OMB Control No: 0970-0382
Expiration Date: XX/XX/XXXX

ADMINISTRATION FOR CHILDREN & FAMILIES
Office of Community Services

Community Services Block Grant (CSBG) State Plan

CSBG Cover Page (SF-424M)

Instructions

The CSBG State Plan is currently under review through the Office of Management and Budget (OMB) clearance per the requirements of the Paperwork Reduction Act of 1995. OCS created this fillable form as a tool for CSBG grantees as they plan for the administration of CSBG for Fiscal Year (FY) 2022. CSBG grantees can use this tool for planning purposes including, but not limited to: consultation with stakeholders, and meeting public and legislative hearing requirements (Section 676(a)(2)(B) and Section 676(a)(3) of the CSBG Act).

Once the CSBG State Plan receives clearance through OMB and the CSBG State Plan is available through GrantSolutions.gov, CSBG grantees may copy and paste their answers into the online form.

This form allows for the following types of responses:

☐ **Checkbox** – Select the box to choose an option.

Choose an item. **Dropdowns** – Select the box, and then click the down arrow that appears to select an available option.

Click or tap to enter a date. **Date Picker:** Select the box, and then click the down arrow that appears to select an available option.

Click or tap here to enter text. **Narrative Text Field (No Characters Limit)**. Click the box to start entering text.

Narrative Text Field (Character Limit). Start typing within the gray square to enter text. These fields only allow for a certain character limit as described in the **blue** instructive text.

Tables: Some tables allow you to add additional rows as needed. To add a row within this form: place your cursor within any column of the table, and then select the plus sign (+) at the end of the row.

Please note: There is no requirement for CSBG grantees to use this tool. This tool cannot be submitted in lieu of the CSBG State Plan within GrantSolutions.gov neither can this tool be attached within GrantSolutions.gov as the official submission.

SECTION 1: CSBG Administrative Information

1.1. Identify whether this is a one-year or a two-year plan. Choose an item.

1.1a. Provide the federal fiscal years this plan covers:

Year One	2022
Year Two	2023

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

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

Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan? ○ Yes × No No

If yes, select the fields that have changed. [Check all the apply]

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

1.2a. Lead agency State of Minnesota Department of Human Services

GUIDANCE: Please only provide the exact name of the CSBG state lead agency as designated within the designation letter and an acronym (as applicable).

EXAMPLE: Office of Community Services (OCS)

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

- ☐ Community Affairs Department
- ☐ Community Services Department
- ☐ Governor's Office
- ☐ Health Department
- ☐ Housing Department
- ☒ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe: [Narrative, 100 characters]

1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official State of Minnesota Department of Human Services, Office of Economic Opportunity

1.2d. **Authorized Official of the Lead Agency:** The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as the authorized representative on the SF-424M and the official recipient of the Notice of Award per Office of Grant Management requirements.

Name Tikki Brown

Title Director

1.2e. **Street Address** PO Box 64962

1.2f. **City** St. Paul

1.2g. **State** Minnesota

1.2h. **Zip Code** 55164-0962

1.2i. **Telephone Number** 651-431-3822

1.2j. **Fax Number**

1.2k. **Email Address** tikki.brown@state.mn.us

1.2l. **Lead Agency Website** www.hds.state.mn.us

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

1.3. **Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. [Attach a document.]

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

INSTRUCTIONAL NOTE: The letter should be from the chief executive officer of the state and include, at minimum, the designated state CSBG lead agency (office, department, or bureau) and title of the authorized official of the lead agency who is to administer the CSBG grant award.

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

Has information regarding the state point of contact changed since the last submission of the State Plan? × Yes ○ No Yes

If yes, select the fields that have changed.

☐ Agency Name	☒ Point of Contact	☐ Street Address	☐ City
☐ State	☐ Zip Code	☐ Office Number	☐ Fax Number
☒ Email Address	☐ Website		

1.4a. Agency Name: State of Minnesota Department of Human Services, Office of Economic Opportunity

1.4b. Point of Contact Name

Name Francie

Title Mathes

1.4c. Street Address

1.4d. City

1.4e. State Choose an item.

1.4f. Zip Code

1.4g. Telephone Number

1.4h. Fax Number

1.4i. Email Address francie.mathes@state.mn.us

1.4j. Agency Website

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

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

× Yes ○ No Yes

Has information regarding the state Community Action Association changed since the last submission of the State Plan? ○ Yes × No No

If yes, select the fields that have changed.

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

1.5a. Agency name

1.5b. Executive Director or Point of Contact

Name

Title

1.5c. Street Address

1.5d. City

1.5e. State Choose an item.

1.5f. Zip Code

1.5g. Telephone Number

1.5h. Fax Number

1.5i. Email Address

1.5j. State Association Website

1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead	○ Yes × No	No

SECTION 2: State Legislation and Regulation

2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ○ Yes ○ No Yes

2.2. **CSBG State Regulation:** State has regulations for CSBG. ○ Yes ○ No Yes

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

https://www.revisor.mn.gov/statutes/cite/256E.31

https://www.revisor.mn.gov/statutes/cite/256E.32

https://www.revisor.mn.gov/rules/9571/

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

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

2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

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

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

SECTION 3: State Plan Development and Statewide Goals

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

Our Mission: The Minnesota Department of Human Services (DHS), working with many others, helps people meet their basic needs so they can live in dignity and achieve their highest potential. The department's core values are the touchstones for our decisions. Our Core Values are: 1) We focus on people, not programs. 2) We provide ladders up and safety nets for the people we serve. 3) We work in partnership with others; we cannot do it alone. 4) We are accountable for results, first to the people we serve, and ultimately to all Minnesotans. We practice these shared values in an ethical environment where integrity, trustworthiness, responsibility, respect, diversity, justice, fairness and caring are of paramount importance.

DHS helps provide essential services to Minnesota's most vulnerable residents. Working with many others, including counties, tribes and nonprofits, DHS helps ensure that Minnesota seniors, people with disabilities, children and others meet their basic needs and have the opportunity to reach their full potential.

While the vast majority of human services in Minnesota are provided by our partners, DHS (at the direction of the governor and Legislature) sets policies and directs the payments for many of the services delivered. As the largest state agency, DHS administers about one-third of the state budget.

As a steward of a significant amount of public dollars, DHS takes very seriously our responsibility to provide Minnesotans with high value in terms of both the quality and cost of services.

Our largest financial responsibility is to provide health care coverage for low-income Minnesotans. We are also responsible for securing economic assistance for struggling families, providing food support, overseeing child protection and child welfare services, enforcing child support, and providing services for people with mental illness, chemical dependency, or physical or developmental disabilities.

Through our licensing services, we ensure that certain minimum standards of care are met in private and public settings for children and vulnerable adults. DHS also provides direct service through our regional offices for people who are deaf or hard of hearing; through DHS Direct Care and Treatment, which provides direct care to people with disabilities; and through the Minnesota Sex Offender Program.

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

The vision of the Minnesota Office of Economic Opportunity (OEO) is to eliminate the causes of poverty in Minnesota communities, and to assist

Minnesotans in breaking the cycle of poverty. To achieve this broad vision, OEO works towards the following goals: 1) To provide low-income

Minnesotans with the opportunity to achieve self-sufficiency and self-determination; 2) To develop and strengthen community-based organizations that represent the interests of low-income Minnesotans on the local level, and that plan, implement, and evaluate programs and activities responsive to their needs; 3) To support a wide range of programs and activities that have a measurable impact on the systemic causes of poverty in the community, or in those areas of the community where poverty is a particularly acute problem; 4) To develop and to support local programs that may expand the knowledge base of poverty problems and to test innovative solutions to those problems; and, 5) To promote a voice for low-income people in the planning, implementation and evaluation of services provided for them. OEO's specific goals for state administration of CSBG under this State Plan include the following: 1) Efficiently and effectively granting funds to eligible entities that in turn provide programs and activities which address locally determined needs; 2) Enhancing monitoring, training and technical assistance activities to support eligible entities in delivering high quality, effective programs and services that promote self-sufficiency and self-determination; 3) Promoting initiatives that promote equity and opportunity, and increase accessibility of services for underserved people and communities; 4) Increasing support for innovative programs and promising practices that improve participant outcomes and alleviate the conditions and effects of poverty; 5) Expanding opportunities for emerging leaders and leadership development in the Minnesota Community Action network; and, 6) Strengthening support of the Minnesota Community Action Partnership's strategic plan.

