



ADMINISTRATION FOR
CHILDREN & FAMILIES
 Office of Community Services

Community Services Block Grant (CSBG) State Plan

CSBG Cover Page (SF-424M)

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THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13): Through this information collection, ACF is gathering information about planned activities related to and funded by CSBG for the upcoming fiscal year. Public reporting burden for this collection of information is estimated to average 31 hours per grantee, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. This is a mandatory collection of information (Sec. 676, Pub. L. 105-285, 112 Stat. 2735 (42 U.S.C. § 9908)). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid OMB control number. The OMB # is 0970-0382 and the expiration date is 08/31/2024. If you have any comments on this collection of information, please contact M. Monique Alcantara at melania.alcantara@acf.hhs.gov.

Instructions

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

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

This form allows for the following types of responses:

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

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

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

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

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

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

- For the purposes of this form, tables 5.1, 7.2, and 10.1 allows you to add rows. However, within OLDC, you will be unable to add or delete rows and Column 1 of each table will be read-only.

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

SECTION 1: CSBG Administrative Information

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

1.1a. Provide the federal fiscal years this plan covers: **Year One** 2024
Year Two 2025

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

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

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

If yes, select the fields that have changed. [\[Check all the apply\]](#)

- | | | |
|--|--|--|
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |

1.2a. Lead agency [\[Narrative, 150 Characters\]](#) New York State Department of State

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

EXAMPLE: Office of Community Services (OCS)

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

- ☐ Community Affairs Department
- ☒ Community Services Department
- ☐ Governor’s Office
- ☐ Health Department
- ☐ Housing Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe: [\[Narrative, 100 characters\]](#)

1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official [\[Narrative, 100 Characters\]](#) New York State, Secretary of State

- 1.2d. Authorized Official of the Lead Agency:** The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as the authorized representative on the SF-424M and the official recipient of the Notice of Award per Office of Grant Management requirements. [\[Narrative, 50 characters each\]](#)

Name Manuel A. Rosa

Title Director, Division of Community Services

- 1.2e. Street Address** [\[Narrative, 200 characters\]](#) One Commerce Plaza, 99 Washington Avenue, Suite 1020

- 1.2f. City** [\[Narrative, 50 characters\]](#) Albany

- 1.2g. State** [\[Dropdown\]](#) New York

- 1.2h. Zip Code** [\[Numerical Response, 5 digits\]](#) 12231

- 1.2i. Telephone Number** [\[Numerical Response, 10-15 digits\]](#) 518-474-5741

- 1.2j. Fax Number** [\[Numerical Response, 10 digits\]](#) 518-486-4663

- 1.2k. Email Address** [\[Narrative, 150 characters\]](#) Manuel.Rosa@dos.ny.gov

- 1.2l. Lead Agency Website** [\[Narrative, 200 characters\]](#) http://www.dos.ny.gov

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

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

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

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

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

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

If yes, select the fields that have changed. [\[Check all that apply\]](#)

- | | | | |
|--|---|---|-------------------------------------|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> State | <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | | |

- 1.4a.** Agency Name [\[Narrative, 150 characters\]](#) New York State Department of State,
Division of Community Services
- 1.4b.** Point of Contact Name [\[Narrative, 50 characters each\]](#)
Name Manuel A. Rosa
Title Director, Division of Community Services
- 1.4c.** Street Address [\[Narrative, 200 characters\]](#) One Commerce Plaza, 99 Washington
Avenue, Suite 1020
- 1.4d.** City [\[Narrative, 50 characters\]](#) Albany
- 1.4e.** State [\[Dropdown\]](#) New York
- 1.4f.** Zip Code [\[Numerical Response, 5 digits\]](#) 12231
- 1.4g.** Telephone Number [\[Numerical Response, 10 – 15 digits\]](#) 518-474-5741
- 1.4h.** Fax Number [\[Numerical Response, 10 digits\]](#) 518-486-4663
- 1.4i.** Email Address [\[Narrative, 150 characters\]](#) dos.sm.dcs@dos.ny.gov
- 1.4j.** Agency Website [\[Narrative, 200 characters\]](#)
<http://www.dos.ny.gov/dcs.index.htm>

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

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

☐ Yes ☐ No

Yes

Has information regarding the state Community Action Association changed since the last submission of the State Plan?

☐ Yes ☐ No

No

If yes, select the fields that have changed. [\[Check all the apply\]](#)

- | | | | |
|--|---|---|-------------------------------------|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Executive Director | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> State | <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | <input type="checkbox"/> RPIC Lead | |

- 1.5a.** Agency name [\[Narrative, 150 characters\]](#) New York State Community Action Association

- 1.5b.** Executive Director or Point of Contact [\[Narrative, 50 characters each\]](#)

Name Jacqueline Orr

Title Chief Executive Officer

- 1.5c.** Street Address [\[Narrative, 200 characters\]](#) 2 Charles Boulevard

- 1.5d.** City [\[Narrative, 50 characters\]](#) Guilderland

- 1.5e.** State [\[Dropdown\]](#) New York

- 1.5f.** Zip Code [\[Numerical Response, 5 digits\]](#) 12084

- 1.5g. Telephone Number** [Numerical Response, 10 – 15 digits] 518-690-0941 ext. 24
- 1.5h. Fax Number** [Numerical Response, 10 digits] 518-690-0498
- 1.5i. Email Address** [Narrative, 150 characters] jorr@nyscommunityaction.org
- 1.5j. State Association Website** [Narrative, 200 characters]
www.nyscommunityaction.org
- 1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead** ☐ Yes ☐ No Yes

SECTION 2: State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☐ Yes ☐ No Yes
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☐ Yes ☐ No Yes
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. [Attach a document and/or provide a link, 1500 characters]

[New York Executive Law Article 6-D - Community Services Block Grant Program \(public.law\)](#)

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

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

- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacted authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. ☐ Yes ☐ No No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. ☐ Yes ☐ No No

SECTION 3: State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency. [\[Narrative, 2500 characters\]](#)

The mission and responsibility of the Department of State (DOS) as the lead agency is to work in partnership with the community services network of eligible entities as well as federal, state, and local governments, and community-based organizations to effectively carry out the purposes, goals, and assurances of the CSBG Act. Adherence to the mission and responsibilities of DOS, as the lead agency, is addressed and ensured several ways: through program and fiscal monitoring, certification of eligible entities capacity to meet statutory requirements, provision of training and technical assistance to ensure agencies that require additional assistance are provided the same, coordinating and forming partnerships with other organizations serving low-income residents, and coordinating and establishing linkages between governmental and other social services programs to ensure effective delivery of services.

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

New York State envisions that programs will be administered in accordance with the CSBG statutory purposes and goals, and in compliance with all applicable state and federal statutes, rules, regulations, policies, and procedures. The following goals guide operation: Goal 1: Funds will be distributed in a timely manner and in accordance with applicable federal and state statutes. Goal 2: A comprehensive onsite review of each eligible entity will be conducted at least once every three years in accordance with § 678B of the CSBG Act. The reviews will be based in part on the national CSBG Organizational Standards, in accordance with IM 138. Training and technical assistance will be provided to ensure eligible entities can increase compliance with the national CSBG Organizational Standards, and Federal and State contracting requirements. Goal 3: CSBG funds will be coordinated with governmental and other social services programs to assure effective delivery of service and to avoid duplication. Goal 4: Reports will be prepared documenting the use and outcomes of the CSBG funds and will be submitted to the U.S. Department of Health and Human Services (HHS), the Governor of New York State, and the New York State Legislature annually as prescribed by federal and state statutes. Goal 5: DOS will continue to implement a pilot database-driven solution aimed at streamlining administrative documents and processes to reduce redundancies for CSBG State staff and CSBG eligible entities.

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

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

Note: This information is associated with State Accountability Measure 1Sa(i) and pre-

populates the state's Annual Report, Module 1, Item B.1.

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

3.3a. Analysis of state-level tools [Check all that applies and provide additional information 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) [Narrative, 500 characters]

Requests for training and technical assistance submitted by eligible entities as part of DOS contracting process, routine monitoring along with annual and triennial comprehensive assessments.

