agencies' comments were not positive on this. They believed that it fostered competition between them.

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.

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”
ICAP	<ul style="list-style-type: none"> • Full On-Site at each agency 	<ul style="list-style-type: none"> • Onsite Review at each agency 	FY1Q4	8/14/2018	8/14/2018	
NESDCAP (Grow South Dakota)			FY1 Q3	6/14/2018	6/14/2018	
ROCS			FY1 Q4	8/28/2018	8/28/2018	
WSDCAA			FY1 Q4	9/13/2018	9/14/2018	

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”
ICAP	<ul style="list-style-type: none"> • Full On-Site 	<ul style="list-style-type: none"> • Onsite Review 	FY2 Q4	7/19	7/19	*These dates are not set, so not specific date is stated.
NESDCAP			FY2 Q3	6/19	6/19	
ROCS			FY2 Q4	8/19	8/19	
WSDCAA			FY2 Q4	9/19	9/19	

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

Monitoring is an on-going process and is not limited to a periodic “on-site monitoring visit.” The on-going process includes:

- **Review and approval of grant applications**
- **Review of monthly Financial Status Reports**
- **Review of independent audit reports and management letters**
- **Review of governing boards, meeting notices, agendas and minutes**
- **Review of monitoring reports from other entities (as available)**
- **Monthly reports submitted to the state agency from CAAs**
- **Review of financial records**

It is an important part of a strong partnership that is forged between state CSBG staff and the CAAs to build capacity at the local level to enable them to meet the needs of communities and persons in poverty. Because the State believes that the strong partnership is based on communication and knowledge of programs and services, the State will do visits no less often than biennially and as often as annually. The monitoring guide used and specific program elements reviewed varies from year to year. DSS holds the belief that the CSBG provides flexible core or foundational funding that enables community action agencies to operate. Though CSBG funding may represent a small portion of an agency’s total revenue, it is a large percentage of a community action agency’s identity. All agency operations that benefit from the Community Services Block Grant are subject to review and evaluation by the state CSBG office.

The monitoring visit serves three general purposes: to foster a partnership approach to the monitoring process through an open discussion between the state office staff and the grantee staff; to gain a general overview, or "big picture," of the grantee’s work; and to verify compliance with funding source rules and regulations. The process will include a financial review conducted by staff in the DSS Office of Finance Provider Reimbursements and an on-site visit for program monitoring by the CSBG Program Specialist. Following the lead of directives of NASCSP, the SD DSS/CSBG office is committed to a process that fosters mutual respect, open communication and joint problem solving.

- 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?

It is the goal of the agency to send drafted comments to the agency within 30 (no more than 45) days of the on-site. The agency Executive Director and any staff who participated in the monitoring visit may review comments for accuracy, and offer additional comments or clarifications. These comments may or may not be used by the Program Specialist in the final document. Within 5 days of receipt of the comments/suggestions, the document will be finalized. The final document is sent by email (in pdf format) to the agency and to the Division Director of Economic Assistance.

**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.

If the State determines, on the basis of a final decision in a review pursuant to section 678Gb, that an eligible entity fails to comply with the terms of the contract, or the state plan, to provide services under this subtitle or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives, the State shall: (a) Inform the eligible entity of the deficiency to be corrected and offer training and technical assistance, if appropriate, to help correct the deficiency, (b) Require the eligible entity to correct the deficiency, if possible: at the discretion of the State, allow the eligible entity to develop and implement a quality improvement plan within 60 days after being informed of the deficiency. Once the state approves the plan, the Secretary is notified. The State follows progress to the end of the plan, and if successful, notifies the agency and the Secretary. IM 116 would be followed.

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

No agencies are currently on a QIP.

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?

Within 30 days after receipt of the plan of action from the agency, the State will approve the technical assistance plan or quality improvement plan or specify reasons why the plan cannot be approved; and , in the case of a quality improvement plan, the State will prepare and submit to HHS Secretary a detailed report on the above determination.

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

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.

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.

