



# Who, What, By When?!?!

National Association for State Community Services Programs | [www.nascsp.org](http://www.nascsp.org)

Raise your hand if you've  
been in the network...

- Under 1 year
- 1-5 years
- 5-10 years
- 10-15 years
- 15-20 years
- More than 20 years



# Considerations

- CSBG Act grants states authority to administer CSBG as appropriate in it's own state
- Every state is different!
  - Contract years; program years
    - But the Federal Fiscal Year is always October 1-September 30<sup>th</sup>
  - Processes between states vary
    - A contract process in Arkansas is different than Indiana





# State Office Key Tasks & Deliverables



# What is the State Office Responsible For?



CAP Plans



CSBG State Plan



Funding



Monitoring



Reporting



Training & Technical Assistance



ACSI

# Community Action Plans

- CSBG Act Sec. 676(b)(11):
  - “...**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”
- CSBG Act Sec. 678(b):
  - “The Secretary...shall facilitate the development of one or more model performance measurement systems, which may be used by the States and by eligible entities **to measure their performance** in carrying out the requirements of this subtitle and **in achieving the goals of their community action plans.**”

# Indiana's Tips for CAP Planning

1. Outline each step
  2. Estimate time needed for each step
  3. Set a goal end date and plot dates backwards
  4. Adjust as needed
- Things to note:
    - Indiana has 22 CAAs
    - Indiana does NOT have a statewide database
    - Indiana does NOT have any full-time CSBG Program staff
    - Indiana's CSBG program runs on calendar year

# Community Action Plan Steps

- |                                   |               |
|-----------------------------------|---------------|
| 1. Complete draft                 | 4 weeks       |
| 2. Approve at State level         | 2 – 4 weeks   |
| 3. Release CAP to network         | 1 day         |
| 4. CAAs complete CAPs             | 8 weeks       |
| 5. CAPs due to State Office       | 1 day         |
| 6. State Office review            | 3 weeks       |
| 7. State Office comments to CAAs  | 1 day         |
| 8. CAAs complete revisions        | 3 weeks       |
| 9. CAAs revisions to State Office | 1 day         |
| 10. State Office review           | 1.5 – 2 weeks |
| 11. State Office acceptance       | 1 day         |





# Revisions, Review and Acceptance

11. Sending acceptance notifications: 1 day

- December 31, 2020

10. IHCD's second review: 1.5 - 2 weeks

- December 21 – 31, 2020

9. CAA revisions to IHCD: 1 day

- December 21, 2020

# CAP Review, Comments & Revisions

8. CAA revisions after  
IHCDA's first review: 3  
weeks

- November 30 –  
December 21, 2020

7. State Office  
comments after first  
review: 1 day

- November 30, 2020

6. State Office first  
review: 3 weeks

- November 9 – 30,  
2020

# CAP Release, Completion and Submission

5. CAPs due to State Office: 1 day

- November 9, 2020

4. CAAs complete CAPs: 8 weeks

- September 14 – November 9, 2020

3. State Office Releases CAP template: 1 day

- September 14th

# CAP Draft Completion and Approval

## 2. Send CAP draft for approval: 2-4 weeks

- August 17, 2020

## 1. Complete CAP draft: 4-6 weeks

- July 6, 2020

## Optional steps:

- CAP draft review by CAAs
- CAP draft review by colleagues
- Draft review post-process

# WHAT IS THE STATE PLAN?

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The State Plan is our application for funding. This is a requirement of the CSBG Act.

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The Plan is submitted to the Administration for Children & Families (ACF) and reviewed by the Office of Community Services (OCS)

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Some states complete the plan every year while other states are on a two year plan.

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The State Plan provides OCS important updates on what you have done in your state.

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There are 15 sections to the plan.

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Each Section is specific to a Federal requirement.





# Sections of the State Plan

- Section 1: CSBG Administrative Information
- Section 2: State Legislation and Regulation
- Section 3: State Plan Development and Statewide Goals
- Section 4 CSBG Hearing Requirements
- Section 5: CSBG Eligible Entities
- Section 6: Organizational Standards for Eligible Entities
- Section 7: State use of Funds



# Sections of the State Plan continued

- Section 8: State Training and Technical Assistance
- Section 9: State Linkages and Communication
- Section 10: Monitoring, Corrective Actions, and Fiscal Controls
- Section 11: Eligible Entity Tripartite Board
- Section 12: Individual and Community Income Eligibility Requirements
- Section 13: Results Oriented Management and Accountability (ROMA) System
- Section 14: CSBG Programmatic Assurances and Information Narrative
- Section 15: Federal Certifications

# CONSIDER THIS...

- Who needs to review the plan?
- Consider schedules and how you plan on getting feedback.
- How long do you need to give each person for feedback?
  - CAA Network (Meetings, conference calls or webinars)?
  - What does your leadership look like.
- What are your timelines for public comment?
- Who do you need to work with to set up a place to hold your Public Hearing?