GUIDANCE: States should consider feedback from OCS, their eligible entities, and the ACSI survey completed by eligible entities when creating their State Plan goals.

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

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

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

3.3a. Analysis of state-level tools

- ☐ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☒ U.S. Census data
- ☒ State Performance Management Data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
- ☐ Tools Not Identified Above (specify)

3.3b. Analysis of local-level tools

- ☒ Eligible Entity Community Needs Assessments
- ☒ Eligible Entity Community Action Plans
- ☒ Public Hearings/Workshops
- ☐ Tools Not Identified Above (e.g., state required reports) [specify]

3.3c. Consultation with

- ☒ Eligible Entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☒ State Association
- ☐ National Association for State Community Services Programs (NASCSP)
- ☐ Community Action Partnership (NCAP)
- ☐ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ☐ Regional Performance Innovation Consortium (RPIC)
- ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
- ☐ Federal CSBG Office
- ☒ Organizations not identified above (specify)

  Partners and stakeholders involved in related antipoverty programs

3.4. Eligible Entity Involvement

3.4a. State Plan Development: 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.

OEO utilizes a variety of methods to involve eligible entities in developing and reviewing Minnesota's CSBG State Plan. Information and feedback is gathered from eligible entities through the biennial Community Action Plan submission and review process, training and technical assistance activities, frequent and regular communication through email and phone, and monitoring site visits. The OEO director and grants management staff participate in monthly Minnesota Community Action Partnership (state association) meetings with directors of CAAs. In these meetings, the overall development of the plan was addressed, and specific opportunities for feedback and comment were provided. Annual meetings with Tribal grantees provide an opportunity to gather specific feedback and insights from Minnesota's tribal grantees. In addition to the public hearing and official comment period for the State Plan, eligible entities have an opportunity to provide feedback and comment during a listening session August 13th 2019, at Noon. During this session, board members and staff of eligible

entities have the opportunity to learn about the State Plan and to provide feedback and comment.

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

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

The state did not make significant adjustments to its State Plan development procedures in comparison to previous years. The Minnesota State Office strives to continuously improve its engagement and participation of eligible entities and other stakeholders in this process.

3.5. **Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. **Year One** 80 **Year Two** 80
Instructional Note: The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

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

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

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

SECTION 4: CSBG Hearing Requirements

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

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

On July 12, 2021, OEO-DHS posted a notice in the Minnesota State Register communicating that a draft of the FFY 2022-2023 Minnesota CSBG State Plan was available for public inspection and comment. On August 13, 2021, OEO-DHS emailed a copy of the draft State Plan to all CSBG eligible entities and key stakeholders with an invitation for public inspection and comment.

4.2. Public Notice/Hearing: Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

On July 12, 2021, OEO-DHS posted a notice in the Minnesota State Register announcing the August 13, 2021 Public Hearing for the FFY2022-2023 Minnesota CSBG

State Plan to the public. On July 12, 2021, OEO-DHS notified all CSBG eligible entities and key stakeholders of the scheduled public hearing.

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

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

Date *[Select a Date]*	**Location** *[Provide the facility and city – Narrative 100 characters]*	**Type of Hearing** *[Select an option]*	**If a Combined Hearing was held confirmed that the public was invited.**
7/16/2021	Minnesota Community Action Training Tuesday	Public	☐
8/13/2021	Public Hearing	Public	☐

Date *[Select a Date]*	**Location** *[Provide the facility and city – Narrative 100 characters]*	**Type of Hearing** *[Select an option]*	**If a Combined Hearing was held confirmed that the public was invited.**
4/8/2021	Human Services Reform Finance and Policy committee	Legislative	☐

NOTE: ADD-A-ROW function *– States can add rows as needed for each hearing as needed. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row.*

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

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

https://minnesota.webex.com/webappng/sites/minnesota/meeting/info/4d5988ba69d34f9e989a29157cc89370?siteurl=minnesota&MTID=m8e71e07ab2e304330e18bb608707ec7f&meetingAuthToken=QUhTSwAAAAXUIC9zF0FTIpj%2BLM%2BMtC1thgHO1dg32H4V9JXQK7a2S705JvdcIwIo%2BsvD7HD%2Bd25UrXY%2Fi6oICmJbP38%2FPatCeNBXAZQ8gNpDT9NF9PjhYh9KdO%2F49wEwUn4XwMCGNl1jN0pLLKGpRgnmxMmKXVpVCEJcOfHiwPi6u9huxx82eCWcChpYeIrfbh9l%2F0y81UrReZME%2FrRKaw0n%2B%2FBwl5aOH9hLAvccDspQRCp46rYU6Q%3D%3D

https://www.senate.mn/schedule/hearing_minutes.html?hearing_id=16266&ls=92

https://www.senate.mn/schedule/committee/3096/20210408

https://www.senate.mn/committees/2021-2022/3096_Committee_on_Human_Services_Reform_Finance_and_Policy/4-8-21%20HSR%20Hearing%20Agenda.pdf

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

EXAMPLE NAMING CONVENTION: 4.4. Public and Legislative Hearings Agenda 062117

SECTION 5: CSBG Eligible Entities

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

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity [Choose all that apply]
Click or tap here to enter text.		Choose an item.	Choose an item.

NOTE: WITHIN OLDC, *you will not be able to add-a-row. Any additions/deletions to the Eligible Entity List should be made within the CSBG Eligible Entity List within OLDC prior to initializing a new CSBG State Plan within OLDC. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. Geographical Area Served allows for 550 characters.*

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

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

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

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

INSTRUCTIONAL NOTE: 90 percent funds are the funds a state provides to eligible entities to carry out the purposes of the CSBG Act. As described under Section 675C of the CSBG Act, a state must provide to the eligible entities "not less than 90 percent" of their CSBG allocation "made available to a state under Section 675A or 675B.

5.2. Total number of CSBG eligible entities: Click or tap here to enter text.
[Within OLDC, this will automatically update based on Table 5.1.]

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

One or more of the following changes were made to the eligible entity list: [Check all that apply]**.**

☒ Designation and/or Re-Designation
☐ De-Designations and/or Voluntary Relinquishments
☐ Mergers
☐ Changes to Eligible Entities List

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

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

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
Prairie Island Indian Community	Permanent Re-Designation	7/1/2020	Prairie Island Indian Community Reservation

NOTE: ADD-A-ROW FUNCTION *– states can add rows as needed within OLDC. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. Geographical Area Served allows for 550 characters.*

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

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

CSBG Eligible Entity	Reason
n/a	Choose an item.

***NOTE: ADD-A-ROW FUNCTION** – states can add rows as needed within OLDC. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row.*

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were individually listed in the prior State Plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
n/a	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

***NOTE: ADD-A-ROW FUNCTION** – states can add rows as needed within OLDC. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row.*

GUIDANCE: This question refers to the merger or other combinations of two or more existing CSBG eligible entities only.

Under 5.3c, please only include two or more **previously designated** eligible entities that have merged or combined in order to provide CSBG services.