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

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

NYS CSBG Advisory Council

3.4. Eligible Entity Involvement

3.4a. State Plan Development: Describe the specific steps the state took in developing the State Plan to involve the eligible entities. [\[Narrative, 3000 Characters\]](#)

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

DOS engaged the CSBG eligible entities throughout the entire development of the 2024-2025 NYS CSBG State Plan. During the months of February, March, and April 2023, DOS partnered with NYSCAA to form a workgroup consisting of ten Executive Directors from various eligible entities. The workgroup provided a review of the previous state plan and made recommendations for the draft 2024-2025 NYS CSBG State Plan. The CSBG Advisory Council scheduled a meeting for March 30, 2023, and DOS provided updates on the status of the State Plan development, a timeline of proposed events related to the development of the state plan and encouraged feedback from the entire CSBG network.

DOS and NYSCAA convened five regional meetings (May 4, May 11, May 24, and June 14, and June 21, 2023) to initiate discussion of the draft 2024-2025 NYS CSBG State Plan. The regional meeting schedule was distributed, on February 15, 2023, to allow eligible entities to plan their attendance in advance. During the regional meetings, DOS encouraged the eligible entities to review the 2024-2025 NYS CSBG State Plan during the public comment period and the public hearing. DOS acknowledged NYSCAA for coordinating the State Plan Workgroup, and reviewed the recommendations made regarding the following sections: state goals, monitoring framework, performance management (referencing training and technical assistance), and the use of the discretionary funds.

Additionally, DOS encouraged stakeholder input for development of the 2024-2025 NYS CSBG State Plan through newsletters, website posts, and social media releases. Throughout this process NYSCAA acted as a liaison to encourage further stakeholder participation in State Plan development.

A draft plan was created based on the input and suggestions received. A draft of the 2024-2025 NYS CSBG State Plan was publicly posted on the public DOS website for public comment on June 1, 2023 (providing a 45-day public comment period from June 1, 2023, through July 15, 2023); DOS held a public hearing for comment on the 2024-2025 NYS CSBG State Plan on July 13, 2023; and DOS presented and discussed the drafted plan during a CSBG Advisory Council held on July 27, 2023. DOS sent weekly (from June 1, 2023, through July 15, 2023) reminder emails to the entire CAA network, encouraging participation in the public comment period and the public hearing.

By soliciting comments on the drafted 2024-2025 NYS CSBG State Plan, DOS was able to fully gather and carefully consider input from the eligible entities during the entire development process of the State Plan.

3.4b. Performance Management Adjustment: Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to 1) encourage eligible entity participation and 2)

ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [\[Narrative, 3000 Characters\]](#)

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

With ongoing efforts to improve performance in the state plan development process, DOS began the planning process for the 2024-2025 NYS CSBG State Plan in February 2023. DOS considered comments received from the eligible entities, provided on the 2021 American Customer Satisfaction index (ACSI) to initiate an earlier, more timely planning process for the drafting of the 2024-2025 NYS CSBG State Plan.

By starting the planning process earlier, DOS was able to revise its approach to drafting the 2024-2025 NYS CSBG State Plan. DOS welcomed feedback and comments from the eligible entities regarding the development of the state plan, monitoring of CSBG funded programs and services, and use of the Discretionary funds. In addition, DOS engaged the eligible entities through the regional meetings and the CSBG Advisory Council by providing a platform for discussion, comments, and feedback. DCS Director and Deputy Director also individual engaged with the Executive Directors and senior leadership staff of the eligible entities during one-on-one meetings to discuss comments regarding the state plan. Through these conversations, DOS has provided a more targeted approach to offering training and technical assistance to the eligible entities.

DOS continues to assess the feedback and comments received to evaluate the effectiveness of its development of the state plan, monitoring framework and tools. DOS will provide individualized enhanced technical assistance and training to those agencies with greater need while continuing to engage those agencies who consistently and successfully achieve various milestones.

- 3.5. Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. [\[3 digits\]](#) **Year One** 50 **Year Two** 55
Instructional Note: The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

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

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

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

SECTION 4: CSBG Hearing Requirements

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

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

Pursuant to the requirement of § 676(e)(2) of the federal CSBG Act, the drafted 2024-2025 NYS CSBG State Plan was posted on the DOS official website (<https://dos.ny.gov/reports-state-plans-and-guides>), with notice posted in the New York State Register on May 31, 2023. Eligible entities and stakeholders were informed of opportunities to provide comments through weekly emails (June 1, 2023, through July 15, 2023), monthly newsletters (April through August 2023), and five Regional Meetings (held in May and June 2023). DCS Director and Deputy Director also reminded Executive Directors and senior leadership staff during one-on-one calls that the draft was available for review and comment during the period outlined above.

- 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. [\[Narrative, 2500 Characters\]](#)

In February 2023, DOS started the planning process for drafting the 2024-2025 NYS CSBG State Plan. DOS partnered with NYSCAA to form a workgroup consisting of CAA Executive Directors. The Workgroup drafted an action plan to include sufficient time and statewide distribution of notice for the public comment period and public hearing. The workgroup's action plan included the following activities:

In the March 2023 DOS CSBG Newsletter highlighted registration, and participation for the five regional meetings (held in May and June) and the CSBG Advisory Council meeting scheduled for March 30, 2023. During these meetings, DOS encouraged and solicited participation during the public comment period and the public hearing.

In the April, May, and June 2023 DOS CSBG Newsletter highlighted and reminded the network of the opportunities (public comment and public hearing) to participate in the planning and drafting of the 2024-2025 NYS CSBG State Plan.

In May and June 2023, during the five regional meetings, DOS referenced a timeline of events including the public comment period (June 1, 2023, through July 15, 2023), public hearing (July 13, 2023), and CSBG Advisory Council meeting (July 27, 2023). DOS encouraged the attendees to provide feedback and comments on the drafted 2024-2025 NY CSBG State Plan.

A public comment period and public hearing notice was published in the New York State Register on May 31, 2023. During June and July 2023, DOS sent weekly reminder emails to the CAA Network encouraging participation during the public comment and public hearing to provide feedback on the drafted 2024-2025 NYS CSBG State Plan.

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

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

Date <i>[Select a Date]</i>	Location <i>[Provide the facility and city – Narrative 100 characters]</i>	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirmed that the public was invited.
7/13/2023	DOS State Office, Albany, NY	Public	<input type="checkbox"/>

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

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

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

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

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

SECTION 5: CSBG Eligible Entities

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

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity [Choose all that apply]
Albany County Opportunity, Inc.	Albany County	Nonprofit	Community Action Agency
Allegany County Community Opportunities and Rural Development, Inc.	Allegany County	Nonprofit	Community Action Agency
Greater Opportunities for Broome and Chenango, Inc.	Broome and Chenango Counties	Nonprofit	Community Action Agency
Cattaraugus Community Action, Inc.	Cattaraugus County	Nonprofit	Community Action Agency
Cayuga/Seneca Community Action Agency, Inc.	Cayuga and Seneca Counties	Nonprofit	Community Action Agency
Chautauqua Opportunities, Inc.	Chautauqua County	Nonprofit	Community Action Agency
Economic Opportunity Program, Inc. of Chemung County	Chemung and Schuyler Counties	Nonprofit	Community Action Agency
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton and Franklin Counties	Nonprofit	Community Action Agency
Columbia Opportunities, Inc.	Columbia County	Nonprofit	Community Action Agency
Cortland County Community Action Program, Inc.	Cortland County	Nonprofit	Community Action Agency
Delaware Opportunities, Inc.	Delaware County	Nonprofit	Community Action Agency
Community Action Partnership for Dutchess County, Inc.	Dutchess County	Nonprofit	Community Action Agency
Community Action Organization of Western New York,	Erie County	Nonprofit	Community Action Agency

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity [Choose all that apply]
Adirondack Community Action Program, Inc.	Essex County	Nonprofit	Community Action Agency
Fulmont Community Action Agency, Inc.	Fulton and Montgomery Counties	Nonprofit	Community Action Agency
Community Action of Greene County, Inc.	Greene County	Nonprofit	Community Action Agency
Community Action Planning Council of Jefferson County, Inc.	Jefferson County	Nonprofit	Community Action Agency
Lewis County Opportunities, Inc.	Lewis County	Nonprofit	Community Action Agency
Livingston County Board of Supervisors (Community Initiatives Council)	Livingston County	Public	Community Action Agency
Community Action Program for Madison County, Inc.	Madison County	Nonprofit	Community Action Agency
Action for a Better Community, Inc.	Monroe and Ontario Counties	Nonprofit	Community Action Agency
Economic Opportunity Commission of Nassau County, Inc.	Nassau County	Nonprofit	Community Action Agency
Niagara Community Action Program, inc.	Niagara County	Nonprofit	Community Action Agency
New York City Department of Youth and Community Development	New York City: Bronx, New York, Kings, Richmond and Queens	Public	Community Action Agency
Mohawk Valley Community Action Agency, Inc.	Oneida and Herkimer Counties	Nonprofit	Community Action Agency
People's Equal Action and Community Effort, Inc.	Onondaga County	Nonprofit	Community Action Agency
Regional Economic Community Action program, inc.	Orange County	Nonprofit	Community Action Agency
Community Action of Orleans and Genesee, Inc.	Orleans and Genesee Counties	Nonprofit	Community Action Agency
Oswego County Opportunities, Inc.	Oswego County	Nonprofit	Community Action Agency