If any geographic area of the State is not, or ceases to be, served by an eligible entity, the Governor or the Cabinet Secretary of the Department of Social Services may solicit applications from and designate as an eligible entity a) a private non-profit that is geographically located in the unserved area and that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, or b) a private non-profit eligible entity that is geographically located in an area contiguous to or within a reasonable proximity of the unserved area and that is already providing related services in the unserved area. The organization must have a tripartite board as described in the CSBG Act. If no private, non-profit organization is identified or determined to be qualified, an appropriate political subdivision of the State may be appointed to serve as an eligible entity for unserved area.

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.

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.

If the State determines that an eligible entity fails to comply with the terms of the contract or the state plan, provide services, or to meet appropriate standards, goals, and other requirements established by the State, the State will act. The State shall inform the eligible entity of the deficiency to be corrected, offer training and technical assistance (if appropriate) to help correct the deficiency, and require the eligible entity to correct the deficiency. The State may allow the eligible entity to develop and implement a quality improvement plan within 60 days after being informed of the deficiency describing how and when the deficiency will be corrected, plans for preventing future occurrences, and the expected timeframe. Then, within 30 days after receipt of the plan, the State will approve the quality or improvement plan or specify reasons why the plan cannot be approved and submit to HHS Secretary a detailed report on the determination. If the State determines the deficiency is too serious or immediate resolution is required, or if the State denies the quality improvement plan, adequate notice must be sent to the eligible entity informing them the termination or reduction of funds proceeding will be initiated. Termination or reduction of funds will be imposed after the following conditions have been met a) adequate notice has been provided explaining the

proposed termination or reduction of funds within the reason states and offering the opportunity to request a hearing within 30 days following the receipt of the notice; and b) after the notice of the hearing upholding the termination or reduction of funds, or after 30 days have passed without a request for hearing; a detailed report summarizing the determination and the hearing decision (if a hearing was held), will be sent to the Secretary. The Secretary will review the termination or reduction decision if, within 30 days following the hearing decision, the eligible entity requests such review. The review shall be completed not later than 90 days after the Secretary receives the review request from the eligible entity. If the review is not completed within 90 days, the determination of the State will become final at the end of the 90th day. IM 116 would be used as a guide.

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.

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.

IM 116 would be used as a guide.

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).

South Dakota, by statute, has decided to comply with the fund classification structure established by the Governmental Accounting Standards Board as set forth in a publication called Governmental Accounting and Financial Reporting Standards. Along with the fund classification DSS uses unique identifiers in the account and center to specifically track expenditures by division, type of funding, unique federal grants, and unique programs.

For the purposes to track specific grants there are 3 separate identifiers used. (Company, Account, and Center)

The company is used to show what type of fund the expenditures fall in such as Governmental Funds, Proprietary Funds, Fiduciary Funds, Etc. Federal expenditures are tracked with a 2000 series, for DSS the company would be 2004.

The accounting system field called Account is where the Chart of Accounts entries are coded. The account is used to track what the money is spent for (salaries, contracts,

supplies, etc.) The ninth digit of the account is used to Identify federal “grant year” the costs is pertaining to.

The center is used to track expenditures in more detail. It is a 12 digit code that can be broken down into two parts - Program & Funding Source.

PROGRAM: First seven digits in Center are used to indicate the organizational unit charged with responsibility to expend funds.

Budget Unit: A three- or four-digit component of Program that denotes General Appropriation Bill authority. The Budget Unit signifies the State Department and the Division within the Department. **Activity:** A three- or four-digit component of Program signifying an organizational unit within an agency.

FUNDING SOURCE: Five digits in Center used to indicate the origin of funds and required detailed reporting levels.

Source: A three-digit component of Funding Source used to identify a revenue source, such as a grant or funds tracked for a specific purpose. A comprehensive list of Sources is maintained by BFM. Source identifiers beginning with an alpha character are Major Federal Assistance Programs and are specific to a CFDA number.

Subfund: A two-digit component of Cost Center that identifies further detailed reporting or tracking levels of a funding source. The Subfund is agency-defined as needed, but it must be two digits in length.

