

Model State Plan(CSBG)
CSBG Cover Page (SF-424M)

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

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

COVER PAGE

* 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	* 1.b. Frequency: <input checked="" type="radio"/> Annual <input type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION

* a. Legal Name: NEW JERSEY Department of Community Affairs			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1216000928B4		* c. Organizational DUNS: 806417143	
* d. Address:			
* Street 1:	NJ Dept of Community Affairs	* Street 2:	101 S. Broad Street
* City:	Trenton	* County:	Mercer
* State:	NJ	* Province:	
* Country:	United States	* Zip / Postal Code:	08625 - 0811

e. Organizational Unit:

Department Name: Community Affairs	Division Name: Housing and Community Resources
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Kathleen	Middle Name: Anne	* Last Name: Butler
Suffix:	Title: Acting Administrator	Organizational Affiliation:	
* Telephone Number: (609) 633-6265	Fax Number (609) 292-9798	* Email: kathleen.butler@dca.nj.gov	

*** 8a. TYPE OF APPLICANT:**
A: State Government

b. Additional Description:

*** 9. Name of Federal Agency:**

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant NJ	b. Program/Project:
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Attach an additional list of Program/Project Congressional Districts if needed.

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0

*** 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

a. This submission was made available to the State under the Executive Order 12372

Process for Review on :

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

* 17. Is The Applicant Delinquent On Any Federal Debt?

YES
 NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

****I Agree**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official

18c. Telephone (area code, number and extension)

18d. Email Address

18b. Signature of Authorized Certifying Official

18e. Date Report Submitted (Month, Day, Year)

Attach supporting documents as specified in agency instructions.

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 1

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

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency		NJ Department of Community Affairs	
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
<input type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input checked="" type="radio"/> Community Affairs Department			
<input type="radio"/> Other, describe			
1.1c. Division, bureau, or office of the CSBG authorized official		Housing and Community Resources	
1.1d. Authorized official of lead agency		Charles A. Richman, Commissioner	
1.1e. Street Address		101 South Broad Street	
1.1f. City		Trenton	1.1g. State NJ
			1.1h. Zip 8625
1.1i. Telephone number and extension (609) 292 - 6420 ext.		1.1j. Fax number: (609) 984 - 6696	
1.1k. Email address Charles.Richman@dca.nj.gov		1.1l. Lead agency website http://www.nj.gov/dca/divisions/dhcr/offices/community.html	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name		NJ Department of Community Affairs	
1.2b. Name of the point of contact		Kate Butler	
1.2c. Street address		101 South Broad Street	
1.2d. City		Trenton	1.2e. State NJ
			1.2f. Zip 8625
1.2g. Point of contact telephone number (609) 633 - 6265 ext.		1.2h. Fax number (609) 292 - 9798	
1.2i. Point of contact email address kathleen.butler@dca.nj.gov		1.2j. Point of contact agency website http://www.nj.gov/dca/divisions/dhcr/offices/community.html	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

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

2.4. State Authority:

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

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

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

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

Section 3: State Plan Development and Statewide Goals

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The New Jersey Department of Community Affairs (DCA) is a State agency created to provide administrative guidance, financial support and technical assistance to local governments, community development organizations, businesses and individuals to improve the quality of life in New Jersey.

3.2. State Plan Goals:

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

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

New Jersey's State Plan goals, as related to the administration of the CSBG program, include the following:

3.3. State Plan Development:

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

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



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



U.S. Census data



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



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



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

Additional information accessed in the State Plan development process included CSBG Organizational Standards, Agency Self-Assessments, and Eligible Entity Strategic Plans.

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



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



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe) Department of Labor, Department of Human Services and the Department of Health



National organizations (describe) NASCSP, CAPLAW, Association of Nationally Certified ROMA Trainers and The Regional Performance and Innovation Consortium (RPIC)



Federal Office of Community Services



Other (describe) New York State Community Action Association, African American Chamber of Commerce of NJ