SECTION 6: Organizational Standards for Eligible Entities

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

6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. [Select one]

☒ COE CSBG Organizational Standards
☐ Modified Version of COE CSBG Organizational Standards
☐ Alternative Set of organizational standards

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

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale. [Narrative, 2500 characters]

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

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

☒ There were no changes from the previous State Plan submission [If not selected, provide a narrative, 2500 characters]

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

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

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

☐ Regulation
☒ Policy
☐ Contracts with Eligible Entities
☐ Other, describe: [Narrative, 4000 characters]

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

☐ Peer-to-Peer Review (with validation by the state or state-authorized third party)
☐ Self-Assessment (with validation by the state or state-authorized third party)
☐ Self-Assessment/Peer Review with State Risk Analysis
☐ State-Authorized Third-Party Validation
☒ Regular On-Site CSBG monitoring
☒ Other

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

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

Minnesota's 24 eligible entities who are Community Action Agencies began implementing the CSBG Organizational Standards in 2015. The 11 eligible entities who are tribal government are exempt from organizational standards. OEO-DHS's expectation and goal is that all eligible entities will be making continuous progress towards compliance with all organizational standards, unless an exemption has been granted. The values underlying Minnesota's assessment process come from OEO-DHS's Guiding Principles for Partnership: Mutual Respect, Open Communication, Joint Problem Solving, Empowerment through Diversity, and abiding by an Ethical Code of Conduct. OEO-DHS has utilized the Community Action Partnership's Center of Excellence developed implementation guidance and tools for organizational standards. Moving forward, eligible entities will submit updated documentation including demonstration of progress towards or compliance with previously unmet organizational standards, as well as updated documentation for previously met standards. OEO-DHS will review this documentation in January through February of each year, and provide an updated analysis and summary to each eligible entity upon completion of this assessment. Training and technical assistance needs will be determined at this time, as well as during annual needs assessment processes. Additionally, OEO-

DHS conducts a full on-site monitoring visit at least once during the state's two year contract period. During these visits, standards that are unmet will also be addressed and training and technical assistance needs will be updated. On a rolling basis, OEO-DHS in cooperation with the state association will provide training and technical assistance to support the progress of all eligible entities in meeting all organizational standards.

6.4. **Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ○ Yes ○ No Yes

GUIDANCE: You will only need to respond to the following question if you responded "yes" to 6.4.

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards and provide a description and a justification for each exemption. Total Number of Exempt Entities: [Auto – calculated] ***Note: this form will not auto-calculate, please enter the number of exempt entities:*** Click or tap here to enter text.

CSBG Eligible Entity	Exemption Provided	Description/Justification
Bois Forte Reservation Tribal Council	Yes	Tribal Government
Fond du Lac Reservation Business Committee	Yes	Tribal Government
Grand Portage Reservation Tribal Council	Yes	Tribal Government
Leech Lake Band of Ojibwe	Yes	Tribal Government
Lower Sioux Indian Community	Yes	Tribal Government
Mille Lacs Band of Ojibwe	Yes	Tribal Government
Prairie Island Indian Community	Yes	Tribal Government
Red Lake Band of Chippewa Indians	Yes	Tribal Government

CSBG Eligible Entity	Exemption Provided	Description/Justification
Upper Sioux Community	Yes	Tribal Government
White Earth Reservation Tribal Council	Yes	Tribal Government

NOTE: ADD-A-ROW FUNCTION *– states can add rows for each additional exception. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. The Description/Justification allows for 2500 characters.*

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **Year One** 95 **%** **Year Two** 95 **%**

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

GUIDANCE: Prior to setting the target, states should review IM 138, review previous performance, and collaborate with the eligible entities and the state association to identify targets

SECTION 7: State Use of Funds

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

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

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

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

The available annual money will provide base funding to all community action agencies and the Indian reservations. Base funding amounts per agency are as follows: for agencies with low income populations up to 23,999, $50,000; and 24,000 or more, $100,000. All remaining money of the annual money available after the base funding has been determined must be allocated to each agency and reservation in proportion to the size of the poverty level population in the agency's service area compared to the size of the poverty level population in the state

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

○ Yes ○ No Yes

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

Planned CSBG 90 Percent Funds – Year One

CSBG Eligible Entity	Funding Amount ($)
Anoka County Community Action Program, Inc.	293994
Arrowhead Economic Opportunity Agency, Inc.	158147
Bi-County Community Action Program, Inc.	185854
Bois Forte Reservation Tribal Council	16569
Community Action Duluth	267986
Community Action Partnership of Hennepin County	1733888

CSBG Eligible Entity	Funding Amount ($)
Community Action Partnership of Ramsey and Washington Counties	1168457
Community Action Partnership of Scott, Carver and Dakota Counties	541911
Fond da Lac Reservation Tribal Council	24549
Grand Portage Reservation Tribal Council	13883
Inter-County Community Council	80466
KOOTASCA Community Action	117720
Lakes and Pines Community Action Council	282300
Lakes and Prairies Community Action Council	128939
Leech Lake Band of Ojibwe Tribal Council	55301
Lower Sioux Indian Community Tribal Council	13751
Mahub-Otwa Community Action Partnership	217511
Mille Lacs Band of Ojibwe Tribal Council	24944
Minnesota Valley Action Council	404115
Northwest Community Action	54629
Prairie Five Community Action Council	83179
Prairie Island Indian Community Reservation	13409
Red Lake Band of Chippewa Indians Tribal Council	35769
Semcac	322438
Southwestern Minnesota Opportunity Council	95439
Three Rivers Community Action	366651
Tri-County Action Program	438933
Tri-County Community Action Partnership	196165
Tri-Valley Opportunity Council	72552
United Community Action Partnership	286138
Upper Sioux Community Tribal Council	27713
West Central Minnesota Communities Action	99481
White Earth Reservation Tribal Council	56473
Wright County Community Action	105618
Total (Auto-calculated)	**$ 0.00**

NOTE: WITHIN OLDC, *the add-a-row function will not be available on this table and the first column is read-only. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. To auto-calculate, select the "$0.00", right-click, and then select "Update Field".*

Planned CSBG 90 Percent Funds – Year Two

CSBG Eligible Entity	Funding Amount ($)
Anoka County Community Action Program, Inc.	293994
Arrowhead Economic Opportunity Agency, Inc.	158147
Bi-County Community Action Program, Inc.	185854
Bois Forte Reservation Tribal Council	16569
Community Action Duluth	267986
Community Action Partnership of Hennepin County	1733888
Community Action Partnership of Ramsey and Washington Counties	1168457
Community Action Partnership of Scott, Carver and Dakota Counties	541911
Fond da Lac Reservation Tribal Council	24549
Grand Portage Reservation Tribal Council	13883
Inter-County Community Council	80466
KOOTASCA Community Action	117720
Lakes and Pines Community Action Council	282300
Lakes and Prairies Community Action Council	128939
Leech Lake Band of Ojibwe Tribal Council	55301
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Minnesota Valley Action Council	404115
Northwest Community Action	54629
Prairie Five Community Action Council	83179
Prairie Island Indian Community Reservation	13409
Red Lake Band of Chippewa Indians Tribal Council	35769
Semcac	322438
Southwestern Minnesota Opportunity Council	95439
Three Rivers Community Action	366651
Tri-County Action Program	438933
Tri-County Community Action Partnership	196165
Tri-Valley Opportunity Council	72552
United Community Action Partnership	286138
Upper Sioux Community Tribal Council	27713
West Central Minnesota Communities Action	99481

White Earth Reservation Tribal Council	56473
Wright County Community Action	105618
Total (Auto-calculated)	**$ 0.00**

NOTE: WITHIN OLDC, *the add-a-row function will not be available on this table and the first column is read-only. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. To auto-calculate, select the "$0.00", right-click, and then select "Update Field".*

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

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

Federal Award Letter Timeframe: The U.S. Department of Health and Human Services (HHS), Office of Community Services (OCS) notifies DHS of quarterly CSBG disbursement amounts, and in the last quarter of the current fiscal year, sends a final total fiscal year allocation amount. Distribution to Eligible Entities and Grant Period: DHS combines state Minnesota Community Action Grant and federal CSBG funding into a single 30 month contract that combines two years of state funding, and two years of federal funding. The contract is made available for a two-year period beginning July 1 of year 1, and ending December 31 of year 2. Funding is awarded to eligible entities and is distributed based on the formula stipulated in state legislation. Grant Contract Agreement: The process of distributing CSBG and related Minnesota Community Action Grant funds is done biennially.

OEO administers a Community Action Plan application process with eligible entities every two years. This application process begins during Minnesota's biennial budget state legislative session. Applications include a two-year Community Action Work Plan and Budget. Work plans and budgets are reviewed, pre-approved, and prepared for the grant contract agreement process. When Minnesota Community Action Grant funding levels are approved by the Minnesota Legislature and then certified by Minnesota Management and Budget, OEO issues grant contact agreements to eligible entities for CSBG and Minnesota Community Action Grant funds. Grant contract agreements are executed with eligible entities between June and August, in anticipation of the beginning of the federal fiscal year on October 1. Distribution of 90% of Funds to Eligible Entities: When OEO receives notice of a CSBG disbursement (quarterly and final fiscal year allocation amounts), OEO grants management staff implement the distribution formula to determine allocation amounts.