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity [Choose all that apply]
Opportunities for Otsego, Inc.	Otsego County	Nonprofit	Community Action Agency
PathStone Corporation	Statewide	Nonprofit	Limited Purpose Agency
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer County	Nonprofit	Community Action Agency
LifeWorks Community Action, Inc.	Saratoga County	Nonprofit	Community Action Agency
Schenectady Community Action Program, Inc.	Schenectady County	Nonprofit	Community Action Agency
Schoharie County Community Action Program, Inc.	Schoharie County	Nonprofit	Community Action Agency
Pro Action of Steuben and Yates, Inc.	Steuben and Yates Counties	Nonprofit	Community Action Agency
St. Lawrence County Community Development Program, inc.	St. Lawrence County	Nonprofit	Community Action Agency
Economic Opportunity Council of Suffolk, Inc.	Suffolk County	Nonprofit	Community Action Agency
Tioga Opportunities, Inc.	Tioga County	Nonprofit	Community Action Agency
Tompkins Community Action, Inc.	Tompkins County	Nonprofit	Community Action Agency
Ulster County Community Action Committee, Inc.	Ulster and Sullivan Counties	Nonprofit	Community Action Agency
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren and Hamilton Counties	Nonprofit	Community Action Agency
Washington County Economic Opportunity Council, Inc.	Washington County	Nonprofit	Community Action Agency
Wayne Community Action program, Inc.	Wayne County	Nonprofit	Community Action Agency
Westchester Community Opportunity Program, Inc.	Westchester, Putnam, and Rockland Counties	Nonprofit	Community Action Agency
Wyoming County Community Action, Inc.	Wyoming County	Nonprofit	Community Action Agency

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity [Choose all that apply]
Yonkers Community Action program, Inc.	City of Yonkers	Nonprofit	Community Action Agency

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

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

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

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

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

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

5.2. Total number of CSBG eligible entities: 47

[Within OLDC, this will automatically update based on Table 5.1.]

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

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

- ☐ Designation and/or Re-Designation
- ☐ De-Designations and/or Voluntary Relinquishments
- ☐ Mergers

☒ 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) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
Click or tap here to enter text.	Choose an item.	Click or tap to enter a date.	

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

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

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

CSBG Eligible Entity	Reason
Click or tap here to enter text.	Choose an item.

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

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

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

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

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

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

SECTION 6: Organizational Standards for Eligible Entities

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

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

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

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

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

[\[Narrative, 2500 characters\]](#)

No modifications made.

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

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

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

Provide reason for using alternative standards [\[Narrative, 2500 characters\]](#)

Describe rigor compared to COE-developed Standards [\[Narrative, 2500 characters\]](#)

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

- ☐ Regulation
- ☒ Policy
- ☒ Contracts with Eligible Entities
- ☐ Other, describe: [\[Narrative, 4000 characters\]](#)

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

- ☐ Peer-to-Peer Review (with validation by the state or state-authorized third party)
- ☒ Self-Assessment (with validation by the state or state-authorized third party)
- ☐ Self-Assessment/Peer Review with State Risk Analysis
- ☐ State-Authorized Third-Party Validation
- ☒ Regular On-Site CSBG monitoring
- ☒ Other [\[Narrative, 2500 characters\]](#) State Triennial Assessment Review (STAR) and Annual Compliance Review of Organizational Standards (ACROS)

6.3a. Assessment Process: Describe the planned assessment process. [\[Narrative, 4000 characters\]](#)

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.

Since the inception of IM 138, DOS has opted to use the CSBG Organizational Standards. DOS has incorporated the Organizational Standards into its monitoring practices identified in the DOS Monitoring Guide.

In 2022 and 2023, DOS partnered with NYSCAA to develop a Monitoring Workgroup, which included Executive Directors from the eligible entities. The primary goals of the Monitoring Workgroup were to review the overall DOS monitoring framework, reduce the administrative burden and redundancies, and enhance training and technical assistance provided to the CSBG network.

As of FFY 2024, DOS (Program Analysts and Fiscal Field Representatives) has implemented a four-tier approach to assess the eligible entities within NYS: (1) comprehensive triennial assessment including the Organizational Standards (State Triennial Assessment Review), (2) annual self-assessment of the Organizational Standards (Annual Compliance Review of Organizational Standards – ACROS), (3) fiscal reviews, and (4) routine monitoring which provides opportunities for training and technical assistance involving the Organizational Standards.

(1) The comprehensive triennial assessment process is designed to comply with § 678B(a)(1) of the CSBG Act, which requires that an “on-site review of each eligible entity must be conducted at least once during each 3-year period.” DOS issues a final report to the eligible entity’s Board of Directors and Chief Executive Officer/Executive Director within 60 days of the on-site review. Any area of compliance marked “not met” are identified on a Technical Assistance Plan (TAP). DOS staff partner with the staff of the eligible entity to address those areas identified on the TAP within the timeframe agreed upon.

(2) Annually, each eligible entity conducts a self-assessment of the Organizational Standards. This process is designed to comply with IM138, which requires that “the State CSBG Lead Agency is responsible for assessing the status of standards among all of the eligible entities annually and for reporting to OCS on the standards in the CSBG Annual Report”. DOS has opted to use the Organizational Standard Self-Assessment Tool (Annual Compliance Review of Organizational Standards – ACROS) created by the Community Action Partnership. Eligible entities must submit the self-assessment tool and supporting documents to DOS by March 31st. DOS performs a desk review to verify and analyze the documentation submitted by the eligible entity achieves compliance with meeting all of the Organizational Standards. Upon the conclusion of the review, DOS provides training and technical assistance to the eligible entity to address areas of compliance marked as “not met” by September 30th. DOS submits the required information as part of the CSBG Annual Report.

(3) Fiscal reviews primarily focus on Financial Operations and Oversight (category eight) of the Organizational Standards. The FFR conducts monitoring of the expenditures related to the CSBG funds and includes a general review of the overall fiscal integrity of the eligible entity.

(4) During monitoring reviews, DOS partners with each eligible entity that may have a Technical Assistance Plan (TAP) that is developed based on meeting the areas of compliance with standards that were marked “not met”. This provides DOS and the eligible entity with an opportunity to address any training and technical assistance needs. The goal of the TAP is to move the eligible entity toward compliance, strengthen organizational capacity, assess and mitigate risks, and share resources and best practices. Areas of training and technical assistance may include, but not limited to, Board Governance and Tripartite Compliance, organizational enhancement of policies and procedures, and/or fiscal management. Eligible entities that are unsuccessful in addressing “not met” areas of compliance may be issued a Quality Improvement Plan (see section 8.2 for additional information).

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

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

- 6.4a.** Provide the specific eligible entities the state will exempt from meeting organizational standards and provide a description and a justification for each exemption. Total Number of Exempt Entities: [Auto – calculated] *Note: this form will not auto-calculate, please enter the number of exempt entities: 1*

CSBG Eligible Entity	Description/Justification
PathStone Corporation	Based upon guidance provided by the Office of Community Service (on 4/20/2023), DOS has identified PathStone Corporation as a Limited Purpose Agency (LPA), a private nonprofit organization that has a statewide impact. PathStone Corporation provides workforce development, education and health services, community development, and housing state-wide to migrant and seasonal farmworkers. As encouraged by IM 138, PathStone has been monitored based on their contract deliverables and applicable Organizational Standards. DOS has deemed PathStone exempt from Organizational Standards 5.1. Due to the nature of the organizations board, PathStone is exempt from the tripartite structure. However, based on their bylaws, the board’s structure does include maximum participation of low-income representatives (of the migrant population).