3.4. Eligible Entity Involvement

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

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

NJDCA hosts a minimum of four meetings a year with the 25 Eligible Entities and CSBG staff, allowing time to network, share ideas, and provide updates on Federal and State initiatives, while facilitating collaboration between agencies. On December 15, 2014, the State met with Eligible Entities and detailed the information required of each agency to be included in the 2016 State Plan. As the Model State Plan document had not yet been released by OCS, NJDCA gathered information from the agencies by distributing copies of the new CSBG Organizational Standards, along with an Organizational Standards Self-Assessment form, background information on State Plans, and NJ's current State Plan. All agencies were asked to complete and submit the organizational standards self-assessment by March 13, 2015, and to provide the following information regarding their agencies and programs, so that local concerns and needs would be reflected in the final Plan: 1. FY16 Goals; 2. FY16 Objectives; 3. Description of each program/activity the Agency planned to offer in FY16; 4. Projected budget for FY16; 5. Projected characteristics/details for individuals/families the Agency expects to serve, including gender, age (youth/seniors, etc.), people with disabilities, race/ethnicity, family status, and levels of education; 6. Copy of Agency's Community Action Plan for FY16 based upon the needs assessment; and 7. Copy of the Agency's latest Strategic Plan. Each of the 25 NJ Eligible Entities provided the information requested above, and relevant portions have been incorporated into New Jersey's 2016 State Plan.

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

3.4b. Performance Management Adjustment:

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

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

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

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

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

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

Section 4: CSBG Hearing Requirements

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

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

The State of New Jersey solicited the maximum participation of all interested individuals and groups in the development of the 2016 CSBG State Plan, as required by the CSBG Act. In furtherance of this requirement, the proposed State Plan was posted on the NJ Department of Community Affairs website www.nj.gov.dca/ beginning on August 13, 2015. Additionally, a copy of the plan was mailed electronically to all NJ Eligible Entities, and the NJ Senate Community and Urban Affairs Committee Chair, Jeff Van Drew, with a request for comments. A paper copy of the proposed plan was also made available to interested parties upon request.

4.2. Public Notice/Hearing:

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

Notice of the public hearing on the proposed FY16 State Plan was placed in the following major newspapers in the State of NJ as follows: The Newark Star Ledger, August 6, 2015 through August 8, 2015 and August 10, 2015 through August 14, 2015; The New Brunswick Home News Tribune, August 6, 2015 through August 14, 2015 and The Press of Atlantic City, August 6, 2015 through August 14, 2015.

4.3. Public and Legislative Hearings:

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

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

	Date	Location	Type of Hearing [Select an option]
1	8/17/2015	Department of Community Affairs 101 S. Broad Street, Trenton, NJ 08625	Public

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

A public hearing regarding the proposed FFY2016 New Jersey CSBG State Plan was held on August 17, 2015 at the NJ Department of Community Affairs, 101 South Broad Street, Trenton, NJ 08625. In regard to the legislative hearing, it is noted that the budget of the New Jersey Department of Community Affairs, including the CSBG portion thereof, is presented every year to the Senate and Assembly Appropriations Committees as part of the review of the Governor's comprehensive annual budget recommendations. While questions/ issues regarding CSBG do not arise every year, the process for legislative input exists at each of the budget hearings. The NJ Office of Legislative Services (OLS) provides non-partisan assistance to the legislative budget committees during the annual review process, including obtaining additional information on issues that have arisen or are likely to arise during the budget hearings. In addition to the annual appearance of the DCA Commissioner before the Assembly and Senate Budget and Appropriations Committee, a copy of the proposed 2016 State Plan was sent to the relevant legislators with an invitation to respond with any suggestions or concerns. These Assembly and Senate Budget and Appropriations Committee hearings are open to the public and any CSBG constituents or interested parties can provide testimony to the legislators. New Jersey's comprehensive budget approval process, as well as the distribution of the proposed State Plan to legislators, presented ample opportunity for legislators to provide input on the State Plan and all other CSBG matters of concern.

Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

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

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

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Bayonne Economic Opportunity Foundation	Nonprofit	Community Action Agency (CAA)	City of Bayonne	
2	Affordable Housing Alliance	Nonprofit	Community Action Agency (CAA)	Monmouth County	
3	Burlington County Community Action Program	Nonprofit	Community Action Agency (CAA)	Burlington County	
4	Camden County Council on Economic Opportunity	Nonprofit	Community Action Agency (CAA)	Camden County	
5	Essex County	Public	Local Government Agency	Essex County	
6	Gateway	Nonprofit	Community Action Agency (CAA)	Salem, Gloucester and Cumberland Counties	
7	Greater Bergen Community Action	Nonprofit	Community Action Agency (CAA)	Bergen County	
8	HOPES	Nonprofit	Community Action Agency (CAA)	City of Hoboken	
9	Jersey City	Public	Local Government Agency	City of Jersey City	
10	Jewish Renaissance Foundation	Nonprofit	Community Action Agency (CAA)	Eastern Middlesex County	
11	Mercer County	Public	Local Government Agency	Mercer County	
12	North Hudson Community Action Corporation	Nonprofit	Community Action Agency (CAA)	Hudson County	
13	NORWESCAP	Nonprofit	Community Action Agency (CAA)	Warren, Sussex, Hunterdon and Morris Counties	
14	OCEAN	Nonprofit	Community Action Agency (CAA)	Ocean, Atlantic and Cape May Counties	
15	Passaic County	Public	Local Government Agency	Passaic County	
16	Paterson Task Force	Nonprofit	Community Action Agency (CAA)	City of Paterson	
17	Plainfield Action Services	Public	Local Government Agency	City of Plainfield	
18	PRAB	Nonprofit	Community Action Agency (CAA)	Western Middlesex County	
19	Somerset County Community Action Program	Nonprofit	Community Action Agency (CAA)	Somerset County	
20	Union County	Public	Local Government Agency	Union County	
21	United Community Corporation	Nonprofit	Community Action Agency (CAA)	City of Newark	
22	United Passaic Organization	Nonprofit	Community Action Agency (CAA)	City of Passaic	
23	United Progress	Nonprofit	Community Action Agency (CAA)	City of Trenton	
24	CATA	Nonprofit	Migrant or Seasonal Farmworker Organization	Statewide	
25	NJ Association on Correction	Nonprofit	Limited Purpose Agency	Statewide	

5.2 Total number of CSBG eligible entities 25

5.3 Changes to Eligible Entities List:

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

If yes, please briefly describe the changes.

New Eligible Entity, Affordable Housing Alliance, took over CSBG services in Monmouth County on a permanent basis. OCEAN provided interim services to Monmouth County prior to the selection of the Affordable Housing Alliance.

Section 6: Organizational Standards for Eligible Entities

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

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 OMB No: 0970-0382
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SECTION 6

Organizational Standards for Eligible Entities

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

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

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

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

The State will use an alternative set of organizational standards

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

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

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

Regulation

Policy

Contracts with eligible entities

Other, describe:

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

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

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

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.4a. Describe the assessment process.

Each Eligible Entity completed the appropriate version (public or private) of the State Assessment Tool developed by the Community Action Partnership and submitted same to the State CSBG office. When completed, the Tool indicates whether or not an agency has met, or not met, each of the IM 138 organizational standards, and provides additional information on the documentation utilized to determine compliance, as well as the progress to date and action steps to be taken on standards that have not yet been met by the agency. The State CSBG office reviewed each survey, compiled the results, and has determined what areas need to be addressed. Additionally, the Organizational Standards have been included as part of the Monitoring Tool utilized during the on-site monitoring of Eligible Entities by the State, so that the self-assessment results will be validated during the periodic monitoring process.

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

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

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

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

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

Section 7: State Use of Funds

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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 Community Services Block Grant (CSBG)

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SECTION 7
 State Use of Funds