Eligible entities are notified of the availability of CSBG funding under their current grant contract agreement through a Notice of Funds Available (NFA). The first NFA typically distributes the total base funding allocated to eligible entities. Remaining NFAs distribute CSBG funding as it is disbursed through quarterly and final disbursements from OCS. Typically, eligible entities receive NFAs within 14 days of an OCS disbursement, but no later than 30 days of an OCS disbursement.

7.3a. Distribution Method: Select the option below that best describes the distribution method the state uses to issue CSBG funds to eligible entities:

☒ Reimbursement
☐ Advance
☐ Hybrid
☐ Other [Narrative, 4000 characters]

7.4. Distribution Timeframe: Does the state intend to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award?

○ **Yes** ○ **No** Yes

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

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

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

OEO-DHS evaluates grant contract administration procedures based on feedback from eligible entities collected varied means, including the biennial CSBG American Customer Satisfaction Index (ACSI) Survey, regular meetings with directors and staff of eligible entities, on-site monitoring visits, and other interaction with staff of eligible entities. As a result of this feedback, OEO-DHS revised and updated application materials for the two-year Community Action plan and budget, which are the basis for grant contract agreements. OEO-DHS also continues to advocate within DHS for improvements and increased efficiencies related to grant contract administration activities.

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

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

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

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

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

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

Year One 3 **Year Two** 3 **[Numeric response, 0.00 – 99.99]**

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

Year One 3 **Year Two** 3 **[Numeric response, 0.00 – 99.99]**

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

7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds as described in Section 675C(b) of the CSBG Act? ○ Yes ○ No Yes

GUIDANCE: "No" should only be selected if the percentages provided under 7.2. and 7.6. equal 100%.

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

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

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

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

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

Use of Remainder/Discretionary Funds – Year One

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	**Planned $**	**Brief Description of Services and/or Activities**
7.9a. Training/Technical Assistance to eligible entities	20%	These planned services/activities will be described in State Plan Item 8.1 [Read-Only]
7.9b. Coordination of state-operated programs and/or local programs	20%	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9c. Statewide coordination and communication amount eligible	40%	These planned services/activities will be described in State Plan Section 9,

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned $	Brief Description of Services and/or Activities
entities		State Linkages and Communication [Read-Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	Click or tap here to enter text.	
7.9e. Asset-building programs (Briefly describe under Column 4)	Click or tap here to enter text.	
7.9f. Innovation programs/activities by eligible entities or other neighborhood groups (Briefly describe under Column 4)	10%	Support for innovative programs and promising practices, including Community Action Agencies and Tribal Government Programs.
7.9g. State Charity tax credits (Briefly describe under Column 4)	Click or tap here to enter text.	
7.9h. Other activities (Specify these other activities under Column 4)	10%	Response to emergencies and natural disasters in local communities.
Totals (Auto-Calculated)	**$ 0.00**	

To auto-calculate, select the "$0.00", right-click, and then select "Update Field". Each description allows for 4000 characters.

Use of Remainder/Discretionary Funds – Year Two

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned $	Brief Description of Services and/or Activities
7.9a. Training/Technical Assistance to eligible entities	20%	These planned services/activities will be described in State Plan Item 8.1 [Read-Only]
7.9b. Coordination of state-operated programs and/or local programs	20%	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9c. Statewide coordination and communication amount eligible entities	40%	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	Click or tap here to enter text.	
7.9e. Asset-building programs (Briefly describe under Column 4)	Click or tap here to enter text.	
7.9f. Innovation programs/activities by eligible entities or other neighborhood groups (Briefly describe under Column 4)	10%	Support for innovative programs and promising practices, including Community Action Agencies and Tribal Government Programs.
7.9g. State Charity tax credits (Briefly describe under Column 4)	Click or tap here to enter text.	

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned $	Brief Description of Services and/or Activities
7.9h. Other activities (Specify these other activities under Column 4)	10%	Response to emergencies and natural disasters in local communities.
Totals (Auto-Calculated)	**$ 0.00**	

To auto-calculate, select the "$0.00", right-click, and then select "Update Field". Each description allows for 4000 characters.

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

7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state intends to work with (by grant or contract using remainder/discretionary funds) to carry out some or all the activities in Table 7.9.

☐ The State Directly Carries Out All Activities (No Partnerships)
☒ The State Partially Carries Out Some Activities
☒ CSBG Eligible Entities (if checked, include the expected number of CSBG eligible entities to receive funds) 5-10
☒ 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

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

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

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

OEO-DHS evaluated the use of discretionary funds under the State Plan based on feedback from eligible entities collected through the CSBG American Customer Satisfaction Index (ACSI) Survey, regular meetings with directors of eligible entities, on-site monitoring visits, and other interaction with staff of eligible entities. As a result of this feedback, OEO-DHS will continue support for innovative programs and promising practices that improve participant outcomes, and alleviate the conditions and effects of

poverty. OEO-DHS plans to enhance its support of activities in Tribal communities and reservations, as well as initiatives focused on equity and accessibility of services. OEO-DHS will also work towards increased understanding and transparency about the use of discretionary funds in Minnesota through enhanced communication efforts.

SECTION 8: State Training and Technical Assistance

8.1. Training and Technical Assistance Plan: Describe the state's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. The T/TA plan should include all planned CSBG-funded T/TA whether conducted directly by the state or through partnerships (as specified in 8.3). Add a row for each activity: indicate the timeframe; whether it is training, technical assistance, or both; and the topic.

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

Training and Technical Assistance – Year One

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Both	Governance/Tripartite Boards	
Ongoing/Multiple Quarters	Both	Organizational Standards - General	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Both	ROMA	
Ongoing/Multiple Quarters	Both	Community Assessment	
Ongoing/Multiple Quarters	Both	Strategic Planning	
Ongoing/Multiple Quarters	Both	Communication	
Ongoing/Multiple Quarters	Both	Technology	
Ongoing/Multiple Quarters	Both	Other	Diversity, Equity, Inclusion related topics

***NOTE: ADD-A-ROW FUNCTION** – States can add rows for each additional training. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. Brief Description of "Other" allows for 500 characters.*

Training and Technical Assistance – Year Two

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Both	Governance/Tripartite Boards	

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing/Multiple Quarters	Both	Organizational Standards - General	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Both	ROMA	
Ongoing/Multiple Quarters	Both	Community Assessment	
Ongoing/Multiple Quarters	Both	Strategic Planning	
Ongoing/Multiple Quarters	Both	Technology	
Ongoing/Multiple Quarters	Both	Communication	
Ongoing/Multiple Quarters	Both	Other	Diversity, Equity, Inclusion related topics

NOTE: ADD-A-ROW FUNCTION – *States can add rows for each additional training. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. Brief Description of "Other" allows for 500 characters.*

8.1a. Training and Technical Assistance Budget: The planned budget for all training and technical assistance:

Year One Click or tap here to enter text. **Year Two** Click or tap here to enter text.

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

OEO-DHS closely coordinates with MinnCAP (State Association) in conducting needs assessment, planning, development, and implementation of training and technical assistance. The directors of the CSBG State Office and the State Association meet monthly to share information. Program and operational staff in both organizations have close working relationships and collaborate on training and annual conference planning. Frequent and regular communication occurs through email and phone conversations. Annual planning and evaluation activities are coordinated in completing the joint training and TA plan and RPIC plans.

8.2. Organizational Standards Technical Assistance: Does the state have Technical Assistance Plans (TAPs) in place for all eligible entities with unmet organizational standards, if appropriate? ○ Yes ○ No No

Note: 8.2 is associated with State Accountability Measure 6Sb. The state should put a TAP in place to support eligible entities with one or more unmet organizational standards.

