

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: Pennsylvania

Report Name: Model State Plan(CSBG) Revision # 1

Report Period: 10/01/2017 to 09/30/2018


Report Status: Submission Accepted by CO (Revision #1)

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires:08/31/2016	
COVER PAGE			
* 1.a. Type of Submission: Plan	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: Initial State Use Only: 5. Date Received By State: 6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Commonwealth of Pennsylvania			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 23-600310201		* c. Organizational DUNS: 088115720	
* d. Address:			
* Street 1:	Commonwealth Keystone Building	* Street 2:	400 North Street, 4th Floor
* City:	Harrisburg	* County:	Dauphin
* State:	PA	* Province:	
* Country:	United States	* Zip / Postal Code:	17120 - 0225
e. Organizational Unit:			
Department Name: Department of Community and Economic Development		Division Name: Center for Community Services	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Jesse	Middle Name:	* Last Name: Kowalick
Suffix:	Title: Division Chief	Organizational Affiliation:	
* Telephone Number: (717) 720-7357	Fax Number (717) 214-5399	* Email: jkowalick@pa.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
10. CFDA Numbers and Titles		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project Two-Year CSBG State Plan			
12. Areas Affected by Funding:			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 11		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	

a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt?			
<input type="radio"/> YES <input checked="" type="radio"/> NO			
Explanation:			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official		18c. Telephone (area code, number and extension)	
		18d. Email Address	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 11/30/2017	
Attach supporting documents as specified in agency instructions.			

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:08/31/2016	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. <i>The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.</i>			
1.1a. Lead agency	Department of Community and Economic Development		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Other, describe Community and Economic Development			
1.1c. Division, bureau, or office of the CSBG authorized official	Center for Community Services		
1.1d. Authorized official of lead agency	Dennis M. Davin, Secretary		
1.1e. Street Address	Commonwealth Keystone Building, 400 North St, 4th Floor		
1.1f. City	Harrisburg	1.1g. State PA	1.1h. Zip 17120
1.1i. Telephone number and extension (717) 787 - 1984 ext.		1.1j. Fax number: (717) 214 - 5399	
1.1k. Email address ddavin@pa.gov		1.1l. Lead agency website http://dced.pa.gov	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Department of Community and Economic Development		
1.2b. Name of the point of contact	Lynette Praster		
1.2c. Street address	Commonwealth Keystone Building, 400 North St, 4th Floor		
1.2d. City	Harrisburg	1.2e. State PA	1.2f. Zip 17120
1.2g. Point of contact telephone number (717) 720 - 1350 ext.		1.2h. Fax number (717) 214 - 5399	
1.2i. Point of contact email address lpraster@pa.gov		1.2j. Point of contact agency website http://dced.pa.gov	
1.3. Designation Letter: Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.			

Section 2: State Legislation and Regulation

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

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

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

2.4. State Authority:

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

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

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

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

Section 3: State Plan Development and Statewide Goals

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

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The mission of the Department of Community and Economic Development (DCED) is to foster opportunities for businesses to grow and for communities to succeed and thrive in a global economy. Our mission is to improve the quality of life for Pennsylvania citizens while assuring transparency and accountability in the expenditure of public funds.

3.2. State Plan Goals:

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

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

The Commonwealth's goal for the CSBG program is to reduce poverty by supporting eligible entities to become agents of change in their efforts to assist the low income population of Pennsylvania with and through communities to move individuals and families out of poverty. The Pennsylvania state CSBG office will support eligible entities to increase their flexibility and agility to respond to the diverse needs of their service areas by utilizing ROMA Next Generation, and fostering partnerships and linkages to create meaningful solutions.

3.3. State Plan Development:

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

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

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

U.S. Census data

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

Other data *[describe]*

Eligible entity community needs assessments

Eligible entity plans

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

Feedback from consultations with eligible entities specific to local needs and statewide priorities.

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

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

State community action association and regional CSBG T&TA providers

State partners and/or stakeholders *(describe)* Department of Labor and Industry in consultation for development and implementation of the WIOA Combined State Plan.

National organizations *(describe)*

Federal Office of Community Services

Other *(describe)*

3.4. Eligible Entity Involvement

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

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

The Department has collaborated with the state community action association (CAAP) and eligible entities statewide. The CAAP and eligible entities were provided with the contents of the CSBG State Plan, and regional meetings were held to collect initial feedback and suggestions. After regional feedback was solicited and a statewide webinar was conducted to provide an overview of the initial feedback along with additional opportunities for input and collaboration, the revised draft was presented for further review and comment at the annual CSBG Symposium. After finalizing the draft, the Department publishes the draft plan for public comment, inviting CSBG eligible entities to provide further review and comment, and then conducts a public hearing that solicits written comments and testimony from any interested individuals and organizations. Upon conclusion of the public comment period and associated public hearing, the final draft of the CSBG State Plan is submitted.

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

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and**
- 2) to ensure the State Plan reflects input from eligible entities?**

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from

eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

The Department identified relevant and substantive sections of the existing CSBG State Plan and coordinated meetings with all six (6) regions across the state. At the regional meetings, eligible entities and the state associated reviewed sections of the plan and provided feedback in the form of comments and discussion. In an ongoing effort to solicit feedback throughout the development process, regional representatives then surveyed their respective areas using Survey Monkey and collected feedback from individual agencies. That feedback generated suggestions for modification of the draft plan document. The presentation at the annual symposium was another new facet of soliciting feedback from agencies compared to previous years. Further, the feedback provided by the 2017 ACSI responses will be used to adjust our State Plan development process. While the overwhelming response related to our existing mechanism of soliciting and incorporating feedback was positive, some respondents are seeking locally-focused interactions and we will revise our strategy to provide additional opportunities for discussions in both remote and face-to-face venues.