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

7.1. Formula:

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

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

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? Yes No

7.2. Planned Allocation:

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

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

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Bayonne Economic Opportunity Foundation	\$156,226	0.00%	\$0	0.00%
2	Affordable Housing Alliance	\$823,206	0.00%	\$0	0.00%
3	Burlington County Community Action Program	\$457,465	0.00%	\$0	0.00%
4	Camden County Council on Economic Opportunity	\$1,203,347	0.00%	\$0	0.00%
5	Essex County	\$965,633	0.00%	\$0	0.00%
6	Gateway	\$958,670	0.00%	\$0	0.00%
7	Greater Bergen Community Action	\$1,029,070	0.00%	\$0	0.00%
8	HOPES	\$182,761	0.00%	\$0	0.00%
9	Jersey City	\$879,658	0.00%	\$0	0.00%
10	Jewish Renaissance Foundation	\$537,409	0.00%	\$0	0.00%
11	Mercer County	\$260,753	0.00%	\$0	0.00%
12	North Hudson Community Action Corporation	\$862,766	0.00%	\$0	0.00%
13	NORWESCAP	\$734,555	0.00%	\$0	0.00%
14	OCEAN	\$1,676,224	0.00%	\$0	0.00%
15	Passaic County	\$301,386	0.00%	\$0	0.00%
16	Paterson Task Force	\$703,132	0.00%	\$0	0.00%
17	Plainfield Action Services	\$197,080	0.00%	\$0	0.00%
18	PRAB	\$547,830	0.00%	\$0	0.00%
19	Somerset County Community Action Program	\$258,225	0.00%	\$0	0.00%
20	Union County	\$827,209	0.00%	\$0	0.00%
21	United Community Corporation	\$1,764,112	0.00%	\$0	0.00%
22	United Passaic Organization	\$336,588	0.00%	\$0	0.00%
23	United Progress	\$564,736	0.00%	\$0	0.00%
24	CATA	\$83,740	0.00%	\$0	0.00%
25	NJ Association on Correction	\$225,439	0.00%	\$0	0.00%
Total		\$16,537,220	0.00%	\$0	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to

take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

1. The New Jersey CSBG Program awards annual funding to Eligible Entities consistent with the authorized 24-month federal award period. DCA will distribute FY16 CSBG Requests for Proposals to all Eligible Entities in July 2015, with September 2015 due dates for submittal of applications (60 days); 2. All applications must be submitted by applicants on or prior to the due date via the Department of Community Affairs ASAGE (System for Administering Grants Electronically); 3. Application is initially reviewed and approved by the assigned CSBG Program Manager. If an application is defective, it is returned to the applicant for modification (15 days); 4. An Application approved by the Program Manager is thereupon reviewed and approved by the Supervisor, Office of Community Action (3 days); 5. Application moves to the Division of Community Resources for review and approval (5 days); 6. Application moves to Director, DCA Division of Housing and Community Resources for review and approval (2 days); 7. Application moves to DCA Commissioner for review and approval (2 days); 8. Grant announcements to Grantees and Legislators (3 days); 9. Upon notification from Federal OCS that CSBG funds have been distributed to NJ, the process to execute a Grant Agreement in SAGE with each eligible entity can begin, with production of the Grant Agreement by the CSBG Program Managers and the Contract Office of the DCA Division of Housing and Community Resources (5 days); 10. Agreement moves to the Supervisor, Office of Community Action for review and approval (1 day); 11. Agreement moves to the Division of Housing and Community Resources Division's Fiscal office for review and approval (2 days); 12. Agreement moves to Director, DCA Division of Housing and Community Resources for review and approval (2 days); 13. Agreement moves to Grantee for execution (2 days); 14. Grantee executed Agreement reviewed and approved by Fiscal Division (2 days); 15. Grantee executed Agreement moves to DCA Commissioner for review and execution (2 days); and 16. Funds may be advanced in an amount not to exceed 35% of the total projected grant amount, upon request of the grantee (3 days).

7.4. Distribution Timeframe:

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

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

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

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

7.5. Performance Management Adjustment:

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

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

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

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

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 19

7.8. How many State Full Time Equivalent (FTEs) will be funded with CSBG funds under this State Plan? 4

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

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

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

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

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

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

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
-----------------------------------	---------------------	--------------------	---------------------	--------------------	--

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

CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 25

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

None (the State will carry out activities directly)

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

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

7.11. Performance Management Adjustment:

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

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

Section 8: State Training and Technical Assistance

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

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SECTION 8
State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

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

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Reporting	
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Standards for eligible entities with unmet standards on TAPs and QIPs	
4	Ongoing / Multiple Quarters	Both	ROMA	
5	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
6	Ongoing / Multiple Quarters	Both	Other	Quarterly meetings with Eligible Entities

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$918,735

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

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

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

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

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

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

8.4. Performance Management Adjustment:

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

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

Section 9: State Linkages and Communication

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

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

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

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

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

State Low Income Home Energy Assistance Program (LIHEAP) office

State Weatherization office

State Temporary Assistance for Needy Families (TANF) office

State Head Start office

State public health office

State education department

State Workforce Innovation and Opportunity Act (WIOA) agency

State budget office

Supplemental Nutrition Assistance Program (SNAP)