# CONSIDER THIS...

- What are the timelines for posting in the newspaper?
- Once the public comment/hearing has taken place then what?
- How long does this take?
- What are the requirements of you getting scheduled for your Legislative hearing?
- Who in your State certifies your State Plan?
- Do they have access to the Online Data Collection System (OLDC)?

# FUNDING

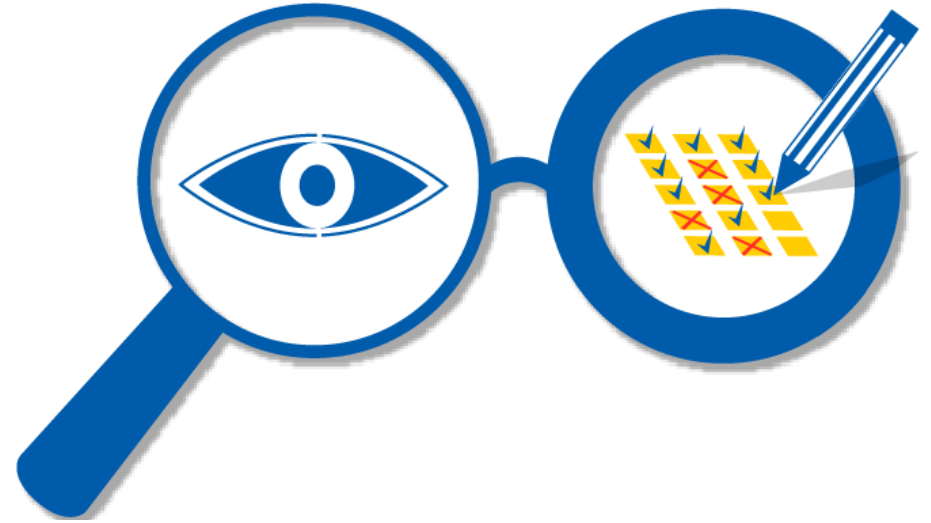


- To pass through funding, you have to have funding!
- Contracts
- Consider your contract timing- does it align with:
  - Calendar Year?
  - FFY?
  - SFY?
- Reimbursement vs Advances
- Reimbursements



# Monitoring

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- Monitoring is a required practice for each program
- Monitoring allows agencies to continually improve outcomes as they strive to meet the needs of the community through individual programs.
- Monitoring is also an effective tool for risk mitigation to protect the agency and its assets.

# Monitoring in Indiana

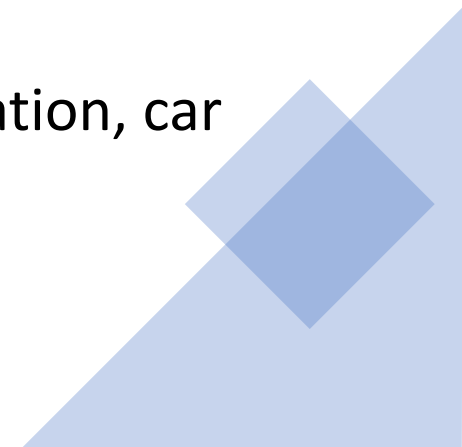
- On-site CSBG Comprehensive Administrative Review at least every three years
  - Agency Organizational Standards self-assessment every year
  - Desk-top monitoring of high-risk agencies
- Two staff: one for program (organizational and state standards) and one for fiscal
- Federal guidance:
  - CSBG Act Sec. 678B
  - Informational Memorandum 138

# Yearly Monitoring Schedule

- Risk assessment completed at end of previous program year
- Plan the order of monitoring:
  - Split 22 agencies between three years
  - Agencies to visit first = high-risk and/or low previous monitoring score
- Schedule monitoring trips and share at beginning of program year:
  - Avoid bad weather
  - Avoid national and state association conferences
  - Give at least two weeks in between agencies