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

3.5. Eligible Entity Overall Satisfaction:

Provide the State's target for eligible entity Overall Satisfaction during the performance period: 56

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

Section 4: CSBG Hearing Requirements

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Administration for Children and Families
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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

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

In accordance with 45 Pa.C.S. Subsection 906, Reasonable Notice of Hearing, the CSBG State Plan is announced in the Pennsylvania Bulletin whenever notice of hearing or of opportunity to be heard is required or authorized to be given by the Commonwealth government by or under any statute. The Pennsylvania Bulletin Pennsylvania's administrative register and is a weekly publication of the Commonwealth of Pennsylvania including changes and proposed changes to agency rules and regulations. It serves as a supplement to the Pennsylvania Code. The CSBG State Plan is published in Pennsylvania Bulletin and includes a request for public comments submitted on or before the date of the public hearing.

4.2. Public Notice/Hearing:

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

Notification of a public hearing is published in the Pennsylvania Bulletin with at least ten (10) days notice in advance of the hearing to allow sufficient time for public comment. The Pennsylvania Bulletin Pennsylvania's administrative register and is a weekly publication of the Commonwealth of Pennsylvania including changes and proposed changes to agency rules and regulations. It serves as a temporary supplement to the Pennsylvania Code. The CSBG State Plan is published in Pennsylvania Bulletin and includes a request for public comments submitted on or before the date of the public hearing.

4.3. Public and Legislative Hearings:

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

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

	Date	Location	Type of Hearing <small>[Select an option]</small>
1	08/09/2017	PUC Hearing Room 5, Plaza Level, Commonwealth Keystone Building, 400 North Street, Harrisburg, PA	Public

4.4. Attach supporting [documentation](#) or a [hyperlink](#) for the public and legislative hearings.

<http://www.pabulletin.com/secure/data/vol47/47-30/1256.html>

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

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

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

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Allegheny County Department of Human Services	Public	Local Government Agency	Allegheny County (except city of Pittsburgh)	
2	Armstrong County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Armstrong County	
3	Beaver County Community Services Program	Public	Local Government Agency	Beaver County	
4	Berks Community Action Program	Nonprofit	Community Action Agency (CAA)	Berks County	
5	Blair County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Blair County	
6	Bucks County Opportunity Council	Nonprofit	Community Action Agency (CAA)	Bucks County	
7	Butler County Community Action and Development	Public	Local Government Agency	Butler County	
8	Carbon County Action Committee for Human Services	Nonprofit	Community Action Agency (CAA)	Carbon County	
9	Center for Community Action	Nonprofit	Community Action Agency (CAA)	Bedford, Fulton, Huntingdon, Juniata, and Mifflin Counties	
10	Central Pennsylvania Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Centre and Clearfield Counties	
11	Central Susquehanna Opportunities, Inc.	Nonprofit	Community Action Agency (CAA)	Northumberland, Columbia, and Montour Counties	
12	Commission on Economic Opportunity	Nonprofit	Community Action Agency (CAA)	Luzerne County	
13	Community Action Agency of Delaware County	Nonprofit	Community Action Agency (CAA)	Delaware County	
14	Community Action Association of Pennsylvania (CAAP)	Nonprofit	Limited Purpose Agency	Statewide	The existing arrangement with the CAAP as a limited-purpose eligible entity and funded accordingly with 90% funds was established in 1994 as a result of a federal DHHS appeals board decision - Docket # A-94-51, Decision # 1482. Since 1994, Pennsylvania has honored the DHHS decision and corresponding arrangement.
15	Tri-County Community Action Commission	Nonprofit	Community Action Agency (CAA)	Cumberland, Dauphin, and Perry Counties	
16	Community Action Committee of the Lehigh Valley, Inc.	Nonprofit	Community Action Agency (CAA)	Lehigh and Northampton Counties	
17	Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Jefferson and Clarion Counties	
18	Community Action Partnership of Cambria	Nonprofit	Community Action Agency	Cambria County	

	County		(CAA)		
19	Community Action Partnership of Mercer	Nonprofit	Community Action Agency (CAA)	Mercer County	
20	Community Action Program of Lancaster County	Nonprofit	Community Action Agency (CAA)	Lancaster County	
21	Community Action Southwest	Nonprofit	Community Action Agency (CAA)	Washington and Greene Counties	
22	Community Progress Council, Inc.	Nonprofit	Community Action Agency (CAA)	York County	
23	Chester County Commissioners	Public	Local Government Agency	Chester County	
24	Fayette County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Fayette County	
25	Greater Erie Community Action Committee	Nonprofit	Community Action Agency (CAA)	Erie County	
26	Indiana County Community Action Program	Nonprofit	Community Action Agency (CAA)	Indiana County	
27	Lawrence County Community Action Partnership	Nonprofit	Community Action Agency (CAA)	Lawrence County	
28	Lebanon County Community Action Partnership	Public	Local Government Agency	Lebanon County	
29	Lycoming-Clinton Counties Commission for Community Action, Inc. (dba STEP, Inc.)	Nonprofit	Community Action Agency (CAA)	Lycoming and Clinton Counties	
30	Mayors Office of Community Empowerment and Opportunity	Public	Local Government Agency	Philadelphia County	
31	Monroe County Commissioners	Public	Local Government Agency	Monroe County	
32	Montgomery County Community Action Development Commission (CADCOM)	Nonprofit	Community Action Agency (CAA)	Montgomery County	
33	Northern Tier Community Action Corporation	Nonprofit	Community Action Agency (CAA)	Cameron, Elk, Potter, and McKean Counties	
34	Pathstone Corporation	Nonprofit	Limited Purpose Agency	Statewide	
35	Pittsburgh Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Allegheny County (city of Pittsburgh only)	
36	Scranton-Lackawanna Human Development Agency	Nonprofit	Community Action Agency (CAA)	Lackawanna County	
37	Schuylkill Community Action	Nonprofit	Community Action Agency (CAA)	Schuylkill County	
38	South Central Community Action Programs, Inc.	Nonprofit	Community Action Agency (CAA)	Adams and Franklin Counties	
39	Tableland Services, Inc.	Nonprofit	Community Action Agency (CAA)	Somerset County	
40	Trehab, Inc.	Nonprofit	Community Action Agency (CAA)	Bradford, Tioga, Wayne, Sullivan, Susquehanna, and Wyoming Counties	
41	Union-Snyder Community Action Agency	Public	Local Government Agency	Snyder and Union Counties	
42	Venango County Commissioners d/b/a County of Venango Venango/Crawford Counties Office of Economic Opportunity	Public	Local Government Agency	Crawford and Venango Counties	
43	Warren-Forest Counties Economic Opportunity Council	Nonprofit	Community Action Agency (CAA)	Warren and Forest Counties	
44	Westmoreland Community Action	Nonprofit	Community Action Agency (CAA)	Westmoreland County	

5.2 Total number of CSBG eligible entities **44**

5.3 Changes to Eligible Entities List:

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

If yes, please briefly describe the changes.