State child welfare office

State housing office

Other

In addition to CSBG, many other programs that provide services to low-income people and communities are based within the NJ Department of Community Affairs, including LIHEAP, Weatherization, and various federal and state housing programs, including the Section 8 program. This proximity facilitates coordination and avoids duplication of services. Membership of CSBG staff on various state-wide boards, such as the New Jersey State Employment and Training Commission (SETC), the Traumatic Brain Injury Commission (NJ Department of Human Services), and the Hunger Prevention Advisory Commission, provide additional opportunities to network with counterparts in other state agencies and share information that assist in ensuring that services provided to CSBG-eligible participants are not duplicated by the various state departments and programs. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

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

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

The State encourages its Eligible Entities to coordinate their planning and service delivery not only with other Eligible Entities and nearby social service providers, but also with each county's Human Services Advisory Council (HSAC) planning process. Such coordination serves to ensure that local resources are used effectively to address the most pressing needs of low-income people. Priorities from previous years' HSAC assessments include, but are not limited to: education, job training, economic development, health care, child care---all of which address the causes of poverty. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

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

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

Each Eligible Entity is required to report annually on the linkages and partnerships established with other social service providers in rendering services to low-income people in their target area. All New Jersey Eligible Entities have established partnerships which are described in their annual applications for funding. *[Click paper clip to attach file]*

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

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

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

Each Eligible Entity is required to develop a Community Needs Assessment that includes a description of how the entity will identify and implement linkages to fill gaps in services through information, referrals, case management, and follow up. DCA further requires that Eligible Entities report annually in their application for funding, and also in their end of year data reporting, on the linkages and partnerships established with other social service providers in their target area. Pursuant to the New Jersey standard Grant Agreement for CSBG Non-Discretionary funds, Section D, item J-[t]he Recipient shall plan, coordinate and implement programs in a manner consistent with the Comprehensive Human Services Advisory Council Plan (HSAC) for serving the low-income population of their catchment area. New Jersey's 21, county-based, HSACs were created pursuant to N.J.A.C. 10:2, and each one is a county-based planning, advisory, and advocacy organization dedicated to meeting the human service

needs of the local community, and serve to coordinate and enhance the delivery of human services through collaborative relationships within the county, and among the counties and private and State agencies. In addition, all New Jersey Eligible Entities receive ROMA training. ROMA methodology directs Eligible Entities to identify potential partnership and collaboration opportunities within each community.

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

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

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

The Office of Community Action has reached out to the State Employment and Training Commission (SETC) and staff of the NJ Department of Labor concerning the inclusion of the 25 CSBG Community Action Agencies (CAA) within the upcoming WIOA combined State Plan, which is due to DHHS in March of 2016. The SETC staff will provide to DCA specific language on coordination of training activities with the CAAs.

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

N/A

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.

verify w Jose

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

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

Each Eligible Entity is required to report annually on the linkages and partnerships established with other social service providers, including faith-based organizations, charitable groups and community organizations in rendering services to low-income people in their target area. All New Jersey Eligible Entities have established partnerships which are described in their annual applications for funding. *[Click paper clip to attach file]*

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

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

One of the variables included in New Jersey's method of allocating CSBG funds to Eligible Entities relates to an entity's success during the most recent contract year in leveraging other public and private funds to further support and expand their CSBG program. Funds distributed based upon this variable are allocated only to agencies falling into the high or average performer categories, utilizing a system which reflects the agency's base funding level while assigning twice the weighting to high performers as to average performers. Agencies falling into the low performer category receive no funds under this component of the formula.

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.

For the past several years, Community Action Programs of New Jersey (CAPNJ) reported on its activities during the quarterly meetings hosted by NJDCA with Eligible Entities. As of Spring, 2015, and having recently been awarded a grant, the organization hired an Executive Director who will be convening regular meetings with its Eligible Entity membership. A 2014 discretionary grant with the African American Chamber of Commerce of New Jersey has also facilitated training, coordination and communication with the newly revitalized CAPNJ, and Eligible Entities.

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

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Quarterly meetings with Eligible Entities, CSBG State Staff and CAP NJ.	Quarterly	Meetings/Presentation	
2	CAP NJ - Monthly communications with CSBG State Staff in person or via email.	Monthly	Email	
3	Program Managers have contact with Eligible Entities via email, telephone or in person meeting.	Monthly	Email	
4	The CSBG website will be updated.	Semi-Annually	Website	

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

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

The State will provide feedback regarding performance on State Accountability Measures to Eligible Entities, as well as to CAPNJ, during the regular quarterly meeting hosted by CSBG staff with Eligible Entities and CAPNJ, as well as via email blasts.

