COMMONWEALTH OF MASSACHUSETTS

Department of Housing & Community Development

Fiscal Years 2019 – 2020
Community Services Block Grant (CSBG)

Consolidated State Plan and Application

September 1, 2018

Submitted to:

Office of Community Services
U.S. Department of Health and Human Services

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Table of Contents

SECTION 1: CSBG Administrative Information 3
SECTION 2: State Legislation and Regulation 7
SECTION 3: State Plan Development and Statewide Goals 8
Section 4: CSBG Hearing Requirements 12
SECTION 4: CSBG Eligible Entities 14
SECTION 6: Organizational Standards for Eligible Entities 18
SECTION 7: State Use of Funds 21
SECTION 8: State Training and Technical Assistance 29
SECTION 9: State Linkages and Communication 33
SECTION 10: Monitoring, Corrective Action, and Fiscal Controls 39
SECTION 11: Eligible Entity Tripartite Board 45
SECTION 12: Individual and Community Income Eligibility Requirements 47
SECTION 13: Results Oriented Management and Accountability (ROMA) System 48
SECTION 14: CSBG Programmatic Assurances and Information Narrative 51
SECTION 15: Federal Certifications 58

DRAFT

SECTION 1: CSBG Administrative Information

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

1.1a. Provide the federal fiscal years this plan covers: Year One **[2019]** Year Two **[2020]**

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

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

Has information in regards to the state lead agency changed since the last submission of the state plan? ☒ Yes ☐ No

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

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

1.2a. Lead agency: Massachusetts Department of Housing and Community Development (DHCD)

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

EXAMPLE: Office of Community Services (OCS)

1.2b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

☐ Community Affairs Department
☐ Community Services Department
☐ Governor's Office
☐ Health Department
☐ Housing Department
☐ Human Services Department
☐ Social Services Department
☒ Other, describe: Executive Office of Housing and Economic Development

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

DRAFT

Executive Office of Housing and Economic Development, Department of Housing and Community Development (DHCD)

1.2d. Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M. **[Narrative, 50 Characters each]**

Name **[Janelle Chan]** Title **[Undersecretary]**

1.2e. Street Address: 100 Cambridge Street, Suite 300

1.2f. City: Boston

1.2g. State: MA

1.2h. Zip Code: 02114

1.2i. Work Telephone Number and Extension (if applicable): (617) 573 - 1100

1.2j. Fax Number: (617) 573 - 1120

1.2k. Email Address: Janelle.Chan@mass.gov

1.2l. Lead Agency Website: www.mass.gov/dhcd

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

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

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

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

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

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

If yes, provide the date of change and select the fields that have been updated **N/A**

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

DRAFT

☐ Website

1.4a. Agency Name: Massachusetts Department of Housing and Community Development

1.4b. Point of Contact Name:

Name **[Louis Martin]** Title **[Associate Director]**

1.4c. Street Address: Division of Community Services, 100 Cambridge Street, Suite 300

1.4d. City: Boston

1.4e. State: MA

1.4f. Zip Code: 02114

1.4g. Work Telephone Number: (617) 573 - 1402

1.4h. Fax Number: (617) 573 - 1460

1.4i. Email Address: louis.martin@mass.gov

1.4j. Agency Website: www.mass.gov/dhcd

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

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

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

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

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

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

1.5a. Agency name: Massachusetts Association for Community Action (MASSCAP)

1.5b. Executive Director or Point of Contact:

Name **[Joe Diamond]** Title **[Executive Director]**

1.5c. Street Address 105 Chauncy Street, Suite 301

DRAFT

1.5d. City: Boston

1.5e. State: MA

1.5f. Zip Code: 02111

1.5g. Telephone Number: (617) 357 - 6086

1.5h. Fax Number: (000) 000 - 0000

1.5i. Email Address: joediamond@masscap.org

1.5j. State Association Website: www.masscap.org

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

DRAFT

SECTION 2: State Legislation and Regulation

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

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

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

https://www.mass.gov/files/documents/2017/10/25/760cmr29.pdf

https://malegislature.gov/Laws/GeneralLaws/PartI/TitleII/Chapter23B/Section24

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

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

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

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

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

2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. ☒ Yes ☐ No

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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.

DHCD's mission is to strengthen cities, towns and neighborhoods to enhance the quality of life of Massachusetts residents. To accomplish this mission, DHCD will endeavor to provide leadership, professional assistance, and financial resources to promote safe, decent affordable housing opportunities, economic vitality of communities and sound municipal management. DHCD will forge partnerships with regional and local governments, public agencies, community-based organizations, and the business community to achieve common goals and objectives. In all of these efforts, DHCD will strive to recognize and respect the diverse needs, circumstances, and characteristics of individuals and communities. DHCD is responsible for a variety of programs and services that are administered through four divisions: (Division of Community Services, Division of Public Housing and Rental Assistance, Division of Housing Development and the Division of Housing Stabilization). DHCD also works in conjunction with the following commissions: the Commission on Indian Affairs, the Manufactured Homes Commission, and the Rural Policy Advisory Commission. In addition, the following quasi-public agencies work closely with DHCD in supporting housing and community development activities: Massachusetts Housing Finance Agency; the Massachusetts Community Economic Development Assistance Corporation, and the Massachusetts Housing Partnership.

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

The State's primary goals for State administration under this Plan are as follows:

1.) Provide training and technical assistance (T/TA), including investment in the MASSCAP (State Association) Training Center, to support the network's 23 Community Action Agencies in meeting all 58 organizational standards.

2.) Meet bi-monthly with the MASSCAP Executive Committee and bi-annually with Executive Directors to discuss matters impacting the network and improve lines of communication.

3.) Attend CSBG related trainings and conferences in order to stay informed on the most recent developments impacting our network. Trainings and conferences to include, at minimum, those coordinated by the Regional Performance and Innovation Consortium as well as NASCSP's Annual and Mid-Winter Training Conferences.