An eligible entity has been selected to provide CSBG services in Mifflin and Juniata counties. The agency was selected through a competitive procurement process, and replaces the existing arrangement with Union-Snyder Community Action Agency that provided services in Mifflin and Juniata counties. Center for Community Action (CCA) is an existing CEE and successfully submitted an application to provide CSBG services in the affected counties. The CEE list has been updated to reflect the additional two counties for the CCA service area.

Section 6: Organizational Standards for Eligible Entities

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SECTION 6 Organizational Standards for Eligible Entities

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

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

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

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

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

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

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

Regulation

Policy

Contracts with eligible entities

Other, describe:

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

Peer-to-peer review (with validation by the State or State-authorized third party)

Self-assessment (with validation by the State or State-authorized third party)

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.4a. Describe the assessment process.

The Commonwealth adopted Organizational Standards as described in IM 138. COPOS is the IT reporting system eligible entities use. Eligible entities perform a self-assessment via a tool they were already familiar with. Because of the use of this tool the state was able to secure 100% participation in the self assessment process. The tool is designed to guide entities to either private or public status in order to complete the correct sections. Areas of noncompliance are discussed and a corrective action plan will be established in conjunction with the agency. This computerized system also allows the state to identify state wide trends in compliance issues as well as prioritize training needs within the network.

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

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

The State Association (CAAP), due to its organizational characteristics and overall purpose, is exempted from the selected Organizational Standards identified in the attachment.

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 85%

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

Section 7: State Use of Funds

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SECTION 7 State Use of Funds

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

7.1. Formula:

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

Base + Formula

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?

Yes No

7.2. Planned Allocation:

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

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

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Allegheny County Department of Human Services	\$1,208,580	0.00%	\$1,208,580	0.00%
2	Armstrong County Community Action Agency	\$250,000	0.00%	\$250,000	0.00%
3	Beaver County Community Services Program	\$335,592	0.00%	\$335,592	0.00%
4	Berks Community Action Program	\$840,062	0.00%	\$840,062	0.00%
5	Blair County Community Action Agency	\$270,266	0.00%	\$270,266	0.00%
6	Bucks County Opportunity Council	\$726,581	0.00%	\$726,581	0.00%
7	Butler County Community Action and Development	\$289,231	0.00%	\$289,231	0.00%
8	Carbon County Action Committee for Human Services	\$250,000	0.00%	\$250,000	0.00%
9	Center for Community Action	\$404,620	0.00%	\$404,620	0.00%
10	Central Pennsylvania Community Action, Inc.	\$536,678	0.00%	\$536,678	0.00%
11	Central Susquehanna Opportunities, Inc.	\$398,400	0.00%	\$398,400	0.00%
12	Commission on Economic Opportunity	\$769,255	0.00%	\$769,255	0.00%
13	Community Action Agency of Delaware County	\$933,380	0.00%	\$933,380	0.00%
14	Community Action Association of Pennsylvania (CAAP)	\$250,000	0.00%	\$250,000	0.00%
15	Tri-County Community Action Commission	\$926,389	0.00%	\$926,389	0.00%
16	Community Action Committee of the Lehigh Valley, Inc.	\$1,245,771	0.00%	\$1,245,771	0.00%
17	Community Action, Inc.	\$250,000	0.00%	\$250,000	0.00%
18	Community Action Partnership of Cambria County	\$312,199	0.00%	\$312,199	0.00%
19	Community Action Partnership of Mercer	\$250,000	0.00%	\$250,000	0.00%
20	Community Action Program of Lancaster County	\$855,377	0.00%	\$855,377	0.00%
21	Community Action Southwest	\$445,688	0.00%	\$445,688	0.00%
22	Community Progress Council, Inc.	\$736,059	0.00%	\$736,059	0.00%
23	Chester County Commissioners	\$585,321	0.00%	\$585,321	0.00%
24	Fayette County Community Action Agency	\$369,051	0.00%	\$369,051	0.00%

25	Greater Erie Community Action Committee	\$667,303	0.00%	\$667,303	0.00%
26	Indiana County Community Action Program	\$250,000	0.00%	\$250,000	0.00%
27	Lawrence County Community Action Partnership	\$250,000	0.00%	\$250,000	0.00%
28	Lebanon County Community Action Partnership	\$250,000	0.00%	\$250,000	0.00%
29	Lycoming-Clinton Counties Commission for Community Action, Inc. (dba STEP, Inc.)	\$343,073	0.00%	\$343,073	0.00%
30	Mayors Office of Community Empowerment and Opportunity	\$5,306,943	0.00%	\$5,306,943	0.00%
31	Monroe County Commissioners	\$447,129	0.00%	\$447,129	0.00%
32	Montgomery County Community Action Development Commission (CADCOM)	\$939,381	0.00%	\$939,381	0.00%
33	Northern Tier Community Action Corporation	\$250,000	0.00%	\$250,000	0.00%
34	Pathstone Corporation	\$250,000	0.00%	\$250,000	0.00%
35	Pittsburgh Community Services, Inc.	\$1,161,192	0.00%	\$1,161,192	0.00%
36	Scranton-Lackawanna Human Development Agency	\$454,444	0.00%	\$454,444	0.00%
37	Schuylkill Community Action	\$307,583	0.00%	\$307,583	0.00%
38	South Central Community Action Programs, Inc.	\$419,604	0.00%	\$419,604	0.00%
39	Tableland Services, Inc.	\$250,000	0.00%	\$250,000	0.00%
40	Trehab, Inc.	\$487,930	0.00%	\$487,930	0.00%
41	Union-Snyder Community Action Agency	\$250,000	0.00%	\$250,000	0.00%
42	Venango County Commissioners d/b/a County of Venango Venango/Crawford Counties Office of Economic Opportunity	\$334,573	0.00%	\$334,573	0.00%
43	Warren-Forest Counties Economic Opportunity Council	\$250,000	0.00%	\$250,000	0.00%
44	Westmoreland Community Action	\$645,263	0.00%	\$645,263	0.00%
Total		\$26,952,918	0.00%	\$26,952,918	0.00%