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

- 6.5. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. [Insert a percentage] **Year One 60 %** **Year Two 60 %**

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

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

SECTION 7: State Use of Funds

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

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. [\[Check one\]](#)

- ☐ Historic
☒ Base + Formula
☐ Formula Alone
☐ Formula with Variables
☐ Hold Harmless + Formula
☐ Other [\[Narrative, 1500 characters\]](#)

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities. [\[Narrative, 4000 characters\]](#)

At the inception of the federal CSBG program, the State allocated federal CSBG funding to eligible entities throughout the State, using a base plus Formula methodology, as noted above. Due to the proportional share requirements applicable to the distribution of funds to eligible entities, the percentage of the 90 percent funds provided to each eligible entity is mandated to be the same from year to year. Therefore, the proportional allocation for each eligible entity has not changed.

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

☒ Yes ☐ No

Yes

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

Year One 90%

Year Two 90%

Planned CSBG 90 Percent Funds – Year One

CSBG Eligible Entity	Funding Amount (\$)
Albany County Opportunities, Inc.	\$277,695
Allegany County Community Opportunities and Rural Development, Inc.	\$249,559
Greater Opportunities for Broome and Chenango, Inc.	\$630,469
Cattaraugus Community Action, Inc.	\$254,627
Cayuga/Seneca Community Action Agency, Inc.	\$441,973
Chautauqua Opportunities, Inc.	\$254,627

CSBG Eligible Entity	Funding Amount (\$)
Economic Opportunity Program, Inc. of Chemung County	\$441,793
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	\$546,634
Columbia Opportunities, inc.	\$254,627
Cortland County Community Action program, Inc.	\$254,627
Delaware Opportunities, Inc.	\$254,627
Community Action Partnership for Dutchess County, Inc.	\$485,548
Community Action Organization of Western New York, Inc.	\$2,206,087
Adirondack Community Action Program, Inc.	\$254,627
Fulmont Community Action Programs, Inc.	\$382,870
Community Action of Greene County, Inc.	\$254,627
Community Action Planning Council of Jefferson County, Inc.	\$254,627
Lewis County Opportunities, Inc.	\$254,627
Livingston County Board of Supervisors (Community Initiatives Council)	\$249,559
Community Action Program for Madison County, Inc.	\$249,559
Action for a Better Community, Inc.	\$1,873,631
Economic Opportunity Commission of Nassau County, Inc.	\$2,477,466
Niagara Community Action Program, Inc.	\$370,068
NYC Department of Youth and Community Development	\$35,531,796
Mohawk Valley Community Action Agency, Inc.	\$696,418
People's Equal Action and Community Effort, Inc.	\$1,651,829
Regional Economic Community Action program, Inc.	\$584,295
Community Action of Orleans and Genesee, Inc.	\$441,793
Oswego County Opportunities, Inc.	\$249,559
Opportunities for Otsego, Inc.	\$254,627
PathStone Corporation	\$375,899
Commission on Economic Opportunity for the Greater Capital Region, Inc.	\$254,627
LifeWorks Community Action, Inc.	\$254,627
Schenectady Community Action program, Inc.	\$254,627

CSBG Eligible Entity	Funding Amount (\$)
Schoharie County Community Action Program, Inc.	\$254,627
Pro Action of Steuben and Yates, Inc.	\$441,793
St. Lawrence County Community Development Program, Inc.	\$254,627
Economic Opportunity Council of Suffolk, Inc.	\$1,386,241
Tioga Opportunities, Inc.	\$254,627
Tompkins Community Action, Inc.	\$254,627
Ulster County Community Action Committee, Inc.	\$509,254
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$382,870
Washington County Economic Opportunity Council, Inc.	\$254,627
Wayne County Community Action, Inc.	\$254,627
Westchester Community Opportunity Program, inc.	\$1,741,425
Wyoming County Community Action, Inc.	\$249,559
Yonkers Community Action Program, Inc.	\$502,867
Total (Auto-calculated)	\$ 60,469,242.00

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

Planned CSBG 90 Percent Funds – Year Two

CSBG Eligible Entity	Funding Amount (\$)
Albany County Opportunities, Inc.	\$277,695
Allegany County Community Opportunities and Rural Development, Inc.	\$249,559
Greater Opportunities for Broome and Chenango, Inc.	\$630,469
Cattaraugus Community Action, Inc.	\$254,627
Cayuga/Seneca Community Action Agency, Inc.	\$441,973
Chautauqua Opportunities, Inc.	\$254,627
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CSBG Eligible Entity	Funding Amount (\$)
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Community Action Organization of Western New York, Inc.	\$2,206,087
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Action for a Better Community, Inc.	\$1,873,631
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Mohawk Valley Community Action Agency, Inc.	\$696,418
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LifeWorks Community Action, Inc.	\$254,627
Schenectady Community Action program, Inc.	\$254,627
Schoharie County Community Action Program, Inc.	\$254,627
Pro Action of Steuben and Yates, Inc.	\$441,793
St. Lawrence County Community Development Program, Inc.	\$254,627
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Tioga Opportunities, Inc.	\$254,627

CSBG Eligible Entity	Funding Amount (\$)
Tompkins Community Action, Inc.	\$254,627
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Washington County Economic Opportunity Council, Inc.	\$254,627
Wayne County Community Action, Inc.	\$254,627
Westchester Community Opportunity Program, inc.	\$1,741,425
Wyoming County Community Action, Inc.	\$249,559
Yonkers Community Action Program, Inc.	\$502,867
Total (Auto-calculated)	\$ 60,469,242.00

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

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

7.3. Distribution Process: Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take. Please include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).
[Narrative, 4000 characters]

(1) Contract Development Process: The State uses a multiyear contract as a mechanism to provide funding to each CSBG eligible entity. Prior to the beginning of each multiyear contract cycle, the Community Action Plan and budget forms are distributed to all CSBG eligible entities to begin development of the contract package (60 days). At the start of quarter four (of the Federal Fiscal Year), the remaining documents comprising the contract package are sent to the CSBG eligible entities to complete. The full package of contracting documents is due three weeks later (21 days). When contracts are received by the Department of State, they are distributed to the assigned DOS staff (CSBG Program Analysts and Fiscal Representatives) for review. NOTE: The review of contract documents may be delayed while DOS works with CSBG eligible entities to develop a contract that is approvable.

(2) Approval Process: State Legislative approval for the distribution of CSBG funding to be received by the State during the upcoming federal fiscal year is generally granted by the passage of the State Budget in April. CSBG funding to eligible entities is distributed pursuant to contracts entered between DOS and each individual CSBG eligible entity. The contracting process requires approval from the DOS, the New York State Office of the Attorney General, and the New York State Office of the State Comptroller. The DOS Division of Community Services provides contract documents, including budgets and Community Action Plans, to all CSBG eligible entities for negotiation and accurate

completion. Once a completed contract is received by DOS, the contract package is reviewed for approval and processing by the Department's Bureau of Fiscal Management (5-10 days). In some cases, DOS Legal will review issues with a Vendor Responsibility Questionnaire (1 day). Once approved by DOS, the contract package is provided to the New York State Office of the Attorney General for approval (15 days), and the New York State Office of the State Comptroller for final approval (15 days).

(3) Making Funds Available Process: Funding availability is based on the level of CSBG funding provided in the Federal Notice of Grant Award (NGA) to the State. Initial payments of CSBG funds are generally made available to eligible entities within one month of the October 1st contract start date or upon receipt of federal funding. Upon receipt of the NGA and completion of the contracting and approval process described in the State's response above, CSBG funding is generally made available to eligible entities using an advance payment methodology, which provides four payments per year to each eligible entity in 25 percent increments. The first 25 percent payment is made upon final contract approval and the State's receipt of Federal CSBG funding. Subsequent payments of 25 percent are processed throughout the contract year when the eligible entity has submitted financial reports documenting expenditures at specific minimum levels (20%, 45%, and 70%), along with Program Progress Reports (PPR) and narratives showing measurable progress toward achieving contractually established service provision goals and other compliance requirements.

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

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

An advance payment is made available to the CSBG eligible entities based upon approval of their contract and receipt of federal funding. Consistent with IM 116 and State procedures, when DOS identifies an eligible entity with substantial risks it has implemented a reimbursement methodology.

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

☒ Yes ☐ No Yes

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

[Narrative, 4000 characters]

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

- 7.5. Distribution of Funds Performance Management Adjustment:** Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail. [\[Narrative, 4000 characters\]](#)

The State will continue to research methods to further modernize the contracting process. Currently the State is utilizing Microsoft SharePoint to internally review contract documents to expedite the finalization of corrections and/or revisions as needed to move the contract forward. DOS has also incorporated the use of video collaboration software (Cisco WebEx and Microsoft Teams) to improve the transparency of the review process with eligible entities. The State continues to explore methods such as an electronic database system, to make this a fully electronically integrated process, for both the eligible entity and the State.