Example

Company	Account	Center
2004	520502009	082010006601

Would be the center used for Federal Fiscal year 2019 CSBG funding.

- 1.) **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.

When audit reports on subrecipients are received at Provider Reimbursements and Audits division of DSS, the material reports are recorded on a worksheet showing the name of the subrecipient agency, the period audited, the date the report was received at DSS, and the date PRA actually reviewed the report. Uniform Guidance requires that any findings noted in the report are to be followed up on and corrective action taken is to be evaluated within six months of the date that DSS receives the report. If any findings affecting DSS awards are discovered in the audit report, PRA contacts the agency responsible for the grant to inform them of the problem. A letter is sent to the subrecipient describing any findings noted in the report and inquiring as to the corrective action taken. Copies of this letter are also forwarded to the administrator of the program(s) for which the finding was issued. If it is determined during the review that the sub-recipient is not meeting the requirements of the award DSS will formally communicate all findings in a letter to the sub-recipient. The Department will give the sub-recipient 30 days to formally respond to the review findings with a written corrective action plan to be completed by the sub-recipient to ensure they are in

compliance going forward. If the corrective action plan is not received within 30 days the Department will withhold funding until the corrective action plan has been received.

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

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.

Monitoring and Corrective Action received scores of 94-100 in the latest ACSI survey. The monitoring tool used is reviewed annually and modifications are made. The State continues to do annual monitoring which includes the organizational standards and other pertinent items. Because of the high score in the ACSI, it is believed that the process used is meeting the needs for both the State office and the eligible entities.

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.

- Attend Board meetings
- Organizational Standards Assessment
- Monitoring
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other

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.

- Annually
- Semiannually
- Quarterly
- Monthly
- As It Occurs
- Other

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.

As a part of the annual monitoring, the reviewer asks to see the policy or bylaw that documents that process used to allow individuals or organizations to petition for representation on the Tripartite Board. If that action has occurred in the past year, the reviewer asks to see the documentation related to the petition. The agencies are required to submit a current copy of the bylaws with their annual plan and provide an updated document at monitoring, if any changes have been made.

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.

Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state.

- 125% of the HHS poverty line **(for CSBG services)**
- X % of the HHS poverty line (fill in the threshold): _____%
- Varies by eligible entity

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

An attempt to verify individuals or family income is completed by the intake person at the agency. Agencies are allowed copies of the Low Income Energy Assistance Program participant listing and that listing is reviewed. A hierarchy of review occurs: The LIEAP listing; a review of any household income received in the past 4 weeks; or if there has been no income in that period, a review of any income received in the past three months; or if there has been no income in that period (or for farm income), a review of any income in the past year. For self-employed persons, the adjust gross income proven by the last tax return is used; and seasonal workers are asked for proof of the income in the past year (as they may work in more than one season). If none of that information is available or documented, individuals are asked to sign a self-declaration of eligibility. Eligibility is completed one time per year with returning consumers, or the first time in a year's period that an individual or family requests services. If there is a break in service (for example, service in July and again requested in February), the intake worker does ask for any changes in income, employment, household composition, etc. since the last service request.

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.

An attempt to verify individuals or family income is completed by the intake person. Agencies are allowed copies of the Low Income Energy Assistance Program participant listing and that listing in reviewed. A hierarchy of review occurs: The LIEAP listing; a review of any income received in the past 4 weeks; or if there has been no income in that period, a review of any income received in the past three months; or if there has been no income in that period (or for farm income), a review of any income in the past year. For self- employed persons, the adjusted gross income proven by the last tax return is used; and seasonal workers are asked for proof of the income in the past year (as they may work in more than one season). If none of that information is available or documented, individuals are asked to sign a self- declaration of eligibility.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services