7.3. Distribution Process:

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

Upon notification from OCS of the state award amount the historic base and formula allocation is calculated based on poverty and unemployment statistics for each CSBG agency's coverage area. The agency is informed of what its allocation total is and instructed (Via email) to provide a work plan, goals and objective statements and a budget which reflect this total. Agencies are given a two-week time period to return these documents to the state. A review process is conducted by the Center for Community Services to ensure that the budget is mathematically correct, the goals are in compliance with the ROMA standards and all activities are eligible. A Master Agreement and Funding Release document are prepared, reviewed and approved by DCED management and legal staff and forwarded to the agencies for signature. Agencies return the documents to DCED and they are then forwarded to DCED Secretary and Legal Offices for final signature and sent to the State Comptroller. The Comptroller reviews all fiscal documents and when approved, forwards them to the State Treasurer's office. The Treasurer's office reviews all documents for completeness and accuracy signs them to complete the contract process. A copy of the fully executed agreement is returned to the agency. Once the documents are fully executed the agency may begin drawing funds to cover costs. This entire process may take at least a six-week period. NOTE: Since the state Master Agreements are set up on a calendar year (January 1 to December 31), the Department has in reserve, a 90-day allocation from the award which can be released immediately on final approval of the above process. As clarification for the CAAP's inclusion in the 90% funding formula, its designation as a limited-purpose and thus eligible entity was established in 1994 as a result of a federal DHHS appeals board decision - Docket # A-94-51, Decision # 1482. From that point forward, Pennsylvania has included the CAAP in its funding distribution formula.

7.4. Distribution Timeframe:

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

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

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

Due largely to the untimeliness and unpredictability of the quarterly federal awards, the state's distribution is consequently delayed by 3 months. Additionally, the state contracting process is extremely compartmentalized as a checks and balance system, and the Center for Community Services has little to no control over how rapidly all parts of the State system respond (see response to 7.3). The Center makes every effort possible to ensure that funds are distributed to the eligible agencies as quickly as possible. DCED continues to work with the other state departments involved in an attempt to streamline and expedite this state contracting and funding process. Refer to 7.3 for the detailed process.

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

7.5. Performance Management Adjustment:

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

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

The State is aware of the challenges of the current distribution process and time frame. As a consequence, the state lead agency actively seeks improvements including feedback from eligible entities, OCS, and other stakeholders including budget and fiscal experts. For example, in 2014 the state improved the contracting process by implementing the master agreement concept which allowed us to reduce the time frame to make funds available. As

we move forward, we will continue to look for improvements to streamline the process. The 2017 ACSI feedback indicated general support for the current award distribution process. However, some eligible entities are concerned about impacts of state budget impasses. Several respondents indicated concern about impacts to long-term planning and service delivery. The State Lead Agency will continue to work with fiscal offices to identify innovative solutions that can minimize impacts to eligible entities. In addition, the chart in 7.9 has been revised to more accurately reflect T/TA activities implemented in tandem with the State Association.

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

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

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 9

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 5

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

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

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

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

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

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

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$200,000.00	0.00%	\$200,000.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$250,000.00	0.00%	\$250,000.00	0.00%	WIOA Combined State Plan- infrastructure
c. Statewide coordination and communication among eligible entities	\$0.00	0.00%	\$0.00	0.00%	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$50,000.00	0.00%	\$50,000.00	0.00%	State may allow for some administrative costs of asset building programs to be supported by CSBG funds.
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$800,000.00	0.00%	\$800,000.00	0.00%	In collaboration with the State Association via RPIC, the State Lead Agency developed the T/TA Plan that details planned T/TA activities. We anticipate requests for T/TA related to community catalytic activities, assistance with performance standards, organizational structure assistance, and holistic service navigation.
g. State charity tax credits	\$50,000.00	0.00%	\$50,000.00	0.00%	The state encourages eligible entities to apply for discretionary funds to be used administratively to support the Neighborhood Assistance Tax credit program.
h. Other activities, specify in column 6	\$0.00	0.00%	\$0.00	0.00%	Refer to (a) Training/technical assistance to eligible entities: The State Association's base-level allocation as a limited-purpose eligible entity is primarily used for T/TA to the Pennsylvania CSBG network. An additional \$200,000 is allocated for the Annual CSBG Symposium hosted by the State Association. This will include a focus on specific topics, and agencies have generally asked for specific guidance related to organizational development and succession planning, leadership development, ROMA implementation, and data collection systems. Further, adherence to performance standards including Organizational Standards helps to guide the areas of focus for T/TA.
Total	\$1,350,000.00	0.00%	\$1,350,000.00	0.00%	

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

CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 20

<input type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input type="checkbox"/>	National technical assistance provider(s)
<input type="checkbox"/>	Individual consultant(s)
<input type="checkbox"/>	Tribes and Tribal Organizations
<input checked="" type="checkbox"/>	Other Regional Workforce Investment Areas- WIOA
<input type="checkbox"/>	None (the State will carry out activities directly)
<i>Note: This response will link to the corresponding CSBG assurance, item 14.2.</i>	
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>	
7.11. Performance Management Adjustment:	
How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.	
<i>Note: This information is associated with State Accountability Measures 35b, and may pre-populate the State's annual report form.</i>	
<p>For the 2017-2018 program years the state will be utilizing part of the 5% administrative funds to provide for training and technical assistance needs rather than discretionary funds. In the past, the state planned additional funds for training and technical assistance along with asset building programs. However, few eligible entities used discretionary funds for these purposes. Instead, the state anticipates more agencies will use discretionary funds for capacity building, catalytic activities, organizational standard compliance, data systems, and other elements of ROMA NG. This conclusion is based on feedback received from eligible entities, the state association, and stakeholders throughout development of this state plan. Further, as a result of 2017 ACSI survey feedback, the State Lead Agency plans to provide more detailed information to eligible entities and improve transparency so agencies have a clearer understanding. Additionally, some respondents have requested technical assistance related to WIOA contributions, and our Program Specialists will work with agencies individually to identify opportunities for discretionary funding projects. Additionally, to help eligible entities manage the locally complex WIOA infrastructure cost contributions, the State Lead Agency has elected to engage in MOUs through the Pennsylvania Department of Labor and Industry to accommodate a lump-sum contribution on behalf of all eligible entities.</p>	