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

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

- ☐ All T/TA is conducted by the state
- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) Click or tap here to enter text.
- ☒ Other community-based organizations
- ☒ State Community Action Association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☒ Individual consultant(s)
- ☒ Tribes and Tribal Organizations
- ☐ Other

8.4. CSBG-Funded T/TA Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

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

OEO-DHS continues to plan and develop training and technical assistance activities based on feedback from eligible entities collected through the CSBG American Customer Satisfaction Index (ACSI) Survey, regular meetings with directors and staff of eligible entities, on-site monitoring visits, training and technical assistance needs assessment, and other interaction with staff of eligible entities. As a result of this feedback, OEO-DHS will target specific topics that have been identified by eligible entities as priority areas for training and technical assistance. OEO-DHS will continue to coordinate with the Minnesota Community Action Partnership (state association) to develop a joint training and technical assistance plan each year that maximizes the resources available to the state.

SECTION 9: State Linkages and Communication

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

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

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

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

9.2. State Linkages and Coordination at the Local Level: Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)).

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

Assurances described above are carried out through Minnesota Law and Rule, DHS's grant contract agreement, and OEO-DHS monitoring activities. The partnerships and linkages that eligible entities cultivate and maintain on the local level are central to well-coordinated and accessible services for low-income people and communities. OEO-DHS provides state level support whenever possible to strengthen these local partnerships. Eligible entities identify local linkages and partnerships in their biennial Community

Action plan, report on this activity in annual reporting, and review related activities with OEO-DHS staff during monitoring visits. Across Minnesota, eligible entities maintain nearly 10,000 local partnerships in areas, such as child care, child support, housing, early education programs, emergency food programs, Energy Assistance, Weatherization, faith-based antipoverty efforts, Family Service Collaboratives, Head Start, homeless programs, vocational rehabilitation programs, and workforce centers. Eligible Entities actively work with these partners to expand resources and opportunities in order to achieve individual, family and community outcomes and to ensure that resources are used appropriately and effectively.

Reference:

The Minnesota Community Action Act (M.S. 256E.30-32) can be found at:

https://www.revisor.leg.state.mn.us/statutes/?id=256E The Minnesota Rule (3350.0010 to 3350.0200) relating to CSBG eligible entities can be found at:

http://www.revisor.leg.state.mn.us/arule/3350/

9.3. Eligible Entity Linkages and Coordination

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

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

Assurances described above are carried out through Minnesota Law and Rule, DHS's grant contract agreement, and OEO-DHS monitoring activities. Eligible entities identify local linkages and partnerships in their biennial Community Action plan, report on this activity in annual reporting, and review related activities with OEO staff during monitoring visits. Programs operated by eligible entities, include Head Start, Older Americans Act programs, housing and homeless programs, emergency food and shelter programs, SNAP outreach and education, Low Income Home Energy Assistance program, Weatherization program, financial capability and asset building programs, self-sufficiency and family development programs, youth programs, transportation programs and more. Coordination among many types of local programs occurs in all communities and service areas. In rural areas of Minnesota, eligible entities who are Community Action Agencies, are often the key organization coordinating the effective delivery of and coordination of CSBG services to low-income people and families.

Reference:

The Minnesota Community Action Act (M.S. 256E.30-32) can be found at: https://www.revisor.leg.state.mn.us/statutes/?id=256E.

The Minnesota Rule (3350.0010 to 3350.0200) relating to CSBG eligible entities can be found at:

http://www.revisor.leg.state.mn.us/arule/3350/

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

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

Assurances described above are carried out through Minnesota Law and Rule, DHS's grant contract agreement, and OEO monitoring activities. Through formal Community Needs Assessments and ongoing engagement with community partners and other stakeholders, eligible entities identify gaps in the services they provide and develop solutions to addresses these gaps. Eligible entities convene and participate in a wide range of local and regional partnerships with other nonprofit, human services, education, health, and faith-based organizations. Examples of these partnerships include: County level social services collaboratives, where case managers across agencies collaborate to better serve shared families, referrals for households to receive services the eligible entity does not provide, and one-stop services, where multiple service providers collaborate to provide services to households at one convenient location. Staff at all levels of eligible entities participate in linkage development, including executive directors and program managers who may participate in community-wide coalitions, and front line staff, who develop and sustain linkages for families on a daily basis through case management and other direct service activities. Eligible entities increasingly use technology to identify gaps in services, to make referrals, track services, and to better serve participants. Eligible entities use a range of database systems to manage data internally and to make connections with peer agencies to track customer participation in services provided by other agencies.

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 No

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

9.4a. WIOA Combined Plan: If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through

statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

n/a

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

Coordination among key partners, including OEO-DHS, eligible entities, state employment and training programs, and human service program, is an essential element of the Governor's coordination strategy as well as a requirement of the Workforce Investment and Opportunity Act (WIOA). This strategy presents an opportunity to strengthen existing local coordination and to improve coordination between WorkForce Centers and eligible entities whenever possible. Several eligible entities are the designated employment services provider for their counties. Others connect struggling participants with the appropriate community or county resources to secure and retain employment. Some eligible entities work with the local Workforce Center to ensure that at-risk high school youth receive employment and training services, providing work experience at local schools, cities, nursing homes, and other training locations.

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 majority of eligible entities operate both the LIHEAP and Weatherization programs. In communities where this is not the case, eligible entities are monitored to verify that coordination occurs to maximize resources available in the community.

9.6. Faith-based Organizations, Charitable Groups, and 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

Assurances described above are carried out through Minnesota Law and Rule, DHS's grant contract agreement, and OEO monitoring activities. Eligible entities identify community partnerships in their biennial Community Action plan, report on this activity in annual reporting, and review related activities with OEO staff during monitoring visits. If OEO identifies that eligible entities are not fully engaging in developing and

maintaining local partnerships, including faith-based organizations, charitable groups, and other community organizations, appropriate steps would be taken to resolve the issue. Partnerships are also developed with educational institutions and school districts, financial and banking institutions, and health services institutions. Eligible entities describe how these partnerships help leverage limited resources to develop and implement targeted programs in their annual report.

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.

Assurances described above are carried out through Minnesota Law and Rule, DHS's grant contract agreement, and OEO-DHS monitoring activities. Eligible entities identify how CSBG is coordinated with other public and private resources in their biennial Community Action plan, report on this activity in annual reporting, and review related activities with OEO-DHS staff during monitoring visits. OEO-DHS assesses the number of additional funding sources eligible entities leverage, the dollar value of these funding sources, and the approaches to coordinating these sources to best serve local communities. OEO-DHS also assesses eligible entities funding diversity through their biennial Community Action plans as a part of risk assessment. OEO-DHS sends notices of funding opportunities directly to eligible entities and works with the Minnesota Community Action Partnership (MinnCAP) to help publicize funding opportunities. OEO-DHS and MinnCAP encourage grantees to attend conferences hosted by the Minnesota Council on Nonprofits, Minnesota Council on Foundations, National Community Action Partnership, and other organizations to learn about funding opportunities and to develop partnerships with funders and potential project collaborators. OEO-DHS assesses leveraged funds and collaborations by comparing year to year variances in reporting. Eligible Entities are resourceful and coordinate diverse funding streams to ensure programs exist and are robust enough to best serve their communities.

9.8. Coordination among Eligible Entities and State Community Action Association: Describe state activities for supporting coordination among the eligible entities and the State Community Action Association.

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

OEO-DHS has cultivated excellent working relationships with a broad range of organizations addressing antipoverty issues, including its key partnership with the Minnesota Community Action Partnership (MinnCAP), the state association. OEO-DHS supports coordination among eligible entities and MinnCAP by maintaining respectful relationships guided by OEO-DHS's Guiding Principles. The goal of this coordination is to

improve the quality and effectiveness of antipoverty services supported through CSBG, to address the cause and conditions of poverty, and to sustain and enhance the impact of Minnesota's Community Action network. OEO-DHS invests CSBG discretionary funding in activities that support the coordination of eligible entities and MinnCAP, as well as the delivery of training and technical assistance to eligible entities through MinnCAP. OEO-DHS supports and participates in network driven coordination and networking. OEO-DHS grants management staff work with MinnCAP staff to coordinate the annual Community Action conference, including identifying training topics, recruiting relevant speakers, presenting at the conference, and supporting logistics. Eligible entities coordinate work groups to share best practices around human resources, fiscal, programming, and information technology. OEO-DHS, eligible entities, and MinnCAP also work together to create publications including the annual Minnesota Community Action Report.