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

DRAFT

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

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

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

3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]

- ☒ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☒ U.S. Census data
- ☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
- ☒ Tools not identified above (specify) **[State T/TA Plan completed with MASSCAP]**

3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]

- ☒ Eligible entity community needs assessments
- ☒ Eligible entity community action plans
- ☒ Public Hearings/Workshops
- ☐ Tools not identified above (e.g., state required reports) [specify] **[Narrative, 500 characters]**

3.3c. Consultation with [Check all that applies and narrative where applicable]

- ☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☒ State Association
- ☒ National Association for State Community Services Programs (NASCSP)
- ☐ Community Action Partnership (The Partnership)
- ☐ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ☒ Regional Performance Innovation Consortium (RPIC)
- ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
- ☐ Federal CSBG Office
- ☐ Organizations not identified above (specify) **[Narrative, 500 characters]**

DRAFT

3.4. Eligible Entity Involvement

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

Prior to posting the draft plan, DHCD solicited and considered informal input from the CAA network through multiple means, including through ListServ notifications to the entire network and meetings with the state association (MASSCAP) and its Executive Committee members. DHCD also analyzes and considers a variety of CAA performance management data while developing the draft State Plan including: the CSBG Annual Report, responses to the ACSI Survey, and the network's Community Assessment Report & Strategic Plan and Community Action Plan documents. The draft plan is posted on DHCD's website, along with written notification of the public hearing date(s), time(s) and location(s). Testimony received at the hearing and any written comments received timely are considered before the plan is finalized and submitted to HHS for approval.

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

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

Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, DHCD made the following additional adjustments to the FY19-20 State Plan development process: 1.) Released a ListServ memo on February 1, 2018 outlining DHCD's overall State Plan development process, including anticipated timelines and opportunities for network feedback. 2.) Invited informal feedback directly to DHCD or through MASSCAP, prior to drafting the Plan. 3.) Began attending MASSCAP meetings biannually to allow all Executive Directors an additional opportunity to share feedback directly with DHCD.

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

3.5. Eligible Entity Overall Satisfaction: Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One **[68]** Year Two **[70]**

Instructional Note: The state's target score will indicate improvement or maintenance

DRAFT

of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

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

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

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

DRAFT

Section 4: CSBG Hearing Requirements

4.1. **Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act. **[Narrative, 2500 Characters]**

The draft plan was posted for public inspection beginning June 8, 2018 on DHCD's website.

GUIDANCE: Under this question, detail how the state provided the State Plan to the public, including providing sufficient time (ideally no fewer than 30 days) for the public to provide feedback prior to the public hearing. Distribution to the public should include distribution directly to the eligible entities in the state as well as any other interested parties.

4.2. **Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

DHCD provided opportunity for the public to review, and/or submit written comments on the Fiscal Years 2019 – 2020 CSBG State Plan. The draft CSBG State Plan was posted on DHCD's website for public inspection on June 8, 2018. Written notification was also provided to eligible entities and other appropriate entities announcing DHCD's intention to hold Public Hearings on the proposed Plan. The written notification, which was posted on DHCD's website, included the public hearing dates, times and locations. Public Hearings were convened July 10th, 2018 at DHCD, 100 Cambridge Street, 2nd Floor, Boston, MA as well as July 11th, 2018 at Holyoke Community College, 303 Homestead Avenue, Holyoke, MA. Testimony and written comments received timely were considered in the development of the final CSBG State Plan up until July 11th, 2018.

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

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

DRAFT

Date	Location	Type of Hearing	If a Combined Hearing was held confirm that the public was invited.
September 28, 2017	Joint Committee on Community Development and Small Businesses State House, Room A-1 Boston, MA	☐ Public ☒ Legislative ☐ Combined	☐
July 10, 2018	Department of Housing and Community Development, 100 Cambridge Street, Boston, MA	☒ Public ☐ Legislative ☐ Combined	☐
July 11, 2018	Holyoke Community College, 303 Homestead Avenue, Holyoke, MA	☒ Public ☐ Legislative ☐ Combined	☐

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

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

[See attached]

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

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

DRAFT

SECTION 4: CSBG Eligible Entities

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

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply) *Community Action Agency, Limited Purpose Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization*
Action for Boston Community Development, Inc. (ABCD)	Suffolk & Middlesex	Nonprofit	Community Action Agency (CAA)
Action, Inc. (ACTION)	Essex	Nonprofit	Community Action Agency (CAA)
Berkshire Community Action Council, Inc. (BCAC)	Berkshire	Nonprofit	Community Action Agency (CAA)
Cambridge Economic Opportunity Committee, Inc. (CEOC)	Middlesex	Nonprofit	Community Action Agency (CAA)
Citizens for Citizens, Inc. (CFC)	Bristol	Nonprofit	Community Action Agency (CAA)
Community Action Agency of Somerville, Inc. (CAAS)	Middlesex	Nonprofit	Community Action Agency (CAA)
Community Action Committee of Cape cod & Islands, Inc. (CACCI)	Barnstable & Dukes	Nonprofit	Community Action Agency (CAA)
Community Action, Inc. (CAI)	Essex	Nonprofit	Community Action Agency (CAA)
Community Action Pioneer Valley, Inc. (CAPV)	Franklin & Hampshire	Nonprofit	Community Action Agency (CAA)

DRAFT

Community Action Programs Inter-City, Inc. (CAPIC)	Suffolk	Nonprofit	Community Action Agency (CAA)
Community Teamwork, Inc. (CTI)	Middlesex	Nonprofit	Community Action Agency (CAA)
Greater Lawrence Community Action Council, Inc. (GLCAC)	Essex	Nonprofit	Community Action Agency (CAA)
Lynn Economic Opportunity, Inc. (LEO)	Essex	Nonprofit	Community Action Agency (CAA)
Montachusett Opportunity Council, Inc. (MOC)	Worcester	Nonprofit	Community Action Agency (CAA)
North Shore Community Action Programs, Inc. (NSCAP)	Essex	Nonprofit	Community Action Agency (CAA)
People Acting in Community Endeavors, Inc. (PACE)	Bristol & Barnstable	Nonprofit	Community Action Agency (CAA)
Quincy Community Action Programs, Inc. (QCAP)	Norfolk	Nonprofit	Community Action Agency (CAA)
Self-Help, Inc. (SHI)	Plymouth, Norfolk & Bristol	Nonprofit	Community Action Agency (CAA)
South Middlesex Opportunity Council, Inc. (SMOC)	Middlesex & Worcester	Nonprofit	Community Action Agency (CAA)
South Shore Community Action Council, Inc. (SSCAC)	Plymouth	Nonprofit	Community Action Agency (CAA)
Springfield Partners for Community Action, Inc. (SPCA)	Hampden	Nonprofit	Community Action Agency (CAA)
Valley Opportunity Council, Inc. (VOC)	Hampden	Nonprofit	Community Action Agency (CAA)

DRAFT

Worcester Community Action Council, Inc. (WCAC)	Worcester	Nonprofit	Community Action Agency (CAA)
THE ADD-A-ROW FUNCTION WILL NOT BE AVAILABLE ON THIS TABLE. ANY ADDITIONS/DELETIONS TO THE ELIGIBLE ENTITY LIST SHOULD BE MADE WITHIN THE MASTER LIST.			