It should be noted that payments to eligible entities are dependent upon the receipt and processing of a Notice of Grant Award from the federal government and that establishing the final budget for all new contracts requires receiving a final allocation from the federal government. These variables, including the satisfaction of contractual requirements, can impact contract and grant administration timeframes.

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

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

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

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

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

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

Year One 31 **Year Two** 31 **[Numeric response, 0.00 – 99.99]**

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

Year One 22 **Year Two** 22 **[Numeric response, 0.00 – 99.99]**

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

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

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

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

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

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

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

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

Use of Remainder/Discretionary Funds – Year One

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/Technical Assistance to eligible entities	\$412,500	These planned services/activities will be described in State Plan Item 8.1 [Read-Only]
7.9b. Coordination of state-operated programs and/or local programs	\$0	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9c. Statewide coordination and communication among eligible entities	\$37,500	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	\$0	
7.9e. Asset-building programs (Briefly describe under Column 4)	\$1,200,000	Provide Financial Literacy training and activities to low-income individuals and families
7.9f. Innovation programs/activities by eligible entities or other neighborhood groups (Briefly describe under Column 4)	\$1,225,860	Activities and programs to address the following: low-income immigrant/migrant services, mental health, substance abuse, workforce

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
		development, reentry, Fatherhood Initiative, family enrichment, community engagement, and Social Equity
7.9g. State Charity tax credits (Briefly describe under Column 4)	\$0	
7.9h. Other activities (Specify these other activities under Column 4)	\$418,982	Native American Tribes: Are funded up to .5% of total funds. Disaster funding in accordance with IM #154
Totals (Auto-Calculated)	\$ 3,294,842.00	

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

Use of Remainder/Discretionary Funds – Year Two

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/Technical Assistance to eligible entities	\$412,500	These planned services/activities will be described in State Plan Item 8.1 [Read-Only]
7.9b. Coordination of state-operated programs and/or local programs	\$0	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9c. Statewide coordination and communication among eligible entities	\$37,500	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read-Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	\$0	
7.9e. Asset-building programs (Briefly describe under Column 4)	\$1,200,000	Provide Financial Literacy training and activities to low-income individuals and families
7.9f. Innovation programs/activities by eligible entities or other neighborhood groups (Briefly describe under Column 4)	\$1,325,860	Activities and programs to address the following: low-income immigrant/migrant services, mental health, substance abuse, workforce development, reentry, Fatherhood Initiative, family enrichment, community engagement, and Social Equity
7.9g. State Charity tax credits (Briefly describe under Column 4)	\$0	
7.9h. Other activities (Specify these other activities under Column 4)	\$318,982	Native American Tribes: Are funded up to .5% of total funds. Disaster funding in accordance with IM #154
Totals (Auto-Calculated)	\$ 3,294,842.00	

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

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

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

- ☐ The State Directly Carries Out All Activities (No Partnerships)
- ☐ The State Partially Carries Out Some Activities
- ☒ CSBG Eligible Entities (if checked, include the expected number of CSBG eligible entities to receive funds) [\[Numeric response, 0 – 100\]](#) [Click or tap here to enter text.](#)
- ☒ Other Community-based Organizations
- ☒ State Community Action Association
- ☒ Regional CSBG Technical Assistance Provider(s)
- ☒ National Technical Assistance Provider(s)
- ☐ Individual Consultant(s)
- ☒ Tribes and Tribal Organizations
- ☒ Other [\[Narrative, 2500 characters\]](#)

Neighborhood and Faith-Based community organizations

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

7.11. Use of Remainder/Discretionary Funds Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past State Plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [\[Narrative, 4000 characters\]](#)

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

DOS will provide direct trainings and technical assistance specific to state contracting processes and requirements.

Comments from the eligible entities provided at the regional meetings and the NYSCAA Annual Conference, recommended and supported NYSCAA in continuing to receive funds to provide training and technical assistance to focus on ROMA training, National Organizational Standards, and best practices for the network. Additionally, through the NYSCAA State Plan workgroup, DOS received recommendation for discretionary funds to support innovative pilots, best practices, and evidence-based programming. Areas of focus identified were low-income immigrant/migrant services, mental health, substance

abuse, workforce development, reentry, Fatherhood Initiative, family enrichment, community engagement, and Social Equity.

Based on the support from HHS/OCS IM 151 and the feedback noted above, DOS will make the use of discretionary funds available to assist eligible entities to address meeting areas of compliance and the organizational standards, and support improvements in areas such as financial management and oversight, board governance, and overall agency capacity to mitigate risk.

Discretionary funds may also be used to allow eligible entities to enhance agency infrastructure capacity in the delivery of services, in accordance with applicable federal policies, Uniform Guidance, and State procedures.

SECTION 8: State Training and Technical Assistance

8.1. Training and Technical Assistance Plan: Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. The T/TA plan should include all planned CSBG-funded T/TA activities funded through the administrative or remainder/discretionary funds of the CSBG award (as reported in Section 7). The CSBG T/TA plan should include training and technical assistance conducted directly by the state or through partnerships (as specified in 8.3). Add a row for each activity: indicate the timeframe; whether it is training, technical assistance, or both; and the topic.

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

Training and Technical Assistance – Year One

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Quarters	Both	Fiscal	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Governance/Tripartite Boards	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Organizational Standards - General	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Organizational Standards - for eligible entities with umet TAPs or QIPs	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Reporting	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	ROMA	If other is selected in column 3, describe in this column [Narrative, 500 characters]

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Quarters	Both	Community Assessment	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Strategic Planning	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Monitoring	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Communication	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Technology	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Other	If other is selected in column 3, describe in this column [Narrative, 500 characters] Community Action Communication and Coordination, Volunteer Coordination, Shared services, CAA Mentoring, Risk Assessment Trauma informed care Uniform Guidance ROMA Consumer Protection, financial literacy, mental health and behavioral health, anti-poverty initiatives

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

Training and Technical Assistance – Year Two

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Quarters	Both	Fiscal	If other is selected in column 3, describe in this column

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
			[Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Governance/Tripartite Boards	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Organizational Standards - General	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Organizational Standards - for eligible entities with umet TAPs or QIPs	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Reporting	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	ROMA	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Community Assessment	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Strategic Planning	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Monitoring	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Communication	If other is selected in column 3, describe in this column [Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Technology	If other is selected in column 3, describe in this column

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
			[Narrative, 500 characters]
Ongoing/Multiple Quarters	Both	Other	<p>If other is selected in column 3, describe in this column</p> <p>[Narrative, 500 characters]</p> <p>Community Action Communication and Coordination, Volunteer Coordination, Shared services, CAA Mentoring, Risk Assessment Trauma informed care Uniform Guidance ROMA Consumer Protection, financial literacy, mental health and behavioral health, anti-poverty initiatives</p>

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

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

Year One \$412,500 **Year Two** \$412,500

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]

DOS collaborates with NYSCAA to plan and deliver training and technical assistance to the NYS CSBG network. DOS provides funds to NYSCAA to assist with capacity building and supporting the network with training and technical assistance. The state office and state association will continue to hold standing meetings to include agenda items specific to planning and discussing the needs of the network. Needs of the network are often determined informally, by general conversational topics raised at Executive Director meetings, and formally through DOS monitoring, network surveys, and at the request of eligible entities. Through these informal and formal assessments, DOS and NYSCAA develop a comprehensive workplan geared to deliver training and technical assistance utilizing Regional Meetings, NYSCAA’s ELearning platform, NYSCAA’s Annual Professional Development Conference, and individualized webinars and trainings as identified.

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

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

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

In accordance with IM138, DOS partners with the eligible entity to address “not met” organizational standards through the creation of a Technical Assistance Plan (TAP), hosted within the database. DOS and the eligible entity identify recommended action and a reasonable timeframe for completion in addressing the “not met” organizational standards. DOS works with the eligible entity to verify progress made and identify any further TTA needs.

If appropriate, the State may initiate action in accordance with section 678C of the CSBG Act, including issuance of a Notice of Deficiency and the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress.