9.9. Communication with Eligible Entities and the State Community Action Association: In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

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

Communication Plan

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Email	
State Plan Development	Quarterly	Meetings/Presentations	
Organizational Standards Progress	Annually	Email	
State Accountability Measures Progress	Annually	Meetings/Presentations	
Community Needs Assessments/Community Action Plans	Biannual	Email	
State Monitoring Plans and Policies	Annually	Meetings/Presentations	
Training and Technical Assistance (T/TA) Plans	Not Applicable	Choose an item.	
ROMA and Performance Management	Quarterly	Meetings/Presentations	
State Interagency Coordination	Quarterly	Meetings/Presentations	
CSBG Legislative/Programmatic Updates	As needed	Email	
Tripartite Board Requirements	As needed	Meetings/Presentations	

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Resources, Training and Technical Assistance updates	As needed	Email	

Note: *ADD-A-ROW FUNCTION – States can add rows for each additional communication topic. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. Brief Description of "Other" allows for 250 characters.*

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

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

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

OEO-DHS will provide written feedback on the State Accountability Measures to eligible entities and MinnCAP (state association) within 60 calendar days of Minnesota receiving feedback from OCS. OEO-DHS will also present and discuss this information at mutually agreed upon in-person meeting with MinnCAP (state association) and directors of eligible entities.

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

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

OEO-DHS evaluated communication plan activities based on feedback from eligible entities collected through the CSBG American Customer Satisfaction Index (ACSI) Survey, regular meetings with directors of eligible entities, on-site monitoring visits, and other interaction with staff of eligible entities. As a result of this feedback, OEO-DHS will be increasing the frequency of written communication through email and handouts at eligible entity meetings. OEO-DHS also plans to increase the availability of training through webinars and other on-demand tools.

SECTION 10: Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

Monitoring Schedule – Year One

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Anoka County Community Action Program, Inc.	Full On-Site	Onsite	FY1 Q1	2/22/2021	2/22/2021	
Arrowhead Economic Opportunity Agency, Inc.	Full On-Site	Onsite	FY1 Q1	7/8/2020	7/8/2020	
Bi-County Community Action Program, Inc.	Full On-Site	Onsite	FY1 Q1	7/8/2020	7/8/2020	
Bois Forte Reservation Tribal Council	Full On-Site	Onsite	FY1 Q1	7/29/2020	7/29/2020	
Community Action Duluth	Full On-Site	Onsite	FY1 Q1	12/22/2019	12/22/2019	
Community Action Partnership of Hennepin County	Full On-Site	Onsite	FY1 Q1	4/2/2021	4/2/2021	
Community Action Partnership of Ramsey	Full On-Site	Onsite	FY1 Q1	7/11/2019	7/11/2019	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
and Washington Counties						
Community Action Partnership of Scott, Carver, and Dakota Counties	Full On-Site	Onsite	FY1 Q1	7/7/2020	7/7/2020	
Fond du Lac Reservation Tribal Council	Full On-Site	Onsite	FY1 Q1	4/29/2019	4/29/2019	
Grand Portage Reservation Tribal Council	Full On-Site	Onsite	FY1 Q1	10/30/2019	10/30/2019	
Inter-County Community Council	Full On-Site	Onsite	FY1 Q2	7/8/2020	7/8/2020	
KOOTASCA Community Action	Full On-Site	Onsite	FY1 Q2	7/15/2020	7/15/2020	
Lakes and Pines Community Action Partnership	Full On-Site	Onsite	FY1 Q2	7/15/2020	7/15/2020	
Lakes and Prairies Community Action Partnership	Full On-Site	Onsite	FY1 Q2	10/23/2019	10/23/2019	
Leech Lake Band of Ojibwe Tribal Council	Full On-Site	Onsite	FY1 Q2	7/16/2020	7/16/2020	
Lower Sioux Indian Community Tribal Council	Full On-Site	Onsite	FY1 Q2	5/15/2019	5/15/2019	
Mahube-Otwa	Full On-Site	Onsite	FY1 Q2	7/6/2020	7/6/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Community Action Partnership						
Mille Lacs Band of Ojibwe Indians Tribal Council	Full On-Site	Onsite	FY1 Q2	4/24/2019	4/24/2019	
Minnesota Valley Action Council	Full On-Site	Onsite	FY1 Q2	7/1/2020	7/1/2020	
Northwest Community Action	Full On-Site	Onsite	FY1 Q3	7/17/2020	7/17/2020	
Prairie Five Community Action Council	Full On-Site	Onsite	FY1 Q3	6/24/2019	6/24/2019	
Prairie Island Indian Community	Full On-Site	Onsite	FY1 Q3	Click or tap to enter a date.	Click or tap to enter a date.	
Red Lake Band of Chippewa Indians Tribal Council	Full On-Site	Onsite	FY1 Q3	3/7/2019	3/7/2019	
Semcac	Full On-Site	Onsite	FY1 Q3	7/8/2020	7/8/2020	
Southwestern Minnesota Opportunity Council	Full On-Site	Onsite	FY1 Q3	7/20/2020	7/20/2020	
Three Rivers Community Action	Full On-Site	Onsite	FY1 Q3	4/24/2019	4/24/2019	
Tri-County Action Program	Full On-Site	Onsite	FY1 Q4	7/22/2020	7/22/2020	
Tri-County Community Action Partnership	Full On-Site	Onsite	FY1 Q4	7/14/2020	7/14/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Tri-Valley Opportunity Council	Full On-Site	Onsite	FY1 Q4	7/7/2020	7/7/2020	
United Community Action Partnership	Full On-Site	Onsite	FY1 Q4	7/20/2020	7/20/2020	
Upper Sioux Community Tribal Council	Full On-Site	Onsite	FY1 Q4	5/16/2019	5/16/2019	
West Central Minnesota Communities Action	Full On-Site	Onsite	FY1 Q4	11/8/2019	11/8/2019	
White Earth Reservation Tribal Council	Full On-Site	Onsite	FY1 Q4	7/13/2020	7/13/2020	
Wright County Community Action	Full On-Site	Onsite	FY1 Q4	7/28/2020	7/28/2020	

NOTE: WITHIN OLDC, *the add-a-row function will not be available on this table and the first column is read-only. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. A Brief Description of Other allows for 500 characters.*