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

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

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

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

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

5.2. Total number of CSBG eligible entities: **[23]** **[This will automatically update based on Table 5.1.]**

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

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

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

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

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

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

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

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan. **[N/A]**

GUIDANCE: In the case that an organization that was not previously a CSBG eligible entity, merges with a previously existing CSBG eligible entity, and is the surviving entity, the new entity should be listed under 5.3a. as a new designation, while the previously funded CSBG eligible entity should be included under 5.3b.

DRAFT

SECTION 6: Organizational Standards for Eligible Entities

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

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

☒ COE CSBG Organizational Standards
☐ Modified version of COE CSBG Organizational Standards
☐ Alternative set of organizational standards

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

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

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

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

☐ There were no changes from the previous State Plan submission **[Narrative, 2500 characters if not selected]** **[N/A]**

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

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

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

☒ Regulation
☒ Policy
☒ Contracts with eligible entities
☐ Other, describe: **[Narrative, 5000 characters]**

DRAFT

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

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

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

DHCD assesses and measures performance of 58 organizational standards for eligible entities annually based on the Center of Excellence (COE) CSBG Organizational Standards State Assessment Tool for Private CSBG Eligible Entities. Eligible entities are assessed against the standards either as part of their triennial on-site review, which occurs once each three year period in accordance with a planned calendar, or as part of an annual Organizational Standard assessment desk review. Agencies deemed at-risk, whether it's after a triennial on-site review or annual Organizational Standard assessment desk review, receive more frequent in-depth monitoring to ensure agency health is improving.

DHCD utilizes the *Electronic Government (E.-Gov.)* database for assessing agency performance. All eligible entities, whether they receive triennial monitoring or annual Organizational Standards monitoring, submit a self-assessment, supporting documentation and technical assistance plans (TAPs) to DHCD through E.-Gov. DHCD analyzes the submitted documentation and validates eligible entity self-assessment responses. Validation findings are later discussed with the agency and a written report is issued. For both annual desk level assessment reviews of Organizational Standards and full onsite triennial reviews, DHCD may collaborate efforts with a 3rd Party Vendor in order to assess the overall health of an eligible entity. Upon completion of the assessment process, eligible entities with TAPs to address provide DHCD updates on progress towards meeting those items.

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

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

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

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[N/A]**

6.5. **Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **[Insert a percentage]** **Year One [48%] Year Two [57%]**

DRAFT

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

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

DRAFT

SECTION 7: State Use of Funds

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

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

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

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

CSBG funds are allocated through a historical distribution formula that was developed with respect to service area poverty levels and other demographic variables.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? ☒ Yes ☐ No

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

Year One 90 % **Year Two** 90 %

Planned CSBG 90 Percent Funds – Year One	
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the first FFY covered by this plan
CSBG Eligible Entity	**Funding Amount $**
Action for Boston Community Development, Inc. (ABCD)	**6,522,261**
Action, Inc. (ACTION)	**292,605**
Berkshire Community Action Council, Inc. (BCAC)	**401,153**
Cambridge Economic Opportunity Committee, Inc.	**445,200**
Citizens for Citizens, Inc. (CFC)	**558,467**
Community Action Agency of Somerville, Inc. (CAAS)	**374,410**
Community Action Committee of Cape cod & Islands,	**364,969**
Community Action, Inc. (CAI)	**303,617**
Community Action Pioneer Valley, Inc. (CAPV)	**654,430**
Community Action Programs Inter-City, Inc. (CAPIC)	**320,922**
Community Teamwork, Inc. (CTI)	**525,431**
Greater Lawrence Community Action Council, Inc.	**353,956**

DRAFT

Lynn Economic Opportunity, Inc. (LEO)	**456,213**
Montachusett Opportunity Council, Inc. (MOC)	**404,298**
North Shore Community Action Programs, Inc. (NSCAP)	**347,663**
People Acting in Community Endeavors, Inc. (PACE)	**493,969**
Quincy Community Action Programs, Inc. (QCAP)	**289,459**
Self-Help, Inc. (SHI)	**470,369**
South Middlesex Opportunity Council, Inc. (SMOC)	**319,348**
South Shore Community Action Council, Inc. (SSCAC)	**289,459**
Springfield Partners for Community Action, Inc. (SPCA)	**534,869**
Valley Opportunity Council, Inc. (VOC)	**358,677**
Worcester Community Action Council, Inc. (WCAC)	**649,709**
Total	Auto-calculated

Planned CSBG 90 Percent Funds – Year Two	
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the second FFY covered by this plan
CSBG Eligible Entity	**Funding Amount $**
Action for Boston Community Development, Inc. (ABCD)	**6,522,261**
Action, Inc. (ACTION)	**292,605**
Berkshire Community Action Council, Inc. (BCAC)	**401,153**
Cambridge Economic Opportunity Committee, Inc.	**445,200**
Citizens for Citizens, Inc. (CFC)	**558,467**
Community Action Agency of Somerville, Inc. (CAAS)	**374,410**
Community Action Committee of Cape cod & Islands,	**364,969**
Community Action, Inc. (CAI)	**303,617**
Community Action Pioneer Valley, Inc. (CAPV)	**654,430**
Community Action Programs Inter-City, Inc. (CAPIC)	**320,922**
Community Teamwork, Inc. (CTI)	**525,431**
Greater Lawrence Community Action Council, Inc.	**353,956**
Lynn Economic Opportunity, Inc. (LEO)	**456,213**
Montachusett Opportunity Council, Inc. (MOC)	**404,298**
North Shore Community Action Programs, Inc. (NSCAP)	**347,663**
People Acting in Community Endeavors, Inc. (PACE)	**493,969**
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Self-Help, Inc. (SHI)	**470,369**
South Middlesex Opportunity Council, Inc. (SMOC)	**319,348**
South Shore Community Action Council, Inc. (SSCAC)	**289,459**
Springfield Partners for Community Action, Inc. (SPCA)	**534,869**
Valley Opportunity Council, Inc. (VOC)	**358,677**
Worcester Community Action Council, Inc. (WCAC)	**649,709**
Total	Auto-calculated