## Prior to On-site Visit

- 45-day notice, with documents due from CAA to State 7 days prior to visit
  - Once documents come in, monitor begins to review:
    - Big-ticket issues: tri-partite compliance and financial statements
    - Agency overview documents: bylaws, board meeting minutes
  - Monitor prepares to travel = hotel reservation, car rental, etc.
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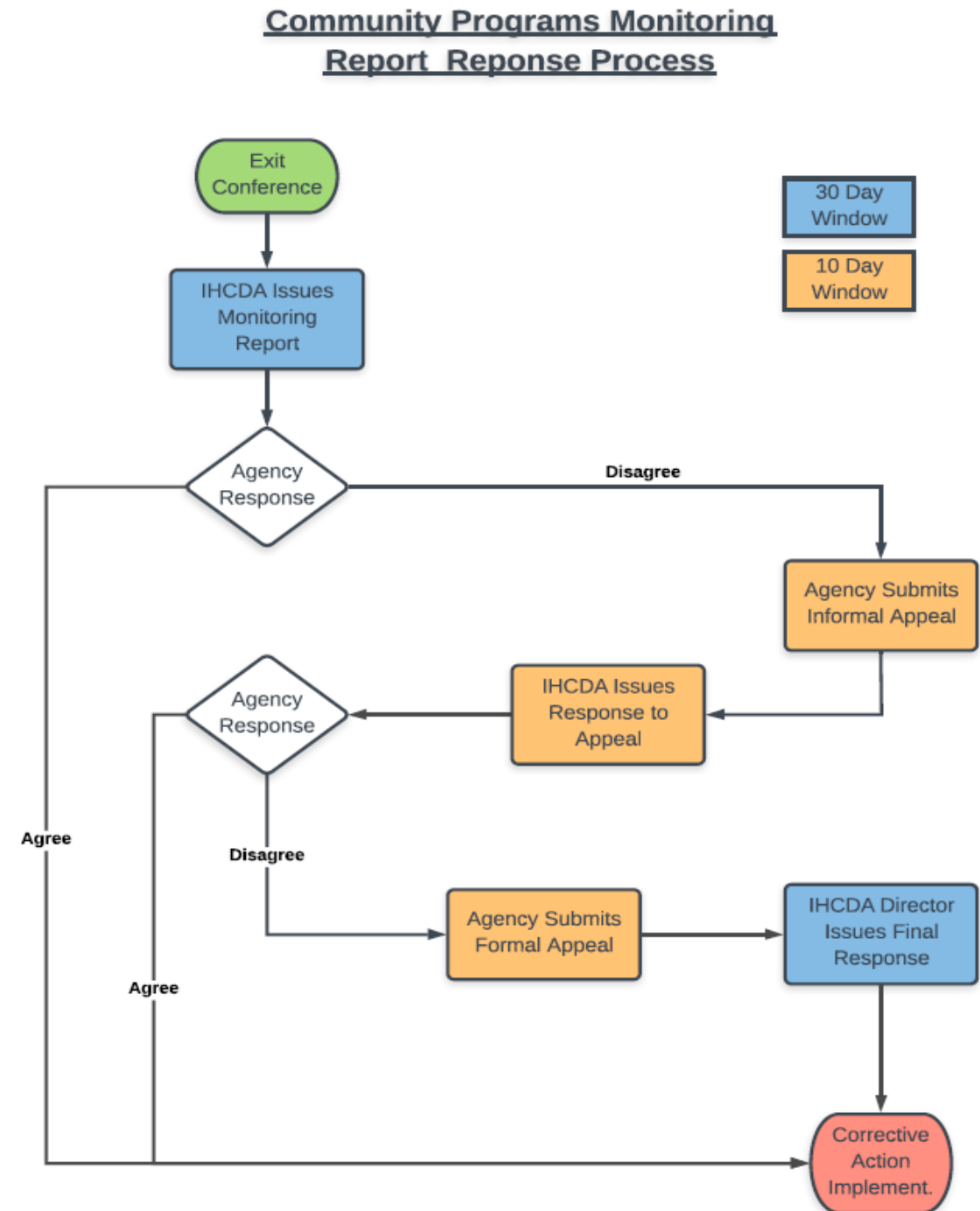
# Onsite Schedule

- Three-day onsite monitoring: Tuesday-Thursday
  - Monday in the State Office helps with preparation
  - Friday off due to over-time
- Onsite order, depending on CAA staff schedules:
  - **Entrance conference**
  - Governing board interviews
  - Executive Director interview
  - HR interview
  - Fiscal interview
  - CSBG Manager interview
  - Document review
  - Claims (CSBG & EAP) review
  - Questions asked throughout
  - **Exit conference**