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

9.11. Performance Management Adjustment:

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

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

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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SECTION 10
 Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Bayonne Economic Opportunity Foundation	Full onsite	FY2 Q4	06/11/2014	
2	Affordable Housing Alliance	Newly Designated	FY1 Q4		
3	Burlington County Community Action Program	Full onsite	FY1 Q4	09/05/2013	
4	Camden County Council on Economic Opportunity	Full onsite	FY2 Q4	09/07/2013	
5	Essex County	Full onsite	FY2 Q4	09/27/2012	
6	Gateway	Full onsite	FY1 Q4	09/18/2013	
7	Greater Bergen Community Action	Full onsite	FY2 Q4	08/14/2014	
8	HOPES	Full onsite	FY2 Q4	07/24/2014	
9	Jersey City	Full onsite	FY2 Q4	09/24/2012	
10	Jewish Renaissance Foundation	Full onsite	FY2 Q4	06/05/2014	
11	Mercer County	Full onsite	FY2 Q4	07/01/2014	
12	North Hudson Community Action Corporation	Full onsite	FY2 Q4	06/11/2014	
13	NORWESCAP	Full onsite	FY1 Q4	09/20/2013	
14	OCEAN	Full onsite	FY1 Q4	08/27/2013	
15	Passaic County	Full onsite	FY2 Q4	09/12/2012	
16	Paterson Task Force	Full onsite	FY2 Q4	08/30/2012	
17	Plainfield Action Services	Full onsite	FY1 Q4	09/05/2013	
18	PRAB	Full onsite	FY1 Q4	09/12/2013	
19	Somerset County Community Action Program	Full onsite	FY1 Q4	09/07/2013	
20	Union County	Full onsite	FY2 Q4	09/14/2012	
21	United Community Corporation	Full onsite	FY2 Q4	09/30/2012	
22	United Passaic Organization	Full onsite	FY2 Q4	09/21/2012	
23	United Progress	Full onsite	FY2 Q4	06/12/2014	
24	CATA	Full onsite	FY2 Q4	05/16/2014	
25	NJ Association on Correction	Full onsite	FY1 Q4	09/12/2013	

10.2. Monitoring Policies:

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

Attached find the NJ monitoring policy.

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

10.4. Closing Findings:

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

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

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

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

0

10.6. Reporting of QIPs:

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

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

Pursuant to 4Sa(iii) and the monitoring policy, the State will report Eligible Entities on Quality Improvement Plans (QIP) to OCS within 30 calendar days of the State approving the QIP.

10.7. Assurance on Funding Reduction or Termination:

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

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

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

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

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

N.J.S.A. 52:27D-402; see also Program Policy #14-02.

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

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

N.J.S.A. 52:27D-402. See also, Program Policy #15-04.

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

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

State procedures for the re-designation of existing eligible entities follows the processes proscribed for new Eligible Entity applicants.

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 State has detailed policies and procedures that enable it to fully comply with all federal reporting requirements. These include New Jersey Department of Community Affairs Administrative Procedure-- Federal Grant Reporting: Financial Status, Performance and Special Reporting Requirements. See also New Jersey Department of Treasury Circular Letter 05-02 OMB at <http://www.state.nj.us/infobank/circular/cir0502b.htm>

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 Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. [CLICK HERE FOR LINK TO 45 CFR Â§75.521](#)

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

The State has detailed policies and procedures concerning the issuing of management decisions for Eligible Entities' single audits. Specifically, with respect to single audit reports containing findings or disallowed costs requiring corrective actions by the Eligible Entity, a coordination of the receipt, review, and approval of the corrective action plan is performed in a timely manner between the cognizant division and the division(s) that funded the Eligible Entity. The cognizant division is charged with requesting the corrective action plan from the Eligible Entity and notifying all funding divisions of such request. Upon receipt of the corrective action plan, it is reviewed by the cognizant division and then forwarded to the funding division for its review and final approval. Once approved by the funding division, the audit is then accepted and the funding divisions are responsible for effectively monitoring the implementation of the corrective action plan. Among other things, sanctions may be imposed against Eligible Entities that do not comply with the audit requirements of their grant agreements, do not repay disallowed costs, or otherwise fail to respond to or fully satisfy corrective action plans resulting from findings or conditions identified during the review of their audit report. Moreover, in instances where the Eligible Entity demonstrates a continued inability or unwillingness to have an audit conducted in accordance with federal and state regulations and policies, the department may take appropriate action using sanctions permissible under statute, regulation or contract.