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

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7.3. **Distribution Process:** Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission). **[Narrative, 5000 characters]**

Process Overview:

DHCD shall award at least 90% of the CSBG funds allocated to the Commonwealth of Massachusetts to the 23 private, non-profit eligible entities based on a historical funding formula. After executing the standard contract for each eligible entity, Department advances 1/12th of the contracted amount to the eligible entity at the beginning of the month or, if on continuing resolution, the payment is based on availability of funds from the HHS. The Department reconciles the eligible entity expenditures with the advance payments on quarterly basis.

In the event the federal CSBG appropriation for FY 2019 is less than the amount received by the Commonwealth for FY 2018, DHCD shall allocate funding to eligible entities based on the distribution formula used for FY 2018, or in any other manner consistent with the requirements of the CSBG Act. The annual funding and contracting cycle will correspond directly to the timely availability of funds from HHS.

Carryover Funds:

Community Services Block Grant funds distributed as grants to eligible entities that are not expended may be carried over into the next fiscal year by the entity for program expenditures. Each year, DHCD tracks CSBG carry-over funds through three mechanisms:

1. During the CSBG Annual Application process, carry-over funds from the previous fiscal year(s) are identified in the CSBG budget.
2. Carry-over funds are then reprogrammed into the CSBG budget and reported accordingly by eligible entities.
3. Carry-over funds are also tracked by the agencies' final fiscal reports.

Any amount of carry-over (projected and/or actual) must be included in the annual eligible entity CSBG Community Action Plan and Budget as well as CSBG Quarterly Reports. Subsequent expenditures should reflect activity during the period of the current Federal FY CSBG award. DHCD updates contracts to reflect the requirement that actual expenditures, including carry-over, must be posted in accounting records according to that year's approved Community Action Plan and Budget.

DRAFT

During the course of routine monitoring (desk and on-site reviews), DHCD will make recommendations to each eligible entity regarding the percentage of CSBG carry-over funds shown on the agency's books and express concern where expenditures in a given fiscal year do not reflect the Community Action Plan and Budget for the federal fiscal year in which funds were awarded. Additionally, while a reasonable amount of carry-over may be necessary in some cases (e.g. - when final approval of the Federal budget is held up), DHCD emphasizes that timely expenditure of funds impacts funding decisions at the federal level. Finally, pursuant to the Department's Standard Contract with all eligible entities, if DHCD observes an eligible entity has a high percentage of funds carried over from one fiscal year beyond the succeeding fiscal year, DHCD may move to recapture and redistribute unobligated funds in excess of 20% of the current year's CSBG allocations, according to the procedures outlined in Section 675C (a)(3) of the Act.

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

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

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

7.5. Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail. **[Narrative, 5000 Characters]**

Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, under the FY19-20 State Plan DHCD will continue efforts begun during the FY17-18 to improve communication regarding our contracts.

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

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

7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative

activities for the FFY(s) covered by this State Plan. **[Numeric response, specify %]**

Year One [5%] **Year Two [5%]**

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

7.7. **State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan. **[Numeric response, 0.00 – 99.99]**

Year One [12] **Year Two [12]**

7.8. **State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan? **[Numeric response, 0.00 – 99.99]**

Year One [6] **Year Two [6]**

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

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

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

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

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

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

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

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

Use of Remainder/Discretionary Funds – Year One

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	**Planned $** *Enter planned $ for each item listed for the first FFY that this plan covers.*	**Brief Description of Services and/or Activities**
7.9a. Training/technical assistance to eligible entities	$100,000	MASSCAP Training Center
7.9b. Coordination of State-operated programs and/or local programs		N/A
7.9c. Statewide coordination and communication among eligible entities	$200,000	MASSCAP support for anti-poverty network efforts including facilitation of Communities of Practice, statewide data collection and reporting,
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		N/A
7.9e. Asset-building programs		N/A
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	$573,970	Innovative programs operated by CAAs and other CBOs that may also provide financial and technical assistance grants to support a variety of anti-poverty and economic development activities that are innovative and replicable, that reduce poverty, revitalize low-income communities and/or empower low-income families and individuals in rural and urban areas to become self-sufficient, or that respond to State-identified needs.
7.9g. State charity tax credits		N/A
7.9h. Other activities [Specify under Column 4]		N/A
Totals	**873,970**	

DRAFT

Use of Remainder/Discretionary Funds – Year Two (as applicable)		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	**Planned $** *Enter planned $ for each item listed for the first FFY that this plan covers.*	**Brief Description of Services and/or Activities**
7.9a. Training/technical assistance to eligible entities	$100,000	MASSCAP Training Center
7.9b. Coordination of State-operated programs and/or local programs		N/A
7.9c. Statewide coordination and communication among eligible entities	$200,000	MASSCAP support for anti-poverty network efforts including facilitation of Communities of Practice, statewide data
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		N/A
7.9e. Asset-building programs		N/A
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	$523,970	Innovative programs operated by CAAs and other CBOs that may also provide financial and technical assistance grants to support a variety
7.9g. State charity tax credits		N/A
7.9h. Other activities [Specify under Column 4]	$50,000	Contract services of a consultant during FY20 to collect and report state-wide data on poverty, specific to each city/town in the Commonwealth, in order to inform CAAs FY 21-23 community needs assessments.
Totals	**$873,970**	

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

7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

☐ The state directly carries out all activities (No Partnerships)
☐ The state does not have remainder/discretionary funds
☐ The state partially carries out some activities
☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[2]**
☒ Other community-based organizations

DRAFT

☒ State Community Action association
☐ Regional CSBG technical assistance provider(s)
☐ National technical assistance provider(s)
☐ Individual consultant(s)
☐ Tribes and Tribal Organizations
☐ Other **[Narrative, 2500 characters]**

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

7.11. Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 5000 Characters]**

Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, DHCD made the following additional adjustments to the plan for use of remainder/discretionary funds under the FY19-20 State Plan: 1) DHCD will continue its multi-year investment in MASSCAP through FY 2020 for a variety of efforts undertaken in support of the network and it's anti-poverty work. 2.) DHCD allocated funds to contract services of a consultant to collect and report state-wide data on poverty in order to inform each CAA's FY 21-23 Community Needs Assessment & Strategic Planning process.