The failure of an eligible entity to meet multiple standards, or in cases where one or more deficiencies (including but not limited to, contractual non-compliance, financial irresponsibility, failure to adequately provide services, conversion, fraud, corruption or abuse) may reflect deeper organizational challenges and risk. In those cases, DOS will determine whether it may be necessary to take additional actions, including initiating action to reduce or terminate funding, in accordance with section 678C of the CSBG Act (see also CSBG IM 116).

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

- ☐ All T/TA is conducted by the state
- ☒ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) 47
- ☐ 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. CSBG-Funded T/TA Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [\[Narrative, 2500 Characters\]](#)

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

DOS has made a concerted effort to address the training and technical assistance needs of the eligible entities.

Historically, DOS has partnered with NYSCAA to assess and evaluate and needs of the network. Through the partnership, in March 2023, NYSCAA disseminated a Training and Technical Assistance needs survey to the eligible entities identifying 5 categories: (1) Developing & Implementing Best Practices, (2) Financial Operations & Oversight, (3) Human Resources, (4) Collection, Analysis & Storage of Data, and (5) Organizational Capacity. Based upon the feedback in the survey, DOS will strategize with NYSCAA to identify and schedule webinars and trainings that address the reference categories.

During sessions with the NYSCAA Monitoring Workgroup, the workgroup often referenced the need for more training and technical assistance as it relates to meeting areas of compliance within the DOS monitoring framework. The network is seeking additional support with the recruitment of board members and developing policies and/or processes regarding the CSBG budget and workplan. DOS acknowledged this direct feedback by incorporating a more structured approach in the delivery of TTA as it relates to monitoring.

Additionally, DOS holds individual meetings, with the Executive Directors and senior leadership staff of the eligible entities, to identify any further assistance needed from the State office. DOS continues to explore training and technical assistance opportunities for eligible entities based on feedback from NYSCAA Workgroups/Regional Meetings, individual Executive Director/CAA network calls, and Advisory Council meetings.

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. [\[Check all that apply from the list below and provide a Narrative, 4000 characters\]](#)

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
- ☐ Head Start State Collaboration offices
- ☒ State public health office
- ☐ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☒ State budget office
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ State child welfare office
- ☐ State housing office
- ☒ Other

In addition to the above, DOS continues to partner with other state offices and agencies to increase access to CSBG services: (1) Office for New Americans, (2) Consumer Protection, (3) the Council of Children and Families, (4) Connect ALL, (5) New York State Energy Research & Development, and (6) Housing & Community Renewal.

DOS aims to foster collaborations and lasting linkages among State agencies, as well as providers of such services. Increasing collaboration will allow for the more effective deployment of resources, expanding access for low-income individuals and communities.

- 9.2. State Linkages and Coordination at the Local Level:** Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). [\[Narrative, 4000 characters\]](#)

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.

DOS seeks to expand regularly scheduled meetings with the State government stakeholder agencies that also provide program funding to CAAs. DOS will also continue to work with the CSBG Advisory Council, NYSCAA, and members of the CSBG network to provide presentations and opportunities for continued collaboration with other state agencies. For example, the Division of Consumer Protection provided a presentation on Preventing Identity Theft and Scams, and the Department of Labor provided a presentation on Current Challenges of the Workforce.

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination: Describe how the state will assure that eligible entities will partner and collaborate with public and private sector organizations to assure the effective delivery and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [\[Narrative, 4000 characters\]](#)

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

Eligible entities develop linkages with local entities and institutions to enhance or expand services. DOS requires grantees to identify their partners and the scope of their affiliations in the annual refunding package. The partnerships and their associated outcomes are included in the Community Action Plan with the corresponding program. Partnerships are formed with other service providers, local governments, educational institutions, faith-based organizations, and businesses. Grantees are encouraged to establish formal MOUs with their partners and periodically meet to discuss the status of the partnership or renew/update the MOU.

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. [\[Narrative, 4000 characters\]](#)

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

The CSBG Community Action Plan requires eligible entities to identify partnerships that address a specific needs and results to be achieved between the CAA and the partner entity. Many CAAs establish formal and informal agreements with organizations in their area to share information, coordinate referrals, and meet on a regular basis to organize local and countywide services.

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 Yes

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. [\[Narrative, 4000 characters\]](#)

DOS works with the New York State Department of Labor (the lead agency in the development of the Combined Plan) and other involved State agencies to assure maximum coordination of employment and training activities. The collaboration and linkages among State agencies and providers of such services, including the CSBG network, through memorandums of understanding (MOUs) between CAAs and Local Workforce Development Boards (LWDBs), and collaboration with Regional Economic Development Councils (REDCs). DOS has also participated on LWDB Executive Director calls to foster the relationships between the CAAs and LWDBs.

DOS participates on the WIOA Interagency Team to ensure maximum coordination of employment and training activities, and to foster collaboration and linkages among State agencies and providers of these activities. This includes the CSBG network, which is comprised of local Community Action Agencies (CAAs) that have MOUs with LWDBs and collaborate with the REDCs.

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. [\[Narrative, 4000 characters\]](#)

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 Program) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). [\[Narrative, 4000 characters\]](#)

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

The LIHEAP program is administered through the NYS Office of Temporary and Disability Assistance (OTDA) who distributes funds to local Departments of Social Services (or their designees) and twenty-seven CAAs.

- 9.6. Faith-based Organizations, Charitable Groups, and Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. [\[Narrative, 4000 characters\]](#)

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

At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities boards of directors and often include members and officials of law enforcement, faith-based organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and Periodic Program Report (PPR) outline the scope of these partnerships. Over the next two years, the State will work to strengthen the relationship between faith-based community organizations and the statewide network, through additional language which encourages participation in future Request for Applications (RFAs).

- 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. [\[Narrative, 4000 characters\]](#)

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

At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities' boards of directors and often include members and officials of law enforcement, faith-based organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual Community Action Plan, and Periodic Program Report (PPR) outline the scope of these partnerships.

- 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. [\[Narrative, 4000 characters\]](#)

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

DOS funds NYSCAA to carry out this function. NYSCAA organizes conferences, round tables discussions, workgroup, surveys, webinars, and other educational forums on matters of concern to eligible entities throughout the State. Representatives of the DOS

and NYSCAA meet regularly to review areas of concerns, to assess and evaluate agency needs, and improve coordination among entities cross region.

- 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

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	<ul style="list-style-type: none"> As needed 	<ul style="list-style-type: none"> Public Notice Newsletters Meeting/presentations Email website 	
State Plan Development	<ul style="list-style-type: none"> As needed 	<ul style="list-style-type: none"> Meetings/Presentation Email newsletter 	
Organizational Standards Progress	<ul style="list-style-type: none"> Semi-Annually 	<ul style="list-style-type: none"> Meetings/Presentation newsletter 	
State Accountability Measures Progress	Annually	<ul style="list-style-type: none"> Meetings/Presentation newsletter– this is part of the State Plan 	
Community Needs Assessments/Community Action Plans	Annually	<ul style="list-style-type: none"> Contracting process (Community Action Plans) 	
State Monitoring Plans and Policies	Biennial	<ul style="list-style-type: none"> Website Newsletter email 	
Training and Technical Assistance (T/TA) Plans	Annual	<ul style="list-style-type: none"> Individual Monitoring Plan 	
ROMA and Performance Management	Annual	<ul style="list-style-type: none"> Other 	Annual & Triennial assessments
State Interagency Coordination	As needed	<ul style="list-style-type: none"> Meeting /Presentations 	
CSBG Legislative/Programmatic Updates	As needed	<ul style="list-style-type: none"> Meetings/Presentations Newsletter Email public notice website 	
Tripartite Board Requirements	As needed	<ul style="list-style-type: none"> Other 	Ongoing Monitoring

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

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. [Narrative, 4000 characters]

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.

DOS utilizes email blasts, monthly newsletters, training presentations and webinars to provide information to the CAA’s and NYSCAA regarding performance on State Accountability Measures. DOS provides individualized information, as needed, during routine monitoring visits and meetings with Executive Directors.

9.11. Communication Plan Performance Management Adjustment: Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [Narrative, 4000 characters]

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

Based on feedback received during the regional meetings, Executive Director individual meetings, as well as comments to the newsletters, and interactions with the CSBG Advisory Council, the eligible entities are generally pleased with the State’s increased level of communication.