# Back in the Office

- Monitoring report
  - Draft in the first week back, while details are still fresh
  - No surprises! Everything should have been covered in the Exit Conference
  - Finalize and send to agency within 30 days
- Agency response due in 10 days
  - Accept or
  - Begin appeals process



# Completion Letter and Follow-up

- Once agency accepts Monitoring Report, IHCD A sends On-site Completion Letter with next-step expectations:
  - RAP: 30 days
  - MQIP: 45 days
  - QIP: 60 days
- Once IHCD A accepts plan, compliance monitoring is completed
- Follow-up through corrective action monitoring:
  - RAP: none
  - MQIP/QIP: on-going correspondence until required steps have been taken

# Monitoring Tools

- Comprehensive Assessment Review (CAR) Tool
  - THE monitoring manual for agencies and monitors
  - Updated during last year of 22-agency cycle,
  - Updated based on ongoing notes, agency feedback, etc.
- Diagnostic Tool
  - Measurement tool/template
  - Provides agency performance score



# REPORTING

- Why?
- When?
- Who?
- What?



# REPORTING

## • Why?

CSBG is one of the key federal programs focused on reducing poverty in the United States.

The reporting provided through CSBG serves a variety of critical purposes; data demonstrates CSBG's national effectiveness and is essential to support the alignment of national program goals that reduce poverty, promote self-sufficiency, and revitalize low-income communities.

## • When?

Depending upon the type of report, in some cases, the due date of a report can be determined by the CSBG State Office. For example:

*CSBG Annual Report due date is designated by OCS (June 26, 2020), however the reporting year timeframe is determined by each state CSBG office (federal fiscal year, calendar year, state fiscal year.)*

*National Organizational Standard Assessments are performed annually; however each state CSBG Office can determine the reporting year timeframe for their eligible entities. (federal fiscal year, calendar year, state fiscal year, etc.)*



# REPORTING

## • Who?

Important to know who to contact at each agency and who is responsible for which required report or document. It is often challenging to organize and coordinate messaging to eligible entities regarding CSBG reporting.

## • What are the required CSBG Reports?

### **For Eligible Entities:**

1. Annual Report
2. National Organizational Standards Assessments
3. Community Action Plans
4. Contracts/Grants/Amendments
5. Certifications and Assurances

### **For State CSBG Offices:**

1. Annual Report
2. National Organizational Standards Assessment
3. State Plan
4. Debarment and Suspension verifications
5. FFATA (Federal Funding Accountability and Transparency Act reporting
6. Technical Assistance/Quality Improvement Plan Tracking

# REPORTING

HelpAgency SelectionPDFChange HistoryConversationReturn

General InfoContactsSub-GranteesCommunity Needs AssessmentStrategic PlanningStrengthening Communities & FamiliesGoverning/Advisory BoardLinkages and FundingROMA



Welcome to CSBG - Organization Information

## Organization Contact

Have you changed any of your agency/ department contacts since your last Community Action Plan submittal? 

No

- Executive Director
- CSBG Contact
- Fiscal Contact
- Outcome Reporting (NPI) Contact
- Organizational Standards Contact
- Human Resources Contact