target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

The eligible entities design and implement targeted community-based services established from the results of the community needs assessment, customer satisfaction surveys and the strategic planning completed by the Boards of Directors and staff. When agencies provide services that offer community wide benefit, they include a specific outcome related to how they will target and benefit low income communities. Thrift Stores, for example, would be a service that provides a community-wide benefit. These stores provide low-income residents with the ability to purchase needed items at a significantly reduced price and travel costs outside the community to purchase these items. Building partnerships helps to identify additional resources and promotes referral systems for low-income populations to become more self-sufficient. There is greater strength in partnerships due to more funding or resources available, it prevents duplication of services or programs, expertise and knowledge is strengthened, and there are opportunities for more innovation. Organizational strengths complement each other when forces are joined and the end benefit provides greater resources for low-income households. Development of community assets and facilities is an important piece to promoting low-income families' well-being and quality of life. Without essential components such as education, health facilities, jobs, low-income individuals have fewer opportunities to reach their potential and build wealth.

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.

- 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.

Based upon principles contained in the Government Performance and Results Act of 1993, ROMA provides a framework for continuous growth and improvement among more than 1000 local community action agencies and a basis for state leadership and assistance toward those ends. Since 1994, the Community Services Network has been guided by six broad anti-poverty goals:

Goal 1: Low-income people become more self-sufficient.

Goal 2: The conditions in which low-income people live are improved.

Goal 3: Low-income people own a stake in their community.

Goal 4: Partnerships among supporters and providers of service to low-income people are achieved.

Goal 5: Agencies increase their capacity to achieve results.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

These were recently updated to three goals: Individuals, Families, and Communities. To accomplish these goals, local community action agencies have been encouraged to undertake a number of ROMA implementation actions that focus on results-oriented management and results-oriented accountability:

- **Assess poverty needs and conditions within the community;**
- **Define a clear agency anti-poverty mission for community action and a strategy to address those needs, both immediate and longer term, in the context of existing resources and opportunities in the community;**
- **Identify specific improvements, or results, to be achieved among low-income people and the community; and**
- **Organize and implement programs, services, and activities, such as advocacy, within the agency and among "partnering" organizations, to achieve anticipated results.**

Results-Oriented Accountability

- **Develop and implement strategies to measure and record improvements in the condition of low-income people and the communities in which they live that result from community action intervention;**
- **Use information about outcomes, or results, among agency tripartite boards and staff to determine the overall effectiveness, inform annual and long-range planning, support agency advocacy, funding, and community partnership activities.**

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.

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.

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

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

South Dakota has a certified ROMA trainer, and this person does training annually with all agencies. Two agencies appointed staff persons to complete the "implementer" training for ROMA. This work is in process. Members of Boards of Directors have been trained as well as key staff who work with developing, implementing, documenting, and evaluating programs for low-income persons. In addition, the State provides group and individual agency direction for the completion of the CSBG IS data collection system.

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.

The state uses ROMA (logic model) as a basis for the program descriptions that the eligible entities submit to receive funding. They are asked, in each program's description, what measurement or identifiers the agency will use to document outcomes or success of each program. The CSBG IS data submitted by each agency reports on those outcome measures. As a part of the evaluation of the program, agencies are asked to identify programs that did not meet goals and strategies to be used to improve the service delivery, or possibly to make a successful program better. Monitoring includes discussion of improved service delivery.

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.

Each spring, eligible entities are required to submit a Community Action Plan as a condition of receiving the contract. The following documents are required:

1. Application Information
2. Agency Certification
3. CSBG Grant Program Assurances
4. Summary of the latest Community Survey
5. Agency Work Plan worksheets or community initiative forms
6. Other sources of agency income
7. Proposed CSBG Budget and agency wide budget
8. Audits and Accounting Systems reports
9. Other Requirements
 - a) By-Laws and/or Constitution
 - b) Personnel Policies
 - c) Articles of Incorporation
 - d) Documentation of 501 (c) (3) Status
 - e) Affirmative Action Plan
 - f) Organizational Chart of Agency Board and Staff
 - g) Board of Directors Membership and the tripartite sector each fulfills
10. Certifications

- 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.

The summary of the latest community survey is submitted by each eligible entity as a part of the Community Action Plan. In addition, there are elements in the annual monitoring that discuss the community needs assessment and any new information gathered within the past year.