SECTION 10: Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

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

Monitoring Schedule – Year One

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Albany County Opportunity, Inc.	Full On-Site	Onsite	FY1 Q1	11/4/2020	11/6/2020	
Allegany County Community Opportunities and Rural Development, Inc.	Full On-Site	Onsite	FY1 Q3	5/25/2021	5/28/2021	
Greater Opportunities for Broome and Chenango, Inc.	Other	Desk Review	FY1 Q2	10/18/2022	10/20/2022	Annual Compliance Review of Organizational Standards (ACROS)
Cattaraugus Community Action, Inc.	Full On-Site	Onsite	FY1 Q3	6/23/2021	6/24/2021	
Cayuga/Seneca Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	11/30/2021	12/2/202021	Annual Compliance Review of Organizational

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
						Standards (ACROS)
Chautauqua Opportunities, Inc.	Full On-Site	Onsite	FY1 Q3	6/2/2021	6/3/2021	
Economic Opportunity Program, Inc. of Chemung County	Other	Desk Review	FY1 Q2	11/15/2022	11/17/2022	Annual Compliance Review of Organizational Standards (ACROS)
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Other	Desk Review	FY1 Q2	6/14/2022	6/16/2022	Annual Compliance Review of Organizational Standards (ACROS)
Columbia Opportunities, Inc.	Other	Desk Review	FY1 Q2	1/25/2022	1/27/2022	Annual Compliance Review of Organizational Standards (ACROS)
Cortland County Community Action Program, Inc.	Other	Desk Review	FY1 Q2	7/12/2022	7/14/2022	Annual Compliance Review of Organizational Standards (ACROS)
Delaware Opportunities, Inc.	Other	Desk Review	FY1 Q2	4/26/2022	4/28/2022	Annual Compliance Review of Organizational Standards (ACROS)
Community Action Partnership of Dutchess County, Inc.	Other	Desk Review	FY1 Q2	12/6/2022	12/8/2022	Annual Compliance Review of Organizational

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
						Standards (ACROS)
Community Action Organization of Western New York, Inc.	Other	Desk Review	FY1 Q2	1/24/2023	1/25/2023	Annual Compliance Review of Organizational Standards (ACROS)
Adirondack Community Action Program, Inc.	Full On-Site	Onsite	FY1 Q2	3/30/2021	4/1/2021	
Fulmont Community Action Agency, Inc.	Full On-Site	Onsite	FY1 Q2	3/8/2021	3/10/2021	
Community Action of Greene County, Inc.	Other	Desk Review	FY1 Q2	10/5/2021	10/5/2021	Annual Compliance Review of Organizational Standards (ACROS)
Community Action planning Council of Jefferson County, Inc.	Other	Desk Review	FY1 Q2	5/3/2022	5/5/2022	Annual Compliance Review of Organizational Standards (ACROS)
Lewis County Opportunities, Inc.	Full On-Site	Onsite	FY1 Q2	2/9/2021	2/11/2021	
Livingston County Board of Supervisors (Community Initiatives Council)	Other	Desk Review	FY1 Q2	7/26/2022	7/28/2022	Annual Compliance Review of Organizational Standards (ACROS)
Community Action Program of	Full On-Site	Onsite	FY1 Q1	10/13/2020	10/15/2020	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Madison County, Inc.						
Action for a Better Community, Inc.	Other	Desk Review	FY1 Q2	5/9/2023	5/11/2023	Annual Compliance Review of Organizational Standards (ACROS)
Economic Opportunity Commission of Nassau County, Inc.	Other	Desk Review	FY1 Q2	8/28/2023	8/30/2023	Annual Compliance Review of Organizational Standards (ACROS)
Niagara Community Action Program, Inc.	Other	Desk Review	FY1 Q2	3/22/2022	3/24/2022	Annual Compliance Review of Organizational Standards (ACROS)
NYC Department of Youth and Community Development	Other	Desk Review	FY1 Q2	9/15/2023	9/17/2023	Annual Compliance Review of Organizational Standards (ACROS)
Mohawk Valley Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	10/24/2022	10/26/2022	Annual Compliance Review of Organizational Standards (ACROS)
Peoples Equal Action and Community Effort, Inc.	Other	Desk Review	FY1 Q2	7/25/2023	7/27/2023	Annual Compliance Review of Organizational Standards (ACROS)
Regional Economic	Other	Desk Review	FY1 Q2	7/11/2023	7/13/2023	Annual Compliance

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Community Action Program, Inc.						Review of Organizational Standards (ACROS)
Community Action of Orleans and Genesee, Inc.	Other	Desk Review	FY1 Q2	4/5/2022	4/7/2022	Annual Compliance Review of Organizational Standards (ACROS)
Oswego County Opportunities, Inc.	Other	Desk Review	FY1 Q2	7/5/2022	7/7/2022	Annual Compliance Review of Organizational Standards (ACROS)
Opportunities for Otsego, Inc.	Full On-Site	Onsite	FY1 Q2	2/17/2021	2/19/2021	
PathStone Corporation	Other	Desk Review	FY1 Q2	2/1/2022	2/3/2022	Modified Annual Compliance Review of Organizational Standards (ACROS) -see section 6.4a
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Other	Desk Review	FY1 Q2	11/7/2022	11/9/2022	Annual Compliance Review of Organizational Standards (ACROS)
LifeWorks Community Action, Inc.	Full On-Site	Onsite	FY1 Q4	8/10/2021	8/12/2021	
Schenectady Community Action Program, Inc.	Other	Desk Review	FY1 Q2	6/13/2023	6/15/2023	Annual Compliance Review of Organizational

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
						Standards (ACROS)
Schoharie County Community Action Program, Inc.	Other	Desk Review	FY1 Q2	2/15/2022	2/17/2022	Annual Compliance Review of Organizational Standards (ACROS)
Pro Action of Steuben and Yates, Inc.	Full On-Site	Onsite	FY1 Q3	5/22/2021	5/24/2021	
St. Lawrence County Community Development Program, Inc.	Full On-Site	Onsite	FY1 Q2	3/2/2021	3/4/2021	
Economic Opportunity Council of Suffolk, Inc.	Full On-Site	Onsite	FY1 Q3	4/13/2021	4/15/2021	
Tioga Opportunities, Inc.	Other	Desk Review	FY1 Q2	3/21/2023	3/23/2023	Annual Compliance Review of Organizational Standards (ACROS)
Tompkins Community Action, Inc.	Other	Desk Review	FY1 Q2	7/19/2022	7/21/2022	Annual Compliance Review of Organizational Standards (ACROS)
Ulster County Community Action Committee, Inc.	Other	Desk Review	FY1 Q2	10/4/2022	10/6/2022	Annual Compliance Review of Organizational Standards (ACROS)
Warren-Hamilton Counties	Other	Desk Review	FY1 Q2	4/5/2022	4/7/2022	Annual Compliance Review of

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Action Committee for Economic Opportunity, Inc.						Organizational Standards (ACROS)
Washington County Economic Opportunity Council, Inc.	Full On-Site	Onsite	FY1 Q4	5/3/2021	5/5/2021	
Wayne County Action Program, Inc.	Other	Desk Review	FY1 Q2	8/23/2022	8/25/2022	Annual Compliance Review of Organizational Standards (ACROS)
Westchester Community Opportunity Program, Inc.	Other	Desk Review	FY1 Q2	1/24/2023	1/26/2023	Annual Compliance Review of Organizational Standards (ACROS)
Wyoming County Community Action, Inc.	Full On-Site	Onsite	FY1 Q2	3/30/2021	4/1/2021	
Yonkers Community Action Program, Inc.	Other	Desk Review	FY1 Q2	5/23/2023	5/25/2023	Annual Compliance Review of Organizational Standards (ACROS)

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

Monitoring Schedule – Year Two

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Albany County Opportunity, Inc.	Other	Desk Review	FY1 Q2	11/4/2020	11/6/2020	Annual Compliance Review of Organizational Standards (ACROS)
Allegany County Community Opportunities and Rural Development, Inc.	Other	Desk Review	FY1 Q2	5/25/2021	5/28/2021	Annual Compliance Review of Organizational Standards (ACROS)
Greater Opportunities for Broome and Chenango, Inc.	Other	Desk Review	FY1 Q2	10/18/2022	10/20/2022	Annual Compliance Review of Organizational Standards (ACROS)
Cattaraugus Community Action, Inc.	Other	Desk Review	FY1 Q2	6/23/2021	6/24/2021	Annual Compliance Review of Organizational Standards (ACROS)
Cayuga/Seneca Community Action Agency, Inc.	Full On-Site	Onsite	FY1 Q1	11/30/2021	12/1/2021	
Chautauqua Opportunities, Inc.	Other	Desk Review	FY1 Q2	6/2/2021	6/3/2021	Annual Compliance Review of Organizational Standards (ACROS)
Economic Opportunity Program, Inc. of Chemung County	Other	Desk Review	FY1 Q2	11/15/2022	11/17/2022	Annual Compliance Review of Organizational Standards (ACROS)