### Outcome Reporting (NPI) Contact

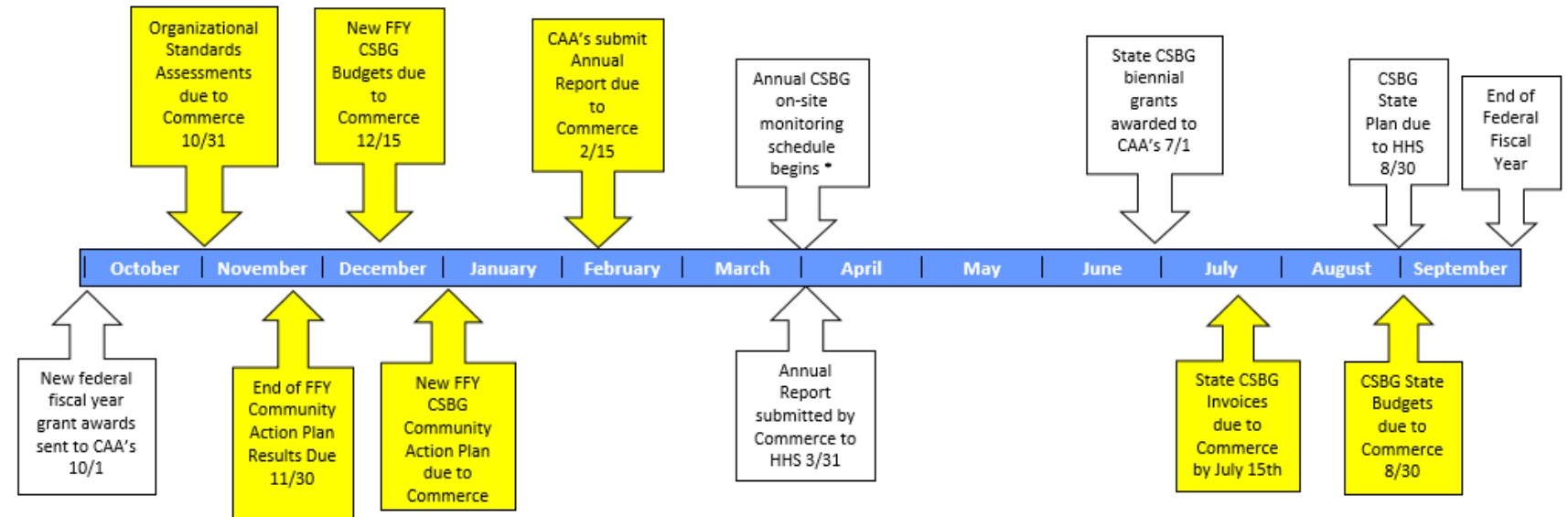
First Name	Last Name	Title	Address	Telephone	Cell Phone	Fax	Email
Melissa	Hess	Operations Director		509-545-4042	(509) 554 7207	509-544-9196	mhess@bfcac.org

# REPORTING



## CSBG Annual Timeline

Based upon Federal Fiscal Year Cycle



### \*2020 CSBG On-site Monitor Schedule

Community Action of Skagit County  
Chelan Douglas Community Action Council  
Solid Ground  
Kitsap Community Resources  
Rural Resources  
Pierce County Human Services Department  
Community Action Center (Whitman)  
Olympic Community Action Program  
Community Action Council of Lewis, Mason & Thurston Counties  
Blue Mountain Action Council

Yellow boxes indicate CAA required actions/reports

White boxes indicate State CSBG Office actions/reports

# REPORTING



Department of Commerce



## Governing Board Responsibilities

### Organizational Performance Standards for Non-Profit Agencies

#### *Organizational Performance Standards – Calendar of Required Actions*

##### AS NEEDED BASIS

- 4.5 Written Succession Plan for CEO/ED, includes absence of up to 3 months or less, outlines process for filling permanent vacancy, and is approved by the Board
- 5.5 Board fills vacancies and meets in accordance with its bylaws
- 5.7 New board members are provided structured orientation within 6 months of being seated
- 7.7 Board reviews and approves agency Whistleblower Policy

##### AT EACH BOARD MEETING

- 5.9 Board receives programmatic reports at each meeting
- 8.7 Board receives financial reports at each meeting

##### ANNUAL BASIS

- 1.3 Organization reports an analysis of customer satisfaction data to the governing board
- 4.4 Board receives an update on the success of strategies included in the Community Action Plan
- 6.5 Board receives an update on meeting goals of the Strategic Plan
- 7.4 Performance appraisal of CEO/ED is conducted and approval of appraisal is documented in board minutes
- 7.5 Board reviews and approves CEO/ED compensation
- 8.2 All findings from PRIOR year's audit have been assessed and addressed by governing board
- 8.3 Organization's audit is presented to the board by the Auditor
- 8.4 Board formally receives and accepts the annual audit
- 8.6 IRS Form 990 is completed and made available to the governing board
- 8.9 Board approves an organization-wide budget
- 9.3 Board is presented an analysis of the agency outcomes and any operational or strategic program adjustments and improvements identified by agency

##### EVERY 2 YEARS

- 4.6 Agency-wide Risk Assessment is completed and reported to the Governing Board
- 5.4 Board members receive a copy of current Bylaws
- 5.6 Board members sign a conflict of interest policy
- 5.8 Board members are provided training on duties and responsibilities
- 8.10 Fiscal policies reviewed by staff and updated as necessary. Board approves revisions to fiscal policies and/or documents policies were presented for review with no changes required.

##### EVERY 3 YEARS

- 3.1 Agency conducts a Community Assessment and issues a formal report
- 3.5 Board formally accepts the completed Community Assessment

##### EVERY 5 YEARS

- 4.1 Board reviews the organization Mission Statement and assures it address poverty and aligns with the organization's programs and services
- 5.3 Board Bylaws are reviewed by an attorney (documentation needs to be provided)
- 6.1 Agency-wide Strategic Plan developed and approved by the Board
- 7.1 Personnel Policies are reviewed by an attorney and approved by the Board
- 8.11 Board reviews and approves agency written procurement policy

Note: To ensure compliance with Organizational Performance Standards, documentation of any Board action must be recorded in the Governing Board Meeting Minutes.