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;

Agencies address needs identified by the community needs assessment, the Board of

Directors, and other sources. They compile a community action plan that includes the needs assessment, descriptions of the services and activities that they propose to address needs, and tie each of those services and activities to one of the National Performance Indicators. The State supports activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of Title IV of the Social Security Act (42 U.S.C.601 et seq.), homeless individuals and families, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable families and individuals to participate in or receive the following services. Each activity listed is provided by one or more of the agencies funded, but this is not a comprehensive listing of all programs and services offered.

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

- Assist low-income clients to start businesses or for businesses to create-maintain jobs for low-income individuals
- Employment assistance (licensing fees, uniforms, tools, gas vouchers, etc.)
- Provide work sites for participants in Summer Youth Jobs program, Experience Works, and Social Services work programs (TANF)
- Referrals to literacy programs
- Homeless assistance
- Rural transportation programs
- Gas vouchers for newly employed persons
- Transitional housing for homeless and others
- Referrals and assistance to contact the State Child Support office

(ii) *secure and retain meaningful employment;*

- Small business development support and technical assistance. CAAs link with local banks, businesses, and economic development agencies
- Referrals to employment services for job skills training and development
- Linkages with Career Learning Centers
- Provide work sites for Experience Works and Social Services work programs (TANF)
- Linkages with local Department of Labor Career Centers

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

- Head Start and Early Head Start
- Assistance with purchase of school supplies for K-12
- Technical assistance and support for businesses
- Referrals to Adult Basic Education, GED, English as a Second Language, and literacy programs
- Referrals to post-secondary institutions
- Youth Recreation projects

(iv) *make better use of available income;*

- Household financial counseling
 - Garden and food preservation projects
 - Elderly nutrition programs
 - Child care food program
 - Tax assistance (VITA)
 - Self-sufficiency program
 - Protective Payee Services
 - Provide assistance in utilizing SHIINE and medication assistance programs
 - Dakota Dream Savings Fund—IDA program
- (v) *obtain and maintain adequate housing and a suitable living environment;*
- Housing preservation programs
 - Weatherization assistance programs
 - Affordable housing project
 - Classes regarding home-building
 - Home ownership programs (self-help housing)
 - HOME rehabilitation program
 - Housing counseling
 - Eviction prevention program
 - Mutual self-help housing
 - Agency management of rental units for low-income
 - Assist in management of funds provided by private entities who make donations for emergency energy assistance
- (vi) *obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
- Commodity distribution
 - Food banks, pantries
 - Homeless assistance
 - Emergency food and shelter programs
 - Medical equipment lending
 - Surplus clothing distribution
 - Personal care items distribution
 - Emergency energy assistance
- (vii) *achieve greater participation in the affairs of the communities involved,*
- Community Action Teams
 - Outreach workers/case managers
 - Youth recreation programs
 - Newsletters
 - Volunteer services network transportation program
 - Individuals trained in economic development in local communities

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;

Among the services offered are Head Start, Early Head Start, Summer Youth Program support, Recreational Program Support, Summer Youth Swim Passes, School Supplies Projects, Mitten and Angel Trees (donations for Christmas gifts), and transportation services for education (where none otherwise exists).

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)

Eligible entities coordinate to the greatest extent possible with other non-profits, faith based organizations, governmental agencies, service providers, and volunteers to assure that as much funding as is needed becomes available in order for a project or to facilitate success.

Maximizing any resources, leveraging funds and grants, and coordination and collaboration are the focus of service provision to assist as many individuals, families, and communities as possible.

Linkages

Linkages developed by the Community Action Agencies to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations are completed by each of the

four entities. Eligible agencies have identified staff (called Community Case Workers, Outreach Workers, etc.) that develop and maintain networks with staff of other service agencies and providers both for accurate referrals as well as avoiding any duplication of effort. They provide information and referral to applicants/participants in those cases where the agency's services are not able to fulfill the person's need(s) or whose needs may more appropriately be met by another source.

Staff of community action agencies may act as a case manager in cases where individuals are moving toward self-sufficiency and working with several agencies to be able to successfully achieve that goal. Participants may also choose to receive follow-along and follow-up services from agency staff, to assure and assist participants continue to move toward self-sufficiency goals even if they are not receiving any other funded services from the eligible entity.