10.13. Assurance on Federal Investigations:

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

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

10.14. Performance Management Adjustment:

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

provide further detail.

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

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11 Eligible Entity Tripartite Board

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



Attend Board meetings



Review copies of Board meeting minutes



Keep a register of Board vacancies/composition



Other Eligible Entities must list their board members, with associated information relating to the sector represented by that member, in their annual CSBG Grant Application, and must further maintain a current listing in the Agency Information section of SAGE (System for Administering Grants Electronically). This information is confirmed by the DCA Program Manager each time the entity submits a payment request or a grant amendment or revision. Verification of Tripartite Board compliance is also part of the monitoring process.

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



Annually



Semiannually



Quarterly



Monthly



Other See response to 11.1 above. Additionally, Eligible Entities are required to provide copies of all board meeting minutes following approval of same. Entities must submit a copy of their current Bylaws with the annual CSBG Grant Application submission, and notify Program Managers of amendments thereto. The low-income member selection process is required to be contained either in the Bylaws, or in a separate document referred to in the Bylaws that is board approved.

11.3. Assurance on Eligible Entity Tripartite Board Representation:

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

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

Eligible Entities will be monitored to ensure that they have a policy and procedures by which individuals or organizations can petition for adequate representation on their Tripartite Board. Additionally, DCA CSBG Program Policy #15-06 requires Eligible Entities to have such a policy and procedures in place.

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

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

POLICY # 09-02 SUBJECT:Public Agencies Tripartite Boards Requirements POLICY SUMMARY: Public agencies must fulfill one of the three following criteria to meet the requirement for a tripartite board and one of these is the utilization of Human Service Advisory Councils as their tripartite board only when the following 3 conditions are met. 1.No fewer than one-third of the members shall be representatives of the low income individuals or families, must reside in the neighborhood represented and be democratically selected which means elected.. 2.Those same consumer members are democratically selected by either: a.Elected to serve on the Council b.Elected to serve on a neighborhood board and that board appoints an elected representative to serve on the Council. 3.The low income consumer fully participates in planning, implementation and evaluation of the CSBG program. 4.One third of the board members shall be elected public officials, holding office on the date of selection OR their representatives OR appointed, by the elected public officials. Whenever the tripartite board compliance requirement is not met the agency shall fill the vacant position within 90 days from when the seat was vacated. The legal requirements of the Community Services Block Grant Program reauthorization act in section 676B (b) Tripartite Boards allows another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of the program funded under this subtitle. Human Services Advisory Council (HSAC) organizational structure has State mandated functions that includes review & comment on Department's proposals; preparation of allocation, reduction, or reallocation plans; review or monitoring existing contracts & their relevance to county services priorities; review of relevant plans from other funding sources which impact on the target population; coordination, consolidation and integration of the local human services delivery systems; and the development & implementation of a county human services plan which recommends services & funding priorities.HSAC also conduct performance review of existing subcontracted services to determine provider compliance in terms of level of service attained, expenditures realized, county monitoring visit reports, agency corrective action report if applicable as well as mid-year ethnic/racial and municipal snapshot of those who received service.

Section 12: Individual and Community Eligibility Requirements

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

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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

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

[Check one item below.]

125% of the HHS poverty line

X% of the HHS poverty line (fill in the threshold) % *[Response Option: numeric field]*

Varies by eligible entity

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

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

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

For the first service provided to an individual wherein income verification is not possible or practical, such as food pantry requests, the State permits entities to verify eligibility using such documentation as is reasonably available. With any subsequent services provided to the client, the mandated verification procedures are to be applied.

12.3. Community-targeted Services:

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

Each Eligible Entity is required to submit a community action plan, which includes a needs assessment and census tract data, as part of the annual application process. Among other requirements, the entity must describe in the assessment how services and programs offered will target and benefit low-income communities within their catchment area.