# REPORTING TIPS:

- Include schedule of required reports in CSBG contracts.
- Include language in CSBG contracts that specifies grantees to comply with required reporting dates (allow for written submittal request for extension.)
- Create easy to read timelines and schedules for CAA's and Board Members.
- Review the best option and solution for all parties. (Quality report vs. less effective to meet the deadline report.)

# TRAINING AND TECHNICAL ASSISTANCE

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- Assessing Network Needs
- Planning:
  - State TTA Plan
  - TTA Schedule
  - RPIC
    - RPIC TTA Plan
- Implementing and Offering TTA



# ACSI

- **Customer service underpins everything we do**
- Your ACSI Results clue you into what is important to your grantees
- ACSI occurs every other year
- States develop plans to address feedback in the CSBG State Plan and report in the Annual Report







# ACTION PLAN

Activity: Develop your CSBG State Action Plan



# Different Tools for Different Tasks



JANUARY Dates	FEBRUARY Dates	MARCH Dates
2nd - CSBG: send 2Gen application draft for approval	3rd - CSBG: 2Gen coaching applications due	2nd - CSBG: Modules 2-4 due from agencies
6th - CSBG: post 2Gen coaching contract	15th - CSBG: Finalize 2019 budgets; show carryover line items	16th - CSBG: Modules 2-4 comments back to agencies (?)
7th - NAP: Email organizations that haven't met 60% Benchmark yet	24th - CSBG: make coaching decision	16th - NAP: send reminder about March 31st benchmark and April 13th reporting deadline
13th - NAP: 60% Benchmark Report due - one more email?	24th - NAP: Send network reminder about March 31st Benchmark and April 13th report due dates	30th - NAP: send reminder about March 31st benchmark and April 13th reporting deadline
13th - IDA Tax Credit: July-December Donor report due	FEBRUARY To-Do	30th - CSBG: Modules 2-4 revisions due from agencies (?)
13th - IDA: Survey asking about extending contracts	CSBG: Review coaching applications	31st - CSBG: submit Annual Report (?)
14th - NAP: Pull donor report	CSBG: Finalize Module 1	MARCH To-Do
Create list of ineligible organizations	CSBG: Compile list of things to include in admin guide	CSBG: Finalize annual report
Is deallocation/reallocation necessary? How many funds are available? How many agencies would get deallocated? How many agencies would get new allocations?	NAP: Update 2020 NAP Manual, application, grant agreement	CSBG: Finalize CSBG-D Innovative Application
Have Kyleen (maybe Jake) approve not doing reallocation	NAP: Send network reminder about March 31st Benchmark and April 13th report due dates	CSBG: Create chapter list for admin guide
Have Director and maybe COO approve list of 2021 ineligible organizations	IDA: Review claims and IDA019 reports- check to ensure everyone is submitting quarterly	CSBG: Update poverty guidelines based on feds (when posted)
Email organizations that have lost 2020 eligibility - give until the 17th to update donor information	IDA: send IDA Manual to select administrators for review	NAP: Have Director and COO approve manual and application
16th - CSBG: 2Gen full-day conference	IDA: Have manual, application and financial institution guide approved by Director and COO - post to website?	NAP: Send agreement to Legal
21st- NAP: Prepare donor list for IDOR	IDA: Send agreement and bank MOA to Legal	NAP: Outreach to Main Street organizations
21st - CSBG: Collect Community Action Plan edits from network	IDA: Plan for marketing materials - add dates later	NAP: Prep for April 8th webinar
22nd- NAP: Send Report to IT to send to IDOR	IDA Tax Credits: Have manual and application approved by Director and COO	NAP: Research possible legislative updates - aim to have proposal done in July - more dates later!
31st - IDA: claims due and mid-year report due for IDA019	IDA Tax Credits: Send agreement to Legal	IDA: Prep for April 23rd webinar
JANUARY To-Do	IDA Tax Credits: Outreach for current IDA administrators to take on tax credits	IDA: Outreach for new administrators
CSBG: Work on annual report due March 31st, 2020; IHCD does Module 1		IDA: Research possible legislative updates - aim to have proposal done in July - more dates later!
CSBG: Review other state admin guides		IDA Tax Credits: Research possible legislative updates - aim to have proposal done in July - more dates later!
CSBG: Make sure Emily gets Designation Letter		IDA Tax Credits: Prep for April 23rd webinar
IDA: Complete program material updates		
Manual	Indiana 1 <sup>st</sup> Quarter Action List	
Application		
Financial Institution Guide		
Agreement		
Bank MOA		
IDA Tax Credit: Complete program material updates		
Manual		