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Full On-Site	Onsite	FY1 Q3	6/14/2022	6/16/2022	
Columbia Opportunities, Inc.	Full On-Site	Onsite	FY1 Q2	1/25/2022	1/27/2022	
Cortland County Community Action Program, Inc.	Full On-Site	Onsite	FY1 Q4	7/12/2022	7/14/2022	
Delaware Opportunities, Inc.	Full On-Site	Onsite	FY1 Q3	4/26/2022	4/28/2022	
Community Action Partnership of Dutchess County, Inc.	Other	Desk Review	FY1 Q2	12/6/2022	12/8/2022	Annual Compliance Review of Organizational Standards (ACROS)
Community Action Organization of Western New York, Inc.	Other	Desk Review	FY1 Q2	1/24/2023	1/25/2023	Annual Compliance Review of Organizational Standards (ACROS)
Adirondack Community Action Program, Inc.	Other	Desk Review	FY1 Q2	3/30/2021	4/1/2021	Annual Compliance Review of Organizational Standards (ACROS)
Fulmont Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	3/8/2021	3/10/2021	Annual Compliance Review of Organizational Standards (ACROS)

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Community Action of Greene County, Inc.	Full On-Site	Onsite	FY1 Q1	10/5/2021	10/7/2021	
Community Action planning Council of Jefferson County, Inc.	Full On-Site	Onsite	FY1 Q3	5/3/2022	5/5/2022	
Lewis County Opportunities, Inc.	Other	Desk Review	FY1 Q2	2/9/2021	2/11/2021	Annual Compliance Review of Organizational Standards (ACROS)
Livingston County Board of Supervisors (Community Initiatives Council)	Full On-Site	Onsite	FY1 Q4	7/26/2022	7/28/2022	
Community Action Program of Madison County, Inc.	Other	Desk Review	FY1 Q2	10/13/2020	10/15/202	Annual Compliance Review of Organizational Standards (ACROS)
Action for a Better Community, Inc.	Other	Desk Review	FY1 Q2	5/9/2023	5/11/2023	Annual Compliance Review of Organizational Standards (ACROS)
Economic Opportunity Commission of Nassau County, Inc.	Other	Desk Review	FY1 Q2	8/28/2023	8/30/2023	Annual Compliance Review of Organizational Standards (ACROS)
Niagara Community	Full On-Site	Onsite	FY1 Q2	3/22/2022	3/24/2022	

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Action Program, Inc.						
NYC Department of Youth and Community Development	Other	Desk Review	FY1 Q2	9/15/2023	9/17/2023	Annual Compliance Review of Organizational Standards (ACROS)
Mohawk Valley Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	10/24/2022	10/26/2022	Annual Compliance Review of Organizational Standards (ACROS)
Peoples Equal Action and Community Effort, Inc.	Other	Desk Review	FY1 Q2	7/25/2023	7/27/2023	Annual Compliance Review of Organizational Standards (ACROS)
Regional Economic Community Action Program, Inc.	Other	Desk Review	FY1 Q2	7/11/2023	7/13/2023	Annual Compliance Review of Organizational Standards (ACROS)
Community Action of Orleans and Genesee, Inc.	Full On-Site	Onsite	FY1 Q3	4/5/2022	4/7/2022	
Oswego County Opportunities, Inc.	Full On-Site	Onsite	FY1 Q4	7/5/2022	7/7/2022	
Opportunities for Otsego, Inc.	Other	Desk Review	FY1 Q2	2/17/2021	2/19/2021	Annual Compliance Review of Organizational Standards (ACROS)

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
PathStone Corporation	Full On-Site	Onsite	FY1 Q2	2/1/2022	2/3/2022	
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Other	Desk Review	FY1 Q2	11/7/202	11/9/2022	Annual Compliance Review of Organizational Standards (ACROS)
LifeWorks Community Action, Inc.	Other	Desk Review	FY1 Q2	8/10/2021	8/12/2021	Annual Compliance Review of Organizational Standards (ACROS)
Schenectady Community Action Program, Inc.	Other	Desk Review	FY1 Q2	6/13/2023	6/15/2023	Annual Compliance Review of Organizational Standards (ACROS)
Schoharie County Community Action Program, Inc.	Full On-Site	Onsite	FY1 Q2	2/15/2022	2/17/2022	
Pro Action of Steuben and Yates, Inc.	Other	Desk Review	FY1 Q2	5/22/2021	5/24/2021	Annual Compliance Review of Organizational Standards (ACROS)
St. Lawrence County Community Development Program, Inc.	Other	Desk Review	FY1 Q2	3/2/2021	3/4/2021	Annual Compliance Review of Organizational Standards (ACROS)
Economic Opportunity Council of Suffolk, Inc.	Other	Desk Review	FY1 Q2	4/13/2021	4/15/2021	Annual Compliance Review of

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
						Organizational Standards (ACROS)
Tioga Opportunities, Inc.	Other	Desk Review	FY1 Q2	3/21/2023	3/23/2023	Annual Compliance Review of Organizational Standards (ACROS)
Tompkins Community Action, Inc.	Full On-Site	Onsite	FY1 Q4	7/19/2022	7/21/2022	
Ulster County Community Action Committee, Inc.	Other	Desk Review	FY1 Q2	10/4/2022	10/6/2022	Annual Compliance Review of Organizational Standards (ACROS)
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Full On-Site	Onsite	FY1 Q3	4/5/2022	4/7/2022	
Washington County Economic Opportunity Council, Inc.	Other	Desk Review	FY1 Q2	5/3/2021	5/5/2021	Annual Compliance Review of Organizational Standards (ACROS)
Wayne County Action Program, Inc.	Full On-Site	Onsite	FY1 Q4	8/23/2022	8/25/2022	
Westchester Community Opportunity Program, Inc.	Other	Desk Review	FY1 Q2	1/24/2023	1/26/2023	Annual Compliance Review of Organizational Standards (ACROS)

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Wyoming County Community Action, Inc.	Other	Desk Review	FY1 Q2	3/30/2021	4/1/2021	Annual Compliance Review of Organizational Standards (ACROS)
Yonkers Community Action Program, Inc.	Other	Desk Review	FY1 Q2	5/23/2023	5/25/2023	Annual Compliance Review of Organizational Standards (ACROS)

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

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

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

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

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. [\[Attach a document or add a link\]](#)

Click or tap here to enter text.

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?

[\[Insert a number from 1 – 100\]](#)

60

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

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

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

10.4a. Closing Findings Procedures: If no, describe state procedures for addressing eligible entity findings/deficiencies and the documenting closure of findings. [\[Narrative, 2500 characters\]](#)

- 10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. [\[Numeric Response, 0 – 100\]](#) 1

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

- 10.6. Reporting of QIPs:** Describe the state’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP? [\[Narrative, 4000 characters\]](#)

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

DOS provides notice to its assigned OCS Program Specialist, within 30 days of accepting a proposed QIP from an eligible entity. DOS provides notice/progress to OCS Program Specialist within 30 calendar days either on CSBG State Quarterly Calls or as needed.

- 10.7. Assurance on Funding Reduction or Termination:** The state assures that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. ☐ Yes ☐ No Yes

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

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

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

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

[New York Executive Law section 159-M - Designation and Redesignation of Eligible Entities in Unserved Areas \(public.law\)](#)

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. [\[Narrative, 4000 characters\]](#)

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

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

[New York Executive Law section 159-L - Decertification and Reduction of Entity Shares; Part 700 of Title 19 of the New York Compilation of Codes, Rules and Regulations.](#)

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. [Narrative, 4000 characters]

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

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

[New York Executive Law section 159-M - Designation and Redesignation of Eligible Entities in Unserved Areas](#)

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. [Narrative, 4000 characters]

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, 4000 characters]

The New York State Guide to Financial Operations acts as a reference source for statewide accounting policies, procedures, and rules of the Office of the State Comptroller (OSC). The NYS Statewide Financial System (SFS) segregates the CSBG expenditure accounts and

cash fund from all other NYS accounts and funds. This enables the SF-425 Form (Federal Financial Report) preparer to isolate CSBG expenditures