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

DRAFT

SECTION 8: State Training and Technical Assistance

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

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

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

Training and Technical Assistance – Year One			
Planned Timeframe **Dropdown Options:** •FY1 Q1 •FY1 Q2 •FY1 Q3 •FY1 Q4 •Ongoing/Multiple Quarters •All quarters	**Training, Technical Assistance, or Both**	**Topic** **Dropdown Options:** •Fiscal •Governance/Tripartite Boards •Organizational Standards – General •Organizational Standards – for eligible entities with unmet TAPs or QIPs •Correcting Significant Deficiencies Among Eligible Entities • Reporting •ROMA •Community Assessment •Strategic Planning •Monitoring •Communication •Technology •Other	**Brief Description of "Other"**
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Training	Governance/Tri-Partite Boards	
Ongoing/Multiple Quarters	Both	Organizational Standards - for eligible entities with unmet standards on TAPs and QIPs	
Ongoing/Multiple Quarters	Both	Correcting Significant Deficiencies among Eligible Entities	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Training	ROMA	
Ongoing/Multiple Quarters	Both	Community Assessment	
Ongoing/Multiple Quarters	Both	Strategic Planning	
Ongoing/Multiple Quarters	Both	Technology	
Ongoing/Multiple Quarters	Both	Other	T/TA to address any priority needs identified in our FY19 T/TA Plan developed jointly with MASSCAP that fall outside the topics listed here.

Training and Technical Assistance – Year Two			
Planned Timeframe **Dropdown Options:** •FY1 Q1 •FY1 Q2 •FY1 Q3 •FY1 Q4 •Ongoing/Multiple Quarters •All quarters	**Training, Technical Assistance, or Both**	**Topic** **Dropdown Options:** •Fiscal •Governance/Tripartite Boards •Organizational Standards – General •Organizational Standards – for eligible entities with unmet TAPs or QIPs •Correcting Significant Deficiencies Among Eligible Entities • Reporting •ROMA •Community Assessment •Strategic Planning •Monitoring •Communication •Technology •Other	**Brief Description of "Other"**
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Training	Governance/Tri-Partite Boards	
Ongoing/Multiple Quarters	Both	Organizational Standards - for eligible entities with unmet standards on TAPs and QIPs	
Ongoing/Multiple Quarters	Both	Correcting Significant Deficiencies among Eligible Entities	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Training	ROMA	
Ongoing/Multiple Quarters	Both	Community Assessment	
Ongoing/Multiple Quarters	Both	Strategic Planning	
Ongoing/Multiple Quarters	Both	Technology	
Ongoing/Multiple Quarters	Both	Other	T/TA to address any priority needs identified in our FY20 T/TA Plan developed jointly with MASSCAP that fall outside the topics listed here.

DRAFT

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

Year One **[$350,000]** Year Two **[$350,000]**

[Prepopulated with the budget allocation for years one and two under 7.9a]

8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. **[Narrative, 2500 characters]**

DHCD will collaborate with MASSCAP and other stakeholders in the planning and delivery of training and technical assistance as detailed in the T/TA Plans submitted to the Region 1 Regional Performance and Innovation Consortium Lead and the Organizational Standards Center of Excellence each year.

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

Note: 8.2 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).

8.2a. **Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **[Narrative, 2500 characters]**

For eligible entities with unmet Organizational Standards, DHCD provides ongoing follow-up through Technical Assistance Plans (TAPs). DHCD's policies and procedures for addressing issues related to CSBG monitoring, including unmet Organizational Standards, are further summarized in a performance improvement and risk management matrix tool developed in collaboration with the MASSCAP Executive Committee.

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

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☐ Other community-based organizations
- ☒ State Community Action Association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☒ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 1000 characters]**

8.4. **Performance Management Adjustment:** Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public

DRAFT

hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, DHCD made the following additional adjustments to the training and technical assistance plan under the FY19-20 State Plan: 1) The Plan is based largely upon the priority needs identified in annual T/TA Plans developed jointly with MASSCAP and 2) DHCD staff regularly participate in joint training with CAA staff in order to gain a better understanding of both the CSBG Performance Management Framework and the workings of individual CAAs.

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

DRAFT

SECTION 9: State Linkages and Communication

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

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

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

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

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). **[Narrative, 5000 Characters]**

The Division of Community Services (DCS) is the conduit through which DHCD provides CSBG services to the low-income population of Massachusetts. Working in cooperation with the federal government, other state agencies, local and regional nonprofits, and the private sector, DCS is responsible for planning, implementing, and monitoring the delivery of federal and state anti-poverty efforts, activities, neighborhood economic development, homelessness prevention, fuel assistance, and weatherization programs across the Commonwealth. DCS is organized into four (4) components: the Community Services Unit (CSU), the Community Development Unit (CDU), the Office of Sustainable Communities (OSC) and the Energy Conservation Unit (ECU). DCS integrates the resources of the CDU,

DRAFT

CSU, OSC and the ECU to ensure increased access to CSBG services to low-income people and communities. DHCD supports new and innovative projects aimed at meeting the goals of DHCD, including self-sufficiency, educational outcomes, and combatting homelessness. DHCD accomplishes this through: 1. programs and funding that target populations of low to moderate-incomes and those with special needs; 2. coordinated, integrated and balanced agency responses to address the comprehensive needs and interests of communities; 3. programs and technical assistance designed to facilitate informed decision-making at the local level, and to encourage self-sufficiency of residents and communities; and 4. sound business practices that ensure the highest standards of public accountability and responsibility.

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

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination: Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). **[Narrative, 5000 Characters]**

The State's CSBG Contract requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan. CARSPs include descriptions of how 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.

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

9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[Narrative, 5000 Characters]**

The State's CSBG Contract requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan. CARSPS include descriptions of how eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.