# Lessons Learned from State Administrators



# State Plan Suggestions

- Once you get back and settled, take some time to review your State Plan
- Get answers to the questions in the previous slides
- Become familiar with your states processes
- Once this is done, you can determine when you need to start the process of updating your plan



# Indiana's Lessons Learned

Provide

Provide deadlines and follow-up

Write

Write ideas down as you think of them

Reach out

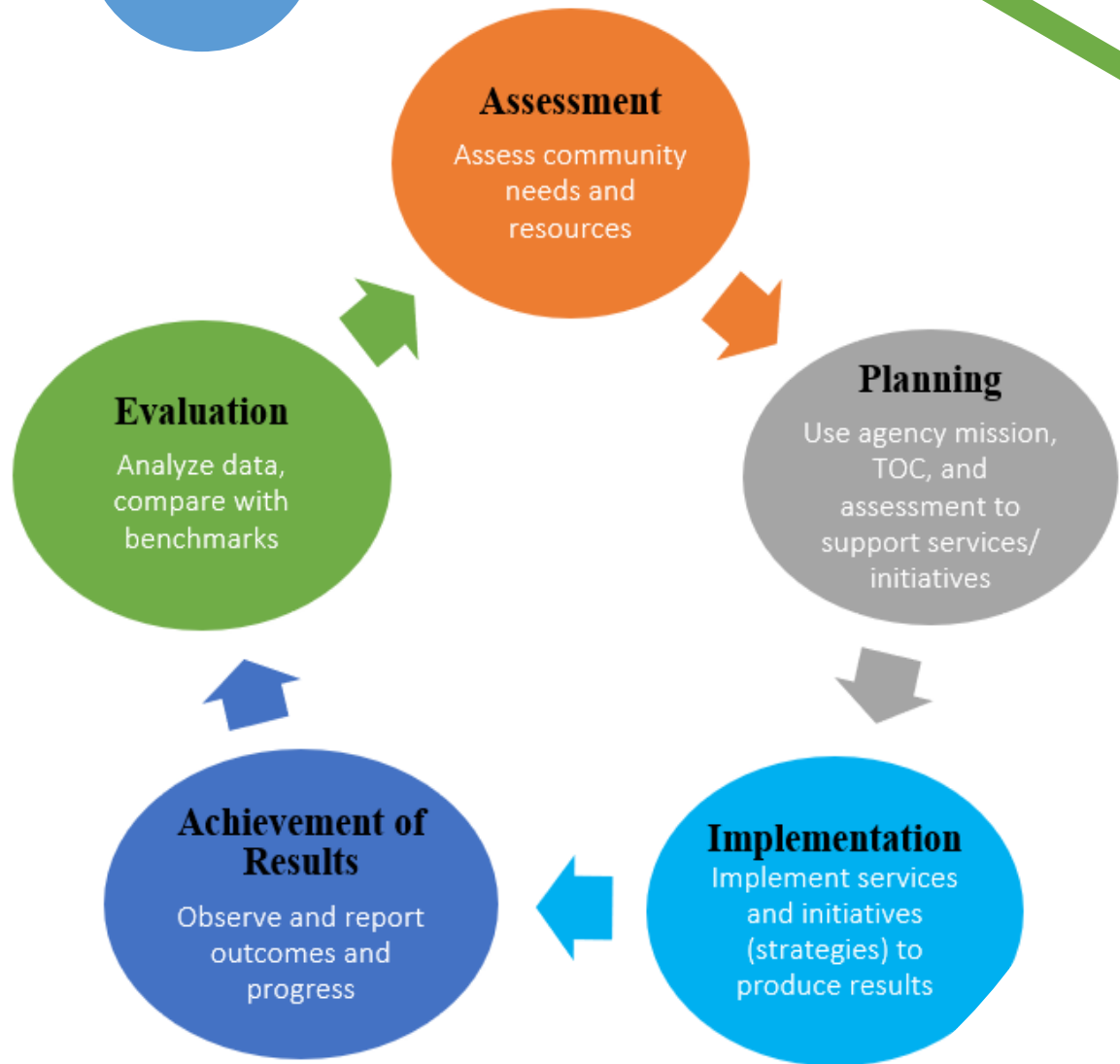
Reach out to NASCSP and other state offices