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

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

Form Approved
OMB No: 0970-0382
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SECTION 13 Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

- 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. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

NJ Eligible Entities are provided with the following guidance on the ROMA philosophy and practice: 1. NJ ROMA Performance Indicators- Program Information Memorandum #04-101, available on the NJDCA web site; 2. CSBG application language - NJ's Eligible Entities are required to provide specific ROMA language, according to predetermined ROMA models available on the NJDCA web site; 3. CSBG Grant Agreement Section D, Assurances, provides the following guidance on ROMA practice: "That client service and program expenditure data supported in whole or in part by CSBG funds will be managed so that they can be reported to the State utilizing the CSBG Results Oriented Management and Accountability (ROMA) Outcome categories as delineated in Attachment A of this contract"; 4. Forty-four (44) ROMA programmatic models are available on the NJDCA web site at <http://www.nj.gov.dca.divisions/dhcr/offices/comact.html>, along with explanatory documents on ROMA goals and the National Performance Indicators, and 5. There are currently eight ROMA trainers in NJ, five of whom are nationally certified, and have, to date, provided ROMA training to more than 200 staff members of NJ Eligible Entities.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

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

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

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

Currently, the State has five certified ROMA trainers, with three more who have received training and are in the process of becoming certified. The State has been systematically training staff of all Eligible Entities and their sub-grantees in the ROMA system, and to date have trained over 200 Eligible Entity employees. Once all Eligible Entities have been trained, the State will put in place a training calendar providing quarterly state-wide trainings for retraining, and presentations to new staff.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

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

The State requires submission of quarterly reports that provide for an accounting of both fiscal expenditures and programmatic outcome measures. The outcome units for each program are based on one or more of the six ROMA-defined National Goals and the 16 National Indicators of the CSBG program. New Jersey has developed standardized Logic Models illustrating the six National Goals and 16 National Indicators. The State's Eligible Entities must utilize these logic models in their CSBG application and reporting. The Logic Models not only track outcomes for all contracted services and programs, but also the steps made towards these goals as benchmarks are accomplished. These models have been integrated directly into the Client Social Services Tracker (CSST), the database system used by New Jersey's CAA network. In order to ensure that Eligible Entities are using data to improve service delivery, each entity needs to project, as part of their annual application, the number of people they will serve. During the State's quarterly review of the data, the State CSBG office is able to determine if that entity is on track for serving the number of people indicated in the application. Each entity uses their logic models as a planning tool. The services they provide and the number of people who have reached their outcome become an outline for the next year's application. Each entity reviews the information they have garnered from the quarterly reports and use it to identify the upcoming year's services and project the number of people they will serve.

Community Action Plans and Needs Assessments

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

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

Each Eligible Entity must submit a Community Action Plan as part of the annual State CSBG application process.

13.6. State Assurance:

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

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

A Community Needs Assessment is required to be submitted as part of the annual CSBG application process. The Assessment must be updated at least every five years. Additionally, as part of the Grant Agreement executed with NJDCA, each Eligible Entity agrees to plan, coordinate and implement programs in a manner consistent with the Comprehensive Human Services Advisory Council Plan for serving the low-income population of their catchment area.

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

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

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the Eligible Entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each Eligible Entity. Additionally, all Eligible Entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

Needs of Youth

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

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the Eligible Entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each Eligible Entity. Additionally, all Eligible Entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

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)

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the Eligible Entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each Eligible Entity. Additionally, all Eligible Entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

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

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

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the eligible entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each eligible entity. Additionally, all eligible entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

Eligible Entity Linkages - Approach to Filling Service Gaps

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

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

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

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

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

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

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

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

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the Eligible Entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each Eligible Entity. Additionally, all Eligible Entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

The State will assure that CSBG funds will be used for the purposes outlined above via the Annual Application submitted by the Eligible Entities, which includes a Community Action Plan, and also the provisions and assurances contained in the Grant Agreement executed between NJDCA and each Eligible Entity. Additionally, all Eligible Entities will be monitored on a regular basis to ensure compliance with all CSBG assurances.

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

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

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with

and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

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

Eligible Entity Tripartite Board Representation

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

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

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

Section 15: Federal Certifications

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

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SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76,

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

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

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

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

** 9. Nothing contained in the foregoing shall be construed to require establishment of a**

system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart

9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

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

**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.

15.3. Debarment

After assurance select a check box:



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

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

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