Coordination with Other Public and Private Resources

Examples of inter-agency coordination and collaboration include:

- Energy assistance programs developed at county and regional levels
- Assist with home loans and home rehab programs
- Coordination (in some instances partial funding) with food banks nutrition programs
- Weatherization and housing preservation programs
- Training of volunteers working with service agencies
- Support and assistance with welfare reform initiatives
- Provision of work sites for hard-to-place community service workers (TANF, prisoners)
- Information and referral to services provided by other agencies
- Partnering with Department of Labor for TANF client referrals to IDA program
- Participation in the SD Homeless Consortium
- Rural transportation projects to help persons with low-income to access services/jobs
- Partnering with Department of Social Services and Labor offices to identify gaps
- Reporting outcome-based data

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.”

Specifically, the discretionary funds are earmarked by the State for emergency services as defined by the agency. Food, shelter costs, utilities, medical, etc. are appropriate uses for these funds as distributed.

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;”

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

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

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

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

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

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

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

Note: The description above is about eligible entity use of 90 percent funds to

support these initiatives. States may also support these types of activities at the local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the state indicates funds allocated for these activities under item 7.9(f).

Initiatives and Projects include, but are not limited to:

Employment: Job training (worksite for Experience Works workers, Social Services work programs-- TANF, weatherization contractors); job creation; revolving loan programs, small business development counseling, and community/area development.

Education: Head Start/Early Head Start, day care and child development, child care education, parenting classes, referral to GED, adult education, provide school supplies, tenant education, nutrition education, gardening, food preservation

Income Management: Counseling on energy and finances, consumer education, tax credit counseling and assistance through VITA (Earned Income Tax Credit, child care, employment, etc.), referrals to Senior Health Insurance Information Education (SHIINE) program, weatherization program support, rural transportation projects, clothing and thrift stores, and personal care items.

Housing: Home ownership counseling, self-help housing project, Affordable Housing project rehabilitation, rent assistance, home repair/rehabilitation, information and referral, management of income eligible apartments and housing, and tenant education.

Emergency Assistance with energy, food, clothing, and other assistance, emergency shelter; aid for homelessness; disaster relief; and crisis loans..

Nutrition: Garden projects, gardening tools, food preservation materials, food pantries/shelves, commodities distribution, senior nutrition programs (including home delivered meals), and nutrition education.

Linkages: Volunteers, neighborhood development, community development projects, community action teams, community service workers, family/individual counseling programs, faith based projects and relationships, transportation projects, interagency resource projects, services to victims of violence, summer youth recreation, community agencies, and state agencies.

Health: Transportation to health services, medical equipment lending, personal care products, nutrition education.

Self-Sufficiency: Protective Payee services, financial counseling, self-sufficiency plans, case management, transitional housing for homeless families, VITA services, and Dakota Dream (IDA).

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.”

Community Action Agencies in the state host community-level food pantries in several counties within established service areas, as well as coordinating with existing food pantries in counties where they are established by other entities. Community Action Agencies have established protocols for making and receiving referrals with other programs and services in all areas. In addition, they continue to work with SD Department of Social Services to make appropriate referrals for Supplemental Nutrition Assistance Program and county welfare offices for other life necessities. Thrift stores are supported or in the process of being started by some agencies in areas where there are no other sources for clothing within an established distance, so that low-income persons with extreme needs for clothing or household items may be served. Staff members serve as members on local “emergency needs” committees in several areas to bring the agencies’ resources to those groups and gain the availability of other services and funding.

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between

antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

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

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

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

Note: The state describes this assurance in the State Linkages and Communication, item 9.6.

Eligible Entity Tripartite Board Representation

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

Note: The state describes this assurance under Eligible Entity Tripartite Boards, 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.”

Note: The state describes this assurance under items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

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

SECTION 15 Federal Certifications

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 Nonprocurement Programs.

- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. Environmental Tobacco Smoke

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

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

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