Create

Create a master calendar for all programs

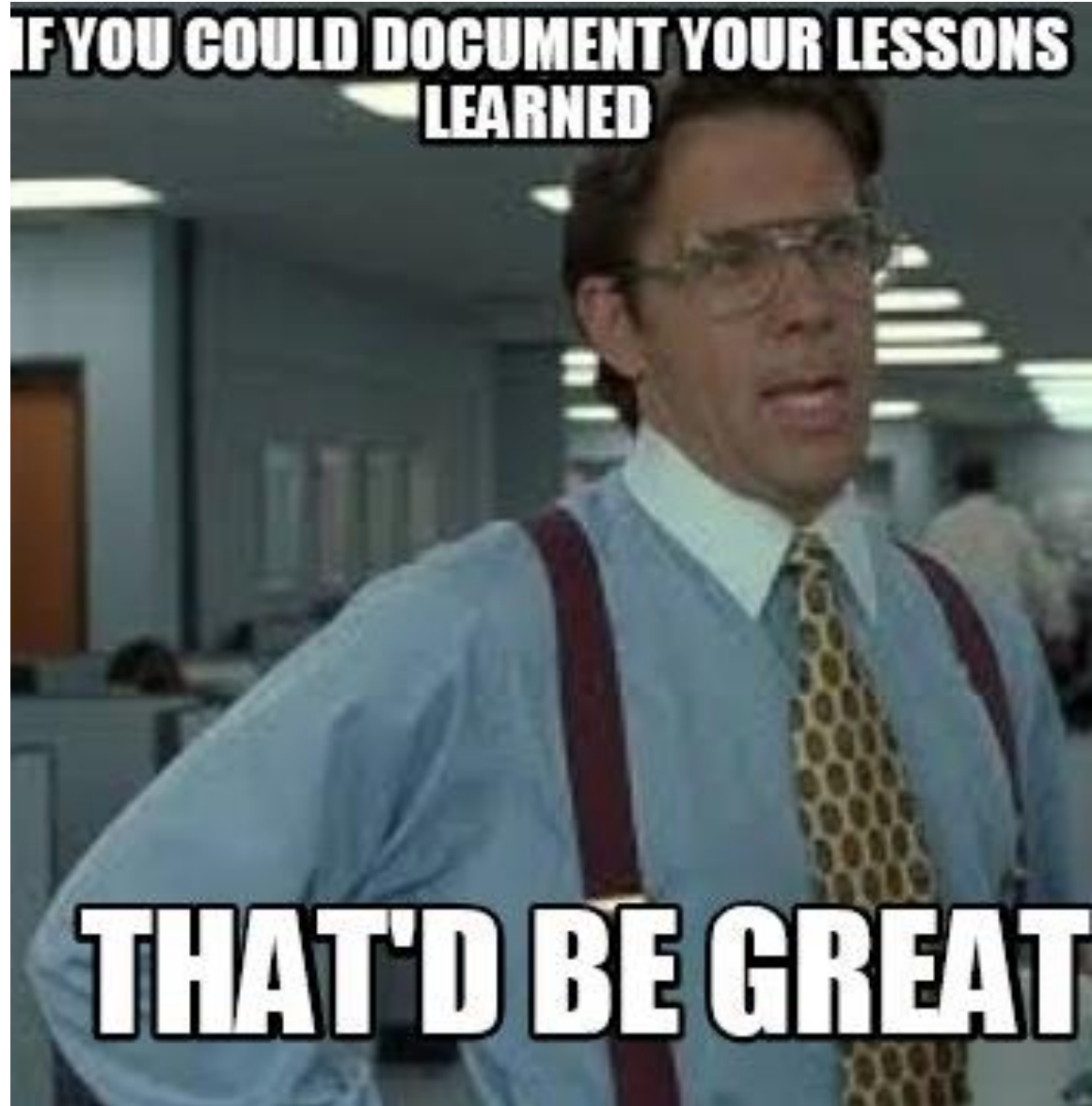
Review

Review your own policies to ensure they're up-to-date and that you're following them



# Arkansas Lessons Learned

ROMA doesn't implement itself!



# Washington Lessons Learned





# What NASCSP Can Do For You

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- NASCSP can help you connect with your peers
  - Use your network!
- NASCSP provides relevant tools and resources
  - Member Portal
  - Webinars
  - Communication
- NASCSP provides training and technical assistance
  - Specialized to state office needs



Questions?

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