Section 8: State Training and Technical Assistance

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

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

SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

*Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)*

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

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Training	ROMA	
2	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
4	Ongoing / Multiple Quarters	Training	Technology	COPOS/ Annual Report/ Data Analysis
5	Ongoing / Multiple Quarters	Training	Other	Partner with state association to deliver training at the regional/local level.
6	Ongoing / Multiple Quarters	Both	Other	Collaboration with Workforce Development partners through WIOA.
7	Ongoing / Multiple Quarters	Both	Other	Organizational Development including leadership development, work ethics, time management, and associated concepts
8	Ongoing / Multiple Quarters	Training	Other	Risk Assessment

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) Year One \$200000 , Year Two \$200000

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

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

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

There are currently no eligible entities with TAPs or QIPs. Entities are made aware of findings at the time of monitoring, and monitoring remains open until findings are satisfied. TAPs and QIPs have not been necessary in these instances.

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

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

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

8.4. Performance Management Adjustment:

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

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

On a monthly basis, the State Lead Agency and the CAAP hold standing meetings that include agenda items specific to training and technical assistance. Both DCED and the CAAP collect feedback from eligible entities, and coordinate efforts accordingly. The analysis of data within COPOS provides indications whether entities are meeting organizational standards, or if there are areas where training and technical assistance are warranted. Additionally, the State collected feedback from eligible entities by participating in regional meetings that included agenda topics that solicited input from entities related to performance and training needs. The State also conducts a public hearing at the time of CSBG State Plan development to provide opportunity for other sources to contribute feedback, including identification of training and technical assistance needs. As a result of the 2017 ACSI survey results, in collaboration with the State Association the State Lead Agency will focus training and technical assistance efforts to ensure eligible entities are connected with resources available to help them fully implement ROMA. The annual CSBG Symposium, hosted by the State Association, will provide additional opportunities for training and technical assistance related to ROMA. Further, some agencies have requested training and technical assistance related to fiscal constraints along with data collection and analysis processes.

Section 9: State Linkages and Communication

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

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

SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

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

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

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

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

The Center for Community Services also houses the state Weatherization Office which receives 15% of the Pennsylvania LIHEAP Allocation for use in their weatherization and emergency heating crisis programs. Approximately 75% of the weatherization providers in Pennsylvania are also CSBG agencies. The Center for Community Services also collaborates with the Department's Center for Community Development that administers Community Development Block Grants, HOME, and other HUD funded programs. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

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

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

The Center also operates the Neighborhood Assistance Tax Credit Program. This is a state supported tax credit program geared toward providing services to low income clients through donations by corporate entities. A large portion of this program is dedicated to forming partnerships between non-profits and corporate entities to further community development efforts in targeted areas of Pennsylvania. Additionally, the CSBG eligible entities are mandated partners under the WIOA Combined State Plan and will coordinate employment and training activities with and through their local One-Stop Workforce service providers. The CSBG Lead Agency has coordinated with the local One-Stop workforce service providers to develop MOUs at the local level. This will strengthen efforts and result in improved partnerships and linkages at the local level. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

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

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

The state lead agency will assure coordination and effective delivery of services through analysis of outcomes reported in COPOS. Eligible entities are asked to highlight partnerships and collaborations in both COPOS and in their work plans. Additionally, each eligible entity's needs assessment considers the potential duplication of services, and the state lead agency reviews needs assessment results every three (3) years. As a result of the WIOA Combined Plan, Eligible entities will coordinate employment and training activities and services through the Commonwealth's CareerLink "one-stop" system. Locally, eligible entities will engage with CareerLink. *[Click paper clip to attach file]*

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

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

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

The CSBG lead office will require, as part of their work plan, the eligible entities to address the service gaps in their area. Through partnership and or collaboration with other area service providers the eligible entities will identify possible strategies to fill any gaps that exist. The state may consider granting CSBG discretionary funding to agencies that develop innovative strategies to bridge gaps.

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

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

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

The PA Department of Community and Economic Development (DCED) is the commonwealth agency that represents the required one-stop (PA CareerLink® partner) representing employment and training activities carried out under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.) at the state level. The mission of the Community Services Block grant (CSBG) is to provide a full range of services and activities having a measurable impact on the causes of poverty in a community or those areas of a community where poverty is a particularly acute problem. Only federally designated Community Action Agencies (CAA) receive funding, therefore in PA, there are 44 CAAs that cover all 67 PA counties. Ameliorating the causes and conditions of poverty take on a variety of community engagement activities and collaborative activism to remove obstacles that block the achievement of self-sufficiency; i.e. employment and training resources; community stakeholder collaboration; literacy activities; obtaining adequate housing; grassroots activities that provide intervention to the causes of poverty; addressing the needs of youth through programming or coordination; and increased engagement in community planning and improvement activities. CSBG has been in existence since 1965, always with the same mission: to improve the causes and conditions of poverty. Initiatives have included, but are not limited to: neighborhood linkages, leverage of community resources, conduction of Volunteer Income Tax Assistance sites, building housing capacity, provision of family self-sufficiency and case management, facilitation of Results-Oriented Management and Accountability. For every \$1 of CSBG funds, the PA network leveraged \$16.82 from other federal, state, local and private sources, including the calculated value of volunteer hours. DCED will participate in the local workforce service delivery system via the local CSBG agencies. In the work plans that will be authored and submitted by the Community Services Block Grant (CSBG) agencies for the 2018 calendar year of activity, DCED will direct sub-grantees to describe how they will conduct their planning and implementation of workforce activities in collaboration with local workforce development boards. DCED will contribute financial assistance to be applied to the infrastructure and other operating costs of the PA CareerLink® sites annually and to the extent funding exists.