Monitoring Schedule – Year Two

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Anoka County Community Action Program, Inc.	Full On-Site	Onsite	FY2 Q1	2/22/2021	2/22/2021	
Arrowhead Economic Opportunity Agency, Inc.	Full On-Site	Onsite	FY2 Q1	7/8/2020	7/8/2020	
Bi-County Community Action Program, Inc.	Full On-Site	Onsite	FY2 Q1	7/8/2020	7/8/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Bois Forte Reservation Tribal Council	Full On-Site	Onsite	FY2 Q1	7/29/2020	7/29/2020	
Community Action Duluth	Full On-Site	Onsite	FY2 Q1	12/22/2019	12/22/2019	
Community Action Partnership of Hennepin County	Full On-Site	Onsite	FY2 Q1	4/2/2021	4/2/2021	
Community Action Partnership of Ramsey and Washington Counties	Full On-Site	Onsite	FY2 Q1	7/11/2019	7/11/2019	
Community Action Partnership of Scott, Carver, and Dakota Counties	Full On-Site	Onsite	FY2 Q1	7/7/2020	7/7/2020	
Fond du Lac Reservation Tribal Council	Full On-Site	Onsite	FY2 Q1	4/29/2019	4/29/2019	
Grand Portage Reservation Tribal Council	Full On-Site	Onsite	FY2 Q1	10/30/2019	10/30/2019	
Inter-County Community Council	Full On-Site	Onsite	FY2 Q2	7/8/2020	7/8/2020	
KOOTASCA Community Action	Full On-Site	Onsite	FY2 Q2	7/15/2020	7/15/2020	
Lakes and Pines Community Action Partnership	Full On-Site	Onsite	FY2 Q2	7/15/2020	7/15/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Lakes and Prairies Community Action Partnership	Full On-Site	Onsite	FY2 Q2	10/23/2019	10/23/2019	
Leech Lake Band of Ojibwe Tribal Council	Full On-Site	Onsite	FY2 Q2	7/16/2020	7/16/2020	
Lower Sioux Indian Community Tribal Council	Full On-Site	Onsite	FY2 Q2	5/15/2019	5/15/2019	
Mahube-Otwa Community Action Partnership	Full On-Site	Onsite	FY2 Q2	7/6/2020	7/6/2020	
Mille Lacs Band of Ojibwe Indians Tribal Council	Full On-Site	Onsite	FY2 Q2	4/24/2019	4/24/2019	
Minnesota Valley Action Council	Full On-Site	Onsite	FY2 Q3	7/1/2020	7/1/2020	
Northwest Community Action	Full On-Site	Onsite	FY2 Q3	7/17/2020	7/17/2020	
Prairie Five Community Action Council	Full On-Site	Onsite	FY2 Q3	6/24/2019	6/24/2019	
Prairie Island Indian Community	Full On-Site	Onsite	FY2 Q3	Click or tap to enter a date.	Click or tap to enter a date.	
Red Lake Band of Chippewa Indians Tribal Council	Full On-Site	Onsite	FY2 Q3	3/7/2019	3/7/2019	
Semcac	Full On-Site	Onsite	FY2 Q3	7/8/2020	7/8/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Southwestern Minnesota Opportunity Council	Full On-Site	Onsite	FY2 Q3	7/20/2020	7/20/2020	
Three Rivers Community Action	Full On-Site	Onsite	FY2 Q3	4/24/2019	4/24/2019	
Tri-County Action Program	Full On-Site	Onsite	FY2 Q4	7/22/2020	7/22/2020	
Tri-County Community Action Partnership	Full On-Site	Onsite	FY2 Q4	7/14/2020	7/14/2020	
Tri-Valley Opportunity Council	Full On-Site	Onsite	FY2 Q4	7/7/2020	7/7/2020	
United Community Action Partnership	Full On-Site	Onsite	FY2 Q4	7/20/2020	7/20/2020	
Upper Sioux Community Tribal Council	Full On-Site	Onsite	FY2 Q4	5/16/2019	5/16/2019	
West Central Minnesota Communities Action	Full On-Site	Onsite	FY2 Q4	11/8/2019	11/8/2019	
Click or tap here to enter text.	Full On-Site	Onsite	FY2 Q4	7/13/2020	7/13/2020	
Wright County Community Action	Full On-Site	Onsite	FY2 Q4	7/28/2020	7/28/2020	

NOTE: WITHIN OLDC, *the add-a-row function will not be available on this table and the first column is read-only. To add a row within this form: highlight the row and then select the plus sign (+) at the end of the row. A Brief Description of Other allows for 500 characters.*

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

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

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

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

Minnesota Statutes 16B.97 subd. 4(a)(1) provides that the Commissioner of Administration shall create general grants management policies and procedures that are applicable to all executive agencies. It is the policy of the State of Minnesota to conduct at least one monitoring visit before final payment is made on all state grants over $50,000 and to conduct at least annual monitoring visits on grants of over $250,000. Minnesota Department of Administration, Office of Grants Management Operating Policy and Procedure: Issue Date: 12/18/08, Revised: 08/31/11, Revised: 12/02/16 Number: 08-10 Policy on Grant Monitoring: https://mn.gov/admin/assets/grants_policy_08-10.pdf_tcm36-207117.pdf

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

60

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

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

10.4. Closing Findings: Are state procedures for addressing eligible entity findings/deficiencies and the documenting closure of findings included in the state monitoring policies attached under 10.2? ○ **Yes** ○ **No** Yes

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

10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable. 1

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

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

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

OEO-DHS follows OCS-HHS IM #116, and reports eligible entities on QIPs to the Office of Community Services within 30 calendar days of OEO-DHS approving a QIP. This communication will be completed through email correspondence.

10.7. Assurance on Funding Reduction or Termination: The state assures that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing

on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8) of the CSBG Act. ○ Yes ○ No Yes

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

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

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

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

Minnesota Administrative Rules 9571.0030:
https://www.revisor.leg.state.mn.us/rules/?id=9571.0030

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

n/a

10.9. Eligible Entity Termination: Does the state CSBG statute and/or regulations provide for termination of eligible entities? ○ Yes ○ No Yes

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

Minnesota Administrative Rules 9571.0060:
https://www.revisor.leg.state.mn.us/rules/?id=9571.0060

Minnesota Statutes 256E.30 Subd. 2:
https://www.revisor.leg.state.mn.us/statutes/?id=256E.31

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

n/a

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

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

Minnesota Administrative Rules 9571.0030:
https://www.revisor.leg.state.mn.us/rules/?id=9571.0030

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

n/a

GUIDANCE: Re-designation implies that an entity that is already designated/receiving funds is now performing the duties and receiving funds that were previously designated to another entity, in addition to the funding that they are already receiving. This is different from a merger as an entity is not absorbing another entity. This re-designation may be permanent **(requires a formula redistribution)** or temporary while the state has officially designated a new entity and has completed a formula redistribution. See CSBG Act 676A, *Designation and Redesignation…,* for more information.

Fiscal Controls and Audits and Cooperation Assurance

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

The SF-425 is submitted by the Department of Human Services Financial Operation's Division (FOD). Their internal processes ensure timely and accurate reporting of expenditures. Ongoing meetings between OEO-DHS and FOD occur to ensure appropriate use of funds and communication between areas.

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

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

OEO-DHS requires eligible entities to submit single audit reports within nine months of the completion of the report. This requirement is documented in the grant contract agreement with eligible entities. Given the range of grantee fiscal years and audit firm timelines these reports are submitted on an ongoing basis to OEO-DHS. OEO-DHS reviews audits as they are received and communicates any risk factors or findings internally among fiscal and grants management staff.

Quarterly, OEO-DHS will issue notification to grantees that the audit has been received and, if required, will request relevant follow up if the audit identified any risk factors or had findings.

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

○ **Yes** ○ **No** Yes

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

10.13a. Federal Investigations Policies: Are state procedures for permitting and cooperating with federal investigations included in the state monitoring policies attached under 10.2?

○ **Yes** ○ **No** Yes

10.13b. Closing Findings Procedures: If no, describe state procedures for permitting and cooperating with federal investigations.

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

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

OEO-DHS evaluated monitoring procedures based on feedback from eligible entities collected through the CSBG American Customer Satisfaction Index (ACSI) Survey, regular meetings with directors of eligible entities, on-site monitoring visits, , and other interaction with staff of eligible entities. As a result of this feedback, OEO-DHS plans to further analyze its monitoring procedures and to identify areas for improvement, including monitoring tools, policies, and protocols.

SECTION 11: Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG eligible entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act.

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

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

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

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

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

For eligible entities who are Community Action Agencies, the composition of a Community Action Agency board is defined in Minnesota State Law. This legislation is consistent with the board requirements set out in the federal CSBG Act. The board of a Community Action Agency is comprised of one-third elected public officials currently holding office or their representatives; one-third persons chosen in accordance with democratic selection procedures assuring that they represent the poor in the area served; and the remainder are officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the community. OEO-DHS policies and procedures to ensure this requirement, include the state law, the process for approving local entities work plans and budgets, and the monitoring activity conducted by OEO-DHS. OEO-DHS supports ongoing communication and training of tripartite boards. OEO-DHS partners with the Minnesota Community Action Partnership

(state association) to provide board training at the annual Minnesota Community Action conference.

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

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

Minnesota's 10 Tribal government eligible entities are governed by their tribal councils, and determine their specific processes to ensure participation of low income individuals in Community Action program development, planning, implementation and evaluation.

SECTION 12: Individual and Community Income Eligibility Requirements

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

☐ 125% of the HHS poverty line
☒ X % of the HHS poverty line (fill in the threshold): 200%
☐ Varies by eligible entity

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

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

Eligible entities are required to have local policies and procedures related to income eligibility when providing direct assistance.

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

Eligible entities verify income eligibility for services with limited intake procedures by using a combination of approaches. Where appropriate, eligible entities use proxy measures. For example for food distribution programs where it would be inappropriate to collect pay stubs, income tax history, etc. participants review a checklist of programs they might already be eligible for and/or participating in that have similar income guidelines. If a participant checks that they are receiving SNAP benefits or Social Security Disability, for example, they are likely also eligible to receive emergency food. Eligible entities are using their client management databases more extensively, and frequently eligible entities are able to follow up with clients who use multiple programs at different points in time to verify income.