DRAFT

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

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?
☐ Yes ☒ No
Note: This response will link to the corresponding CSBG assurance, Item 14.5.

9.4a. WIOA Combined Plan: If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. **[Narrative, 5000 Characters]**

9.4b. Employment and Training Activities: If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. **[Narrative, 5000 Characters]**

4

Massachusetts CSBG eligible entities coordinate efforts and link resources with employment related community partners including, but not limited to, businesses, colleges, Workforce Investment Boards, youth organizations, and one-stop career centers, to meet the immediate and long-term training and employment needs of low-income families. Through direct services (i.e. youth and adult employment, Adult Basic Education, job training, job readiness, career coaching, career preparation, financial capability integration), informal agreements, service referrals and contractual relationships, employment training program participants benefit from shared resources to access crucial occupation specific and general employment and job training opportunities. The effectiveness of employment training efforts and the retention of employment are supported by a variety of "wrap around" services offered at eligible entities including but not limited to fuel assistance, child care, Head Start, and other supports.

9.5. Emergency Energy Crisis Intervention: Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). **[Narrative, 5000 Characters]**

DRAFT

DHCD is the designated lead agency responsible for administering both LIHEAP and CSBG. Of the 23 eligible entities, 18 also administer LIHEAP across all 351 communities within the Commonwealth.

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

9.6. Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 5000 characters]**

The State will assure eligible entities coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, through our annual CSBG contract which requires eligible entities submit a Community Action Plan based upon a community assessment report and strategic plan. The State will also monitor eligible entities on a regular basis to ensure compliance with this assurance.

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

9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[Narrative, 5000 Characters]**

The State's CSBG Contract requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan. CARSPS include descriptions of how eligible entities will coordinate CSBG funds with other public and private resources.

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

9.8. Coordination among Eligible Entities and State Community Action Association: Describe state activities for supporting coordination among the eligible entities and the State Community Action Association. **[Narrative, 5000 Characters]**

Throughout the year DHCD hosts in-person meetings, holds webinars, conducts conference calls, and sends listserv communications to support coordination among the eligible entities and the state association. Additionally, DHCD meets with the state association (MASSCAP) periodically to discuss matters impacting the network.

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

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

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

Communication Plan			
Subject Matter	**Expected Frequency** **Dropdown Options:** •Daily •Weekly •Twice-Monthly •Monthly •Quarterly •Semi-Annually •Annually •Biannual •Triennial •As needed •Upon Request • Not Applicable	**Format** **Select All That Apply:** •Newsletters •Mailing •Meetings/Presentations •Blog •Email •Website •Social Media •Webinar •1:1 •Phone Calls •Public Notice •Letters/Hard Copies •Other	**Brief Description of "Other"** **[Narrative, 250 characters]**
Upcoming Public and/or Legislative Hearings	Biannual	Website Public Notice	
State Plan Development	Biannual	Email Website Public Notice	
Organizational Standards Progress	Annually	Email Meetings/Presentations	
State Accountability Measures Progress	Annually	Email Meetings/Presentations	
Community Needs Assessments/Community Action Plans	Semi-Annually	Meetings/Presentations Email Website Webinar 1:1 Phone Calls Other	Communications through E.Gov reporting system
State Monitoring Plans and Policies	As needed	Email Meetings/Presentations	
Training and Technical Assistance (T/TA) Plans	As needed	Email 1:1 Phone Calls Other	Communications through E.Gov reporting system
ROMA and Performance Management	Semi-Annually	Email 1:1 Phone Calls Other	Communications through E.Gov reporting system
State Interagency Coordination	As needed	Meetings/Presentations Email	

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CSBG Legislative/Programmatic Updates	Upon Request	Meetings/Presentations Email Phone Calls	
Tripartite Board Requirements	As needed	Meetings/Presentations Email Phone Calls 1:1 Other	Communications through E.Gov reporting system
ADD A ROW function Note: Rows will be able to be added for each additional training			

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. **[Narrative, 5000 Characters]**

Within 60 days of notification from the Office of Community Services regarding feedback from the Massachusetts eligible entities and MASSCAP, the State will issue a report to the local eligible entities and State Association, and will follow up with the eligible entities and State Association through communication about the feedback.

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

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

9.11. Performance Management Adjustment: Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 5000 Characters]**

Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, DHCD worked with the Department's Economic Prosperity Programs Manager to receive notifications on funding opportunities and prospects for collaboration to share with the CAA network. DHCD intends to continue these efforts under the FY19-20 State Plan.

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

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SECTION 10: Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

GUIDANCE: Monitoring that is specific to organizational standards should be referenced within

Section 6, Item 6.3a.

Monitoring Schedule – Year One						
CSBG Eligible Entity	**Monitoring Type**	**Review Type**	**Target Quarter**	**Start Date of Last**	**End Date of Last Full**	**Brief Description of "Other"**
This column will auto- populate from the CSBG Eligible Entity Master List	**[Dropdown Options:** • Full On- Site • Newly Designated • Follow-up • Other • No Review**]**	**[Dropdown Options:** • Onsite Review • Desk Review**]**	**[Dropdown Options:** • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4**]**	**Select a Date**	**Select a Date**	If "Other" is selected in Column 2, describe in this column **[Narrative, 500 characters]**
Action for Boston Community Development, Inc. (ABCD)	Full On- Site	Onsite	FY1 Q1	December 19, 2016	December 19, 2016	
Cambridge Economic Opportunity Committee, Inc. (CEOC)	Full On- Site	Review	FY1 Q2	January 28, 2016	January 28, 2016	
Citizens for Citizens, Inc. (CFC)	Full On- Site	Onsite	FY1 Q3	June 2, 2016	June 2, 2016	
Community Action Agency of Somerville, Inc. (CAAS)	Full On- Site	Review	FY1 Q3	April 13, 2017	April 13, 2017	