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

9.5. Emergency Energy Crisis Intervention:

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

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

The Center for Community Services also houses the state Weatherization Office which receives 15% of the Pennsylvania LIHEAP allocation for use in their weatherization and emergency heating crisis programs. Approximately 75% of the weatherization providers in Pennsylvania are also CAAs.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

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

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

During the previous fiscal year Pennsylvania's eligible entities established coordinated efforts with 1,149 faith based organizations across the state and a total of 10,893 partnerships were formed with 9,292 different groups. As part of the continuing goal of having CAAs become community catalysts the state actively encourages all eligible entities to continue to seek out these types of partnerships in their respective areas, both through direct training and technical assistance and through coordinated efforts by the State Association. *[Click paper clip to attach file]*

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

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

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

All eligible entities construct unique service delivery systems based upon their strategic plans and the analysis of their Needs Assessment Models cover the spectrum from all services being offered entirely in house to all direct services being sub-contracted with the eligible entity acting as oversight for the programs. The majority of the eligible entities in Pennsylvania are actively involved in both private fund raising and the pursuit of other sources of grant dollars by using CSBG funding as a leverage. During 2016 eligible entities leveraged a total of \$481,636,765 in additional funds for CSBG related activities. This translates into a \$18.53 match for every dollar of CSBG funding. Several of the eligible entities in Pennsylvania also make use of the state's tax credit program (Neighborhood Assistance Program) to aid them in their pursuit of private corporate dollars. The state office continues to encourage all CAAs to make use of this tax credit program.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The State Lead Agency actively participates in regional meetings of the CAAs sponsored by the State Association. When training needs that can be fulfilled by the Association are identified during monitoring visits, the State Lead Agency refers the eligible entity for such training directly. The State Lead Agency conducts presentations during the Association's annual conference to address issues and concerns throughout the state, or may provide subject matter specific training. Ongoing efforts include: Annual CSBG symposium, Regional meetings, Direct eligible entities to contact the CAAP for ROMA training, T/TA Plan, Annual CAAP Conference. Monitoring processes result in referral of eligible entities to contact CAAP for specific T/TA needs such as governance/board topics, new executive director mentoring, and ROMA implementation issues and concerns among others.

9.9 Communication with Eligible Entities and the State Community Action Association:

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

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Annual Symposium	Annually	Meetings/Presentation	Annual conference including topics and speakers relative to current needs of the network.
2	CAAP Conference	Annually	Meetings/Presentation	CSBG Lead Agency Staff hosts a workshop on current events and activities regarding the CSBG program from the state office perspective.
3	CSBG Website	Daily	Website	Will utilize a website to share documents and information with the CSBG network as it occurs.
4	Email Blasts	Other	Email	Email urgent information as needed
5	Regional Meetings	Quarterly	Meetings/Presentation	Attend regional association meetings as appropriate.
6	On site visit	Other	Other	Visits to agencies as requested or as needed outside of the typical monitoring.
7	COPOS	Monthly	Other	Data reporting system sends automated monthly reports and reminders of upcoming data entry deadlines and requirements.

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

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

The State Lead Agency provides feedback to the entire state CSBG network on an annual basis, and in the form of quarterly regional meetings. Feedback to individual agencies occurs as needed or as requested to ensure continued compliance with accountability measures, organizational standards, and ROMA implementation. Further, COPOS monthly reports are undergoing refinements that result in a dashboard-like presentation of information for eligible entities. This enhanced format provides at-a-glance indications for specific organizational standards and accountability measures, and provides an overall gauge of entity achievement and growth. Additionally, the following mechanisms are routinely employed to coordinate communication and performance outcomes: On-site monitoring Remote monitoring Monthly COPOS reports, both on-demand and ad-hoc Regional meetings Annual conferences including Symposium and CAAP conference T/TA on-site visits Email communications

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

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

Note: This information is associated with State Accountability Measures 75b; this response may pre-populate the State's annual report form.

The State Lead Agency has adjusted the Communication Plan by soliciting and collecting input from eligible entities and the State Association related to existing processes and proposed changes. In consideration of current and past performance, along with feedback collected from OCS monitoring and ACSI results, the Department is targeting improvements in communication processes. For example, feedback collected from the State Plan development process indicated the importance of specific and directed emails that highlight relevant changes along with consistent updates rather than relying on website updates that would require agencies to frequently monitor for changes. Further, the state lead agency solicited feedback regarding a proposed Sharepoint site that can become a repository for essential CSBG related updates and information. The department also considered the current monthly report format and offered alternatives such as a dashboard style report for ease of use. In response to the feedback provided by the 2017 ACSI respondents, the State Lead Agency will continue to strengthen its communication plan to provide sufficient mechanisms for communication and correspondence with eligible entities. The State Lead Agency is continuing to explore a Sharepoint website that will provide relevant and timely information to eligible entities. Additionally, the State Lead Agency is exploring a CSBG newsletter, distributed periodically to eligible entities, that will provide success stories, innovative solutions, best practices, and other relevant information. Based on both the State Plan development feedback, and the ACSI responses, the State Lead Agency recognizes the need to communicate efficiently and effectively with all eligible entities.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