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

Eligible entities conduct the community development area of their work in responses to needs identified by low-income participants and coalitions serving low-income participants in ongoing community needs assessments. Resulting programs include, but are not limited to housing, transit, health care, and economic development, and benefit and target low-income communities. The policies and procedures of these resources

and programs are written to target and enroll eligible households. Outreach and publicity is conducted with specific intention to connect low-income communities. Program organizers connect with organizations, staff, and community leaders who can facilitate this targeting. Program promotional materials identify that the resource is targeted to low-income participants.

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

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

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

☒ The Results Oriented Management and Accountability (ROMA) System
☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
☐ An alternative system for measuring performance and results

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

The biennial Minnesota Community Action Plan is structured around the ROMA cycle. Eligible entities present their plan for the upcoming two year funding period around each of the six core concepts of the ROMA cycle: Assessment, Planning, Implementation, Achievement of Results, and Evaluation. During onsite monitoring visits, OEO-DHS reviews implementation of the ROMA cycle. OEO-DHS monitoring interview tools address the assessment, planning and implementation steps of the cycle. OEO-DHS tests the grantee's reporting on achievement of results by sampling annual reporting. Staff of eligible entities demonstrate the steps taken to track program enrollment and outcome achievement.

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

n/a

13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. [Select one and provide a narrative, 4000 characters]

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

☒ CSBG National Performance Indicators (NPIs)
☐ NPIs and others
☐ Others

OEO-DHS uses a ROMA National Performance Indicators (NPI) Outcome-Based Work plan with all eligible entities, who are Community Action Agencies. Each eligible entity submits a two-year ROMA NPI Outcome Based Work plan as part of its grant agreement contract, indicating planned outcomes and services, as well as performance targets. NOTE: Based on OEO-DHS policy, Tribal Governments who are eligible entities

are exempted from ROMA requirements. OEO-DHS will also exempt these entities from required submission of the new CSBG Annual Report. Performance information is gathered from tribal eligible entities in an alternative format that is aligned with the small grant size and modest program scope of these entities.

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

Note: The activities described under Item 13.3 may include activities listed in "Section 8: Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

OEO-DHS provides ROMA training onsite to agency staff and Boards of Directors to increase grantee understanding of ROMA and to communicate OEO-DHS's expectations of how grantees will engage in the ROMA cycle and address the three national goals. OEO-DHS provides ROMA training at annual conferences and provides ongoing individualized training and technical assistance to eligible entities with staff turnover or to those needing to improve their use of the ROMA system. In preparation for submission of the Community Action Plan, OEO-DHS offers training on completing the plan (which is structured around ROMA) and, as a part of this training, presents an overview of how agencies can implement ROMA principles. The Annual Report published by MinnCAP in collaboration with OEO-DHS contains sections describing ROMA including: how the network uses ROMA to engage in continuous improvement, how ROMA and the three national goals provide a framework for delivering quality and necessary programs, and Minnesota's history of continuous improvement activities.

13.4. Eligible Entity Use of Data: Describe how the state intends to validate that the eligible entities are using data to improve service delivery.

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

OEO-DHS reviews how eligible entities are using data to improve service delivery through three main approaches. 1. Community Action Plan: Relevant questions from the Community Action Plan include the following: What systems does the agency use to track the achievement results of services/programs? Briefly describe the agency's annual evaluation and/or self-assessment process and how it includes staff, the Board, and program participants. How is this process and information about results used to improve, change, and/or enhance the agency service delivery and/or effectiveness? OEO-DHS reviews the plans and conducts any necessary follow up with eligible entities to clarify or expand on the stated approach, asking for examples where appropriate. OEO-DHS also reviews Community Needs Assessments and Strategic Plans. The documents identify how data has been collected and used through the community needs assessment and includes information about the levels of service provided and outcomes achieved to drive and define future service delivery. 2. Monitoring: As a part of the monitoring protocols OEO-DHS samples agency data collection processes comparing reported services provided and outcomes achieved to values generated onsite. During this sampling, OEO-DHS also requests examples of how the eligible entity

used this data to modify services and how any decisions to modify services were made. During onsite monitoring visits, OEO-DHS staff interview the agency leadership team, executive director, and if possible members of the board of directors. Monitoring tool include questions about how they use data to improve service delivery. If there is an opportunity for increased activity in this area, OEO-DHS will note that in the monitoring report and provide technical assistance to aid improvement. 3. Annual Report: Eligible entities report on the number of participants served and outcomes achieved. Eligible entities are required to provide explanations about significant variations from year to year, and from their projected outcome levels established in their Community Action Plan. OEO-DHS reviews these descriptions and determines if eligible entities are consistently learning from their targeting process and using previous year's data to plan for upcoming year's programming. If necessary, OEO-DHS provides training and technical assistance to grantees who experience challenges in targeting their data and reflecting critically on services provided.

Community Action Plans and Needs Assessments

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

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

Each eligible entity is required to submit a Community Action plan as a condition of funding. This work plan includes a copy of the agency's community assessment, the first step of the ROMA cycle, including a description of the process; the identification of prioritized needs as determined by that assessment process; a description of the service delivery system targeted to low-income individuals and families within the area; and, a coordination/linkages plan describing established working relationships with area service providers. Local agencies use a variety of methods for conducting needs community assessments, using demographic and service data from education, health, senior citizen services, social services, nutrition, housing, energy and transportation sources for geographic service areas. Many incorporate direct client input. Some eligible entities work together to conduct regional assessments. There is no standardized methodology used by eligible entities, but many grantees have taken advantage of the community assessment tools including Community Commons and resources available through the CSBG T/TA Clearinghouse. Gaps in the delivery of services are identified within the coordination plan and mechanisms are identified for developing appropriate linkages among area providers through information, referral, case management and follow up consultation. Eligible entities provide a description of how CSBG funding is coordinated with both public and private resources to address needs within each service area. As part of their plan, each eligible entity will also describe the unique local outcomes they will use to measure their success in promoting self-sufficiency, family stability and community revitalization using the Minnesota ROMA National Performance Indicator outcome-based work plan.

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

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

Eligible entities describe their community needs assessment process and include a copy in their CSBG Organizational Standards documentation. Eligible entities include a description of the process; the identification of prioritized needs as determined by that assessment process; a description of the service delivery system targeted to low-income individuals and families within the area; and, a coordination/linkages plan describing established working relationships with area service providers. Local agencies use a variety of methods for conducting needs community assessments, using demographic and service data from education, health, senior citizen services, social services, nutrition, housing, energy and transportation sources for geographic service areas. Many incorporate direct client input. Some eligible entities work together to conduct regional assessments. There is no standardized methodology used by eligible entities, but many have taken advantage of the community assessment tools including Community Commons and resources available through the CSBG Training and Technical Assistance Clearinghouse and U.S. Census.

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

14.1. Use of Funds Supporting Local Activities

CSBG Services

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

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

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

(ii) to secure and retain meaningful employment;

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

(iv) to make better use of available income;

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

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

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

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

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

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;

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)

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…"

Eligible Entity Service Delivery System

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

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 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).

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."

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 Section 9, State Linkages and Communication, specifically under 9.1 – 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 Section 9, 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 Section 10, Fiscal Controls and monitoring under 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 Section 10 Fiscal Controls and Monitoring under 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 Section 9 State Linkages and Communication, under 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 Section 11 Eligible Entity Tripartite Boards, under 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

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

Note: The state describes this assurance in Section 13 ROMA, under 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to

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

Note: The state describes this assurance in Section 13 ROMA under 13.1 – 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

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

SECTION 15: Federal Certifications

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

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.2. Drug-Free Workplace Requirements

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

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

(1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
(2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
(3) For grantees other than individuals, Alternate I applies.
(4) For grantees who are individuals, Alternate II applies.
(5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
(6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
(7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
(8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

(b) Establishing an ongoing drug-free awareness program to inform employees about - -
   (1) The dangers of drug abuse in the workplace;
   (2) The grantee's policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
   (1) Abide by the terms of the statement; and
   (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

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

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
   (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
   (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

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

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

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

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

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

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

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

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

15.4. Environmental Tobacco Smoke

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

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

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