DRAFT

Community Action, Inc. (CAI)	Full On- Site	Onsite	FY1 Q3	May 5, 2016	May 5, 2016	
Community Action Pioneer Valley, Inc. (CAPV)	Full On- Site	Review	FY1 Q3	May 17, 2017	May 17, 2017	
Community Teamwork, Inc. (CTI)	Full On- Site	Onsite	FY1 Q3	April 7, 2016	April 7, 2016	
Montachusett Opportunity Council, Inc. (MOC)	Full On- Site	Review	FY1 Q3	May 12, 2016	May 12, 2016	
North Shore Community Action Programs, Inc. (NSCAP)	Full On- Site	Onsite	FY1 Q2	February 2, 2017	February 2, 2017	
South Shore Community Action Council, Inc. (SSCAC)	Full On- Site	Review	FY1 Q2	March 17, 2016	March 17, 2016	
Worcester Community Action Council, Inc. (WCAC)	Full On- Site	Onsite	FY1 Q4	July 27, 2016	July 27, 2016	

Monitoring Schedule – Year Two						
CSBG Eligible Entity	**Monitoring Type**	**Review Type**	**Target Quarter**	**Start Date of Last**	**End Date of Last Full Onsite**	**Brief Description of "Other"**
This column will auto- populate from the CSBG Eligible Entity Master List	**[Dropdown Options:** • Full On- Site • Newly Designated • Follow-up • Other • No Review**]**	**[Dropdown Options:** • Onsite Review • Desk Review**]**	**[Dropdown Options:** • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4**]**	**Select a Date**	**Select a Date**	If "Other" is selected in Column 2, describe in this column **[Narrative, 500 characters]**
N/A						

GUIDANCE: Comprehensive training is one that includes a review of program, administrative, fiscal and organizational standards.

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

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

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

10.3. Initial Monitoring Reports: According to the state's procedures, by how many

calendar days must the state disseminate initial monitoring reports to local entities? **[60]**

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

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

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

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

If findings are identified during monitoring of an eligible entity, they are documented in the Agency Assessment, DHCD's web-based system for tracking monitoring results and managing Technical Assistance Plans (TAPs). Where a finding is identified, the eligible entity proposes and submits a TAP to address it through the Agency Assessment. Once DHCD reviews and accepts the TAP, the system begins tracking the deliverable date. As the eligible entity works to resolve the TAP, they submit updates on their progress and upload supporting documentation for DHCD through the system. Once a TAP is completed and appropriate supporting documentation is provided, the State accepts and closes it in the system.

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

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

10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP? **[Narrative, 5000 characters]**

In the event that an eligible entity submits a proposed Quality Improvement Plan (QIP) and DHCD has approved the plan, DHCD will notify the Office of Community Services within 30 calendar days of State approval, pursuant to section 678C (a)(4), 42 U.S.C. § 9915(a)(4).

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

10.7. Assurance on Funding Reduction or Termination: The state assure that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in

the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

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

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

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

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

760 CMR 29.03 (Code of Massachusetts Regulations)

M.G.L. c. 24

10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 Characters]**

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

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

760 CMR 29.05 (Code of Massachusetts Regulations)

M.G.L. c. 24

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

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

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

760 CMR 29.03 (Code of Massachusetts Regulations)

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M.G.L. c. 24

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

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

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). **[Narrative, 5000 Characters]**

Expenditures are tracked separately by each appropriation in Massachusetts Management Accounting and Reporting System (MMARS). Payment Request Forms are prepared by the CSBG fiscal representative and approved by the Finance Manager. To track individual CAA expenditures, CAAs are required to submit quarterly expenditure reports in the CSG system that compare budget to actuals by line item. Quarterly expenditure reports are reviewed and approved by the CSBG fiscal representative.

10.12. Single Audit Management Decisions: Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. **[Narrative, 5000 Characters]**

DHCD will comply with the federal mandate pursuant to § 200.501(d) of the OMB Super Circular. DHCD will be responsible for issuing a management decision within six months of acceptance of the audit report by the Federal Audit Clearinghouse. The eligible entity must initiate and proceed with corrective action as rapidly as possible and corrective action should begin upon receipt of the audit report.

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

10.13. Assurance on Federal Investigations: The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

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

10.14. Performance Management Adjustment: Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

In the prior State Plan periods, DHCD worked to streamline monitoring tools, questions, and processes to allow for more clear identification of compliance issues that threaten CAAs' long-term wellbeing. Additionally, monitoring reports were significantly modified in order to address confusion expressed by the network around compliance findings versus best practice recommendations. Based on the results of the most recent ACSI survey and other feedback from the network and MASSCAP's Executive Committee, DHCD made the following additional adjustment to monitoring procedures under the FY19-20 State Plan: 1) DHCD will share more information on the monitoring tool utilized for triennial assessments in order to further clarify compliance requirements for the network and 2) DHCD will incorporate more substantive discussions about each agency's strategic plan goals and progress during onsite reviews and meetings with Boards of Directors. DHCD expects information collected through the new Community Action Plan reporting system will greatly aid in these discussions.

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

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SECTION 11: Eligible Entity Tripartite Board

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

- ☒ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]**

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

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☒ Monthly
- ☐ As It Occurs
- ☒ Other **[As needed per topic]**

11.3. Tripartite Board Representation Assurance: Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act. **[Narrative, 2500 Characters]**

State regulation 760 CMR: Section 29.06 (5) requires the by-laws of an eligible entity or other eligible entity to include a description of procedures for selecting new board members in case of a vacancy on the board. The annual CSBG contracts that DHCD executes with the State's eligible entities also require the eligible entities to assure compliance with the CSBG Act and all applicable federal requirements. Additionally, during triennial monitoring of each eligible entity, the State monitors whether the agency has a policy allowing low income individuals or groups to petition for representation of the agency's Board through a pre-assessment questionnaire.

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

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

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[N/A]**

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SECTION 12: Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. **[Select one item below and numeric response where applicable.]**

☒ 125% of the HHS poverty line
☐ X % of the HHS poverty line (fill in the threshold):_____% **[Numeric response]**
☐ Varies by eligible entity **[Narrative, 5000 characters]**

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

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

State regulation 760 CMR: Section 29.07 (5) requires each eligible entity to maintain written policies and procedures sufficient to determine income eligibility for services, including written policies for generally verifying income eligibility for services with limited intake procedures. The State reviews each eligible entity's policies and procedures during the triennial monitoring process and also conducts client file reviews to confirm the entity's adherence.