Form Approved
OMB No: 0970-0382
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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Allegheny County Department of Human Services	Full onsite	FY1 Q1	05/17/2015	
2	Armstrong County Community Action Agency	Full onsite	FY2 Q1	10/26/2016	
3	Beaver County Community Services Program	Full onsite	FY1 Q1	07/17/2015	
4	Berks Community Action Program	Full onsite	FY1 Q2	09/25/2015	
5	Blair County Community Action Agency	Full onsite	FY1 Q1	06/10/2015	
6	Bucks County Opportunity Council	Full onsite	FY2 Q1	09/14/2016	
7	Butler County Community Action and Development	Full onsite	FY2 Q2	02/08/2017	
8	Carbon County Action Committee for Human Services	Full onsite	FY2 Q2	03/01/2017	
9	Center for Community Action	Full onsite	FY1 Q2	01/09/2017	
10	Central Pennsylvania Community Action, Inc.	Full onsite	FY2 Q3	05/19/2017	
11	Central Susquehanna Opportunities, Inc.	Full onsite	FY1 Q1	08/25/2015	
12	Commission on Economic Opportunity	Full onsite	FY2 Q1	09/14/2016	
13	Community Action Agency of Delaware County	Full onsite	FY1 Q1	05/24/2015	
14	Community Action Association of Pennsylvania (CAAP)	Full onsite	FY1 Q2	02/12/2015	
15	Tri-County Community Action Commission	Full onsite	FY2 Q3	05/31/2017	
16	Community Action Committee of the Lehigh Valley, Inc.	Full onsite	FY1 Q1	11/20/2014	
17	Community Action, Inc.	Full onsite	FY1 Q3	04/29/2015	
18	Community Action Partnership of Cambria County	Full onsite	FY1 Q1	10/10/2014	
19	Community Action Partnership of Mercer	Full onsite	FY2 Q4	08/18/2017	
20	Community Action Program of Lancaster County	Full onsite	FY1 Q2	01/22/2015	
21	Community Action Southwest	Full onsite	FY2 Q3	07/27/2017	
22	Community Progress Council, Inc.	Full onsite	FY2 Q1	11/16/2016	
23	Chester County Commissioners	Full onsite	FY1 Q1	12/19/2014	

24	Fayette County Community Action Agency	Full onsite	FY2 Q3	07/28/2017	
25	Greater Erie Community Action Committee	Full onsite	FY1 Q1	05/19/2015	
26	Indiana County Community Action Program	Full onsite	FY1 Q3	05/26/2016	
27	Lawrence County Community Action Partnership	Full onsite	FY2 Q3	08/17/2017	
28	Lebanon County Community Action Partnership	Full onsite	FY1 Q3	06/09/2015	
29	Lycoming-Clinton Counties Commission for Community Action, Inc. (dba STEP, Inc.)	Full onsite	FY2 Q1	12/20/2016	
30	Mayors Office of Community Empowerment and Opportunity	Full onsite	FY1 Q1	04/03/2015	
31	Monroe County Commissioners	Full onsite	FY1 Q2	05/19/2016	
32	Montgomery County Community Action Development Commission (CADCOM)	Full onsite	FY1 Q1	11/25/2014	
33	Northern Tier Community Action Corporation	Full onsite	FY2 Q3	07/28/2016	
34	Pathstone Corporation	Full onsite	FY2 Q4	06/25/2017	
35	Pittsburgh Community Services, Inc.	Full onsite	FY1 Q1	12/09/2014	
36	Scranton-Lackawanna Human Development Agency	Full onsite	FY2 Q1	09/29/2016	
37	Schuylkill Community Action	Full onsite	FY2 Q2	12/21/2016	
38	South Central Community Action Programs, Inc.	Full onsite	FY2 Q1	10/18/2016	
39	Tableland Services, Inc.	Full onsite	FY2 Q1	10/28/2016	
40	Trehab, Inc.	Full onsite	FY1 Q1	10/02/2014	
41	Union-Snyder Community Action Agency	Full onsite	FY2 Q1	08/24/2016	
42	Venango County Commissioners d/b/a County of Venango Venango/Crawford Counties Office of Economic Opportunity	Full onsite	FY2 Q3	08/17/2017	
43	Warren-Forest Counties Economic Opportunity Council	Full onsite	FY1 Q1	08/19/2014	
44	Westmoreland Community Action	Full onsite	FY1 Q4	07/08/2015	
45					

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

We currently perform either desk or on-site monitoring once per year with each agency.

10.3. Initial Monitoring Reports:
According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

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

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

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

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

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

0

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

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

The Office of Community Services will be notified within 15 days of any eligible entity embarking on a QIP. This notification will include the specific deficiencies and the proposed methodology to address them.

10.7. Assurance on Funding Reduction or Termination:

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

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

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

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

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

Section 4 of Act 90 of 2014.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

Section 9(c) of Act 90 of 2014

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

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Section 9(c) of Act 90 of 2014

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).

All invoices for payment are reviewed and analyzed by the Fiscal Compliance Office to insure accuracy and adherence to the agency's budget as well as the appropriateness of the expenses. See attached file.

10.12. Single Audit Management Decisions:

Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. [CLICK HERE FOR LINK TO 45 CFR 75.521](#)

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

Management Directive 325.9, Processing Audits of Federal Pass-Through Funds, is attached to 10.2 as a separate document.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with [Section 678D\(a\)](#)" of the CSBG Act, as required by the assurance under [Section 676\(b\)\(7\)](#) of the CSBG Act? Yes No

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

10.14. Performance Management Adjustment:

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

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

The state is continuing to monitor each agency yearly by alternating between on site and desk reviews. Additionally, the state has added the review of the Organizational Standards to its monitoring procedures. Beginning in 2017, the eligible agencies are required to provide documentation to substantiate their adherence to the standards. Failure to meet standards will result in a finding and the agency must respond and develop a corrective action plan to address the issue. The monitoring remains open for continued review until the finding is satisfied. When feedback was solicited from eligible entities to consider changes to the monitoring process, we received positive feedback regarding the exiting procedures. With the addition of a dedicated data analyst, and enhanced COPOS functionality, reported data can be better utilized to evaluate the outcomes of the eligible entities. The 2017 ACSI provided useful information for the State Lead Agency to consider adjustments to monitoring processes. The State Lead Agency recognizes the necessity of consistent and timely feedback and communication with eligible entities. As a result, the State Lead Agency has embarked on a review of monitoring processes and tools, including revisions to the CSBG Monitoring Directive and both desk-monitoring and onsite-monitoring tools. Monitoring report cover letters have been revised to incorporate acknowledgement of agency strengths, and to ensure a more uniform mechanism of communicating monitoring results to eligible entities. The State Lead Agency is exploring a more comprehensive monitoring process that also further establish monitoring processes and expectations related to Organizational Standards that refine policies and procedures to ensure timely follow-up and adherence to proposed corrective actions.

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11 Eligible Entity Tripartite Board

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

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

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

- Annually
- Semiannually
- Quarterly
- Monthly
- Other As changes occur via attestation in the COPOS reporting system.

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

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

During annual agency reviews, state office CSBG program monitors examine the by-laws and policies of each agency to assure that selection procedures adhere to the assurance.