12.2. Income Eligibility for General/Short Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. **[Narrative, 5000 Characters]**

State regulation 760 CMR: Section 29.07 (5) requires each eligible entity to maintain written policies and procedures sufficient to determine income eligibility for services, including written policies for generally verifying income eligibility for services with limited intake procedures. The State reviews each eligible entity's policies and procedures during the triennial monitoring process.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). **[Narrative, 5000 Characters]**

The State draws upon information provided by eligible entities in their Community Assessment Report and Strategic Plan (CARSP) as well as their annual Community Action Plan (CAP) to ensure services that provide a community-wide benefit are targeted to low-income communities. The CARSP and subsequent CAP provide a logical description of an entity's reason for providing a given service in a given community, supported by data from a community assessment.

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

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

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

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

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

The requirement to "implement the Results Oriented Management Accountability (ROMA) approach to program management" is included in our annual CSBG contract. To support implementation of the ROMA approach, the State provides eligible entities a detailed planning guide for completing a community assessment report and strategic plan. The planning guide gives an overview of the ROMA approach in the context of a community assessment and strategic plan and highlights Organizational Standards wedded to ROMA. Written guidance, including information on National Performance Indicators and demographic data, is also provided to support eligible entities in completing their annual Community Action Plans and CSBG Annual Report.

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

13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. **[Select one and Narrative, 5000 characters]**

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

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

The State uses the National Performance Indicators to measure eligible entities' performance in meeting the requirements under Section 676(b)(12) of the CSBG Act.

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

The State supports eligible entities in using the ROMA system through multiple means. First, the State provides written guidance and subsequent feedback on key ROMA system documents including community assessment reports, strategic plans, and Community Action Plans, and CSBG Annual Reports. The State also coordinates periodic trainings to supplement written guidance. Additionally, to help ensure eligible entity staff and Boards are knowledgeable in ROMA, DHCD allocates discretionary funds to the State Association (MASSCAP) to coordinate ROMA training efforts, including support for staff completing the ROMA Certified Trainer process. Finally, to underscore DHCD's commitment to ensuring our network effectively uses ROMA, we have a ROMA Certified Implementer on staff at the State CSBG office.

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

13.4. Eligible Entity Use of Data: Describe how the state plans to validate that the eligible entities are using data to improve service delivery. **[Narrative, 5000 characters]**

State regulation 760 CMR: Section 29.07 (2) requires eligible entities submit a Community Action Plan (CAP) to the State with program objectives and activities they plan to accomplish during the CSBG program year. The CAP is submitted through *E.Gov*, DHCD's web-based reporting system, and identifies any services to be provided, strategies to be implemented, and National Performance Indicators to be reported on by the eligible entity. The State requires eligible entities also submit six month and final reports on progress meeting their targeted outcomes. Final progress report information is used to feed the eligible entities' CSBG Annual Reports. At all reporting points the State reviews eligible entities' actual performance compared to their target and provides feedback where needed.

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

Community Action Plans and Needs Assessments

13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

State regulation 760 CMR: Section 29.07 (2) requires eligible entities submit a Community Action Plan to the State with program objectives and activities they plan to accomplish during the CSBG program year. The CAP is submitted through *E.Gov*, DHCD's web-based reporting system, and is reviewed and approved by the State prior to executing an eligible entity's annual CSBG funding contract.

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

13.6. Community Needs Assessment: Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

State regulation 760 CMR: Section 29.07 (1) requires eligible entities submit a Community Action Plan based upon a community-needs assessment. Additionally, our CSBG Contract with eligible entities requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan.

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

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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 farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

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

(ii) to secure and retain meaningful employment;

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

(iv) to make better use of available income;

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

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

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

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

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

[Narrative, 5000 characters]

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The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD's annual CSBG contracts with the State's eligible entities, which require the eligible entities to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan based upon a community assessment report and strategic plan. The State will also monitor eligible entities to ensure compliance with this assurance.

Needs of Youth

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

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

(ii) after-school child care programs;

[Narrative, 5000 characters]

The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD's annual CSBG contracts with the State's eligible entities, which require the eligible entities to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan based upon a community assessment report and strategic plan. The State will also monitor eligible entities on a regular basis to ensure compliance with this assurance.

Coordination of Other Programs

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

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

[Narrative, 5000 characters]

The State will assure CSBG funding is used to support activities consistent with the

purposes listed above through DHCD's annual CSBG contracts with the State's eligible entities, which require the eligible entities to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan based upon a community assessment report and strategic plan. The State will also monitor eligible entities on a regular basis to ensure compliance with this assurance.

State Use of Discretionary Funds

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

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

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

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

Eligible Entity Service Delivery System

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

[Narrative, 5000 characters]

The State's CSBG Contract requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan. CARSPs include each eligible entity's description of the service delivery system targeted to low-income families.

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.

[No response; links to 9.3b]

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

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

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

[No response; links to 9.7]

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

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

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

[Narrative, 5000 characters]

The State's CSBG Contract requires eligible entities issue a Community Assessment Report & Strategic Plan (CARSP) once every 3 years and that information from the CARSP be used to complete their Community Action Plan. Plans include descriptions of how eligible entities use the funds to support innovative community and neighborhood-based initiatives related to the purpose of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of encouraging parenting.

Eligible Entity Emergency Food and Nutrition Services

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

[Narrative, 5000 characters]

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The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD's annual CSBG contracts with the State's eligible entities, which require the eligible entities to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan based upon a community assessment report and strategic plan. The State will also monitor eligible entities to ensure compliance with this assurance.

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

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

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

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(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.

[No response; links to 9.2 and 9.5]

Federal Investigations

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

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

[No response; links to 10.13]

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Funding Reduction or Termination

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

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

[No response; links to 10.7]

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

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

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

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

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

Note: The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a

community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

[No response for this item]

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

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SECTION 15: Federal Certifications

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

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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15.2. Drug-Free Workplace Requirements

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

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

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

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

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

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

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

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

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

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

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

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

DRAFT

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

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

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

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

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

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

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

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

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

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

(2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant

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

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

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

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

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

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

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

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

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

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

Primary Covered Transactions

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

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

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

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

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

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

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

Instructions for Certification

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

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

(3) The prospective lower tier participant shall provide immediate written notice to the

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

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

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

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

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

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

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

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment,

declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

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

15.4. Environmental Tobacco Smoke

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

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

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

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