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

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

The Community Action Association of Pennsylvania (CAAP) is the State Association funded as a limited-purpose eligible entity. The CAAP's board is comprised of CSBG network agency executive directors, and is thus not a tripartite board. This board structure is necessary since CAAP does not provide direct services or programs to individuals and families in a specific geographic area.

Section 12: Individual and Community Eligibility Requirements

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

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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

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

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

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

Directive C2016-04 is attached outlining the State's CSBG policy and procedures for income eligibility.

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

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

The state accepts a signed self-declaration of income eligibility for these types of short term services.

12.3. Community-targeted Services:

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

The state requires demographic statistics which provide evidence that the targeted community is extremely distressed. Such as, but not limited to, blighted housing stock, crime and delinquency rates, dropout rates, persistent unemployment or under employment, or a high percentage of the population living below the Federal Poverty Income Guidelines.

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:08/31/2016
SECTION 13 Results Oriented Management and Accountability (ROMA) System	
13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> The Results Oriented Management and Accountability (ROMA) System	
<input type="checkbox"/> Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act	
<input type="checkbox"/> An alternative system for measuring performance and results.	
13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.	
13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]	
13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
The State Lead Agency requires reporting by all eligible entities on a quarterly basis regarding all of the National Performance Indicators (NPI). Departmental staff review eligible entity reporting and identify trends along with potential areas of concern. Trends and areas of concern inform technical assistance opportunities that the Department addresses either specifically with affected eligible entities, or statewide in coordination with the State Association (CAAP). The implementation of training or technical assistance is then reviewed and verified during annual monitoring of eligible entities.	
13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?	
<i>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</i>	
The State Lead Agency both sponsors and participates in ROMA and ROMA-NG trainings annually. Currently, two Departmental staff are engaged in ROMA Implementer training. Additionally, ROMA and ROMA principles are discussed, reviewed, and reinforced during collaborative training and technical assistance activities in coordination with the State Association. For example, ROMA was a topic during the 2017 CSBG Annual Symposium.	
13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
All eligible entity data including COPOS is reviewed at least annually prior to monitoring. Additionally, COPOS data is reviewed by the State Lead Agency on a recurring basis to examine trends and potential areas of concern. As part of the 2017 CSBG Annual Symposium, eligible entities were provided with a variety of reports and a session was devoted to helping agencies understand and use their data.	
Community Action Plans and Needs Assessments	
13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
Each eligible entity is required to submit to the Department a copy of its Community Needs Assessment that covers the most current year. The assessment must include a summary of the salient and relevant data that was used, along with a viable plan that outlines and details the entity's steps toward dealing with the identified issues.	
13.6. State Assurance: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
Each eligible entity is required to submit to the Department a copy of its Community Needs Assessment that covers the most current year. The assessment must include a summary of the salient and relevant data that was used, along with a viable plan that outlines and details the entity's steps toward dealing with the identified issues. The assessment is a standardized format that is conducted in collaboration with the Penn State Data Center and the State Association.	

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

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

All eligible entities must present a yearly work plan to the State Lead Agency that addresses all of the above requirements. During remote and on-site monitoring these goals and objectives are verified in order to ensure compliance with both Federal requirements and state contracting conditions.

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;

Any eligible entity that funds programs specifically aimed at underprivileged youth acknowledges and targets problems of juvenile delinquency and juvenile crime. Many of these programs are operated in conjunction with local school districts and juvenile justice officials. Several eligible entities operate after-school or child care programs in accordance with CSBG legislation. Across the Commonwealth, 19 eligible entities administer youth-targeted programs or services that seek to address counseling/abuse, student absenteeism, youth employment, tutoring, and other youth-specific initiatives.

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)

WIOA partnership mandates CSBG as a partner in the "one-stop" arrangement for workforce development strategies including employment and training activities. As a result of this requirement, CSBG will contribute a portion of discretionary funds to the Pennsylvania CareerLink system to support infrastructure costs, and eligible entities will partner with local Workforce Investment Boards to maintain a presence in CareerLink facilities. CareerLink services are available to all Pennsylvanians, and in partnership with TANF and welfare reform initiatives strive to provide specialized services to

low-income individuals and families for the purposes of poverty amelioration through self-sufficiency efforts. Eligible entities that operate the Work Ready program through the Pennsylvania Department of Human Services (DHS) are well-poised to coordinate agency efforts with overall State welfare reform efforts.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

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

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

To support and ensure eligible entities create and maintain a service delivery system that supports the overall CSBG purpose and specific goals, the State Lead Agency will conduct analysis of outcomes reported in COPOS that are subsequently reported to OCS via the Annual Report modules 1 through 4. Specifically, Module 3 will provide specific details for analysis related to initiatives and coordinated efforts that ensure effective service delivery. Eligible entities are asked to highlight partnerships and collaborations in both COPOS and in their work plans. Additionally, each eligible entity's needs assessment considers the potential duplication of services, and the state lead agency reviews needs assessment results every three (3) years. The State Lead Agency supports agencies engaged in innovative approaches by providing discretionary grants for community catalytic activities, assistance with performance standards, organizational structure assistance, holistic service navigation, and other forward-thinking solutions. Additionally, the State Lead Agency will continue to focus on organizational development to include succession planning and leadership development within eligible entities.

Eligible Entity Linkages - Approach to Filling Service Gaps

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

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 Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

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

The State Lead Agency fully supports the provision and coordination of Fatherhood and Parenting Services as eligible services provided with CSBG funds in areas that identify gaps in service delivery via the Community Needs Assessment.

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."

Several eligible entities within the state operate their own food banks, feeding programs, food cupboards, and congregate meal programs throughout the course of the year. As part of other agencies' information and referral programs, contacts are maintained with all food providers within the catchment area. For example, one eligible entity has demonstrated success in operating a food gleaning program whereby efforts are coordinated with local farms and volunteers.

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

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

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

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

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

Eligible Entity Tripartite Board Representation

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

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

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

Section 15: Federal Certifications

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

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

SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

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

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

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

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

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

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

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

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

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

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

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

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

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

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

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

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

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

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

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

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -

Lower Tier Covered Transactions

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

15.3. Debarment

After assurance select a check box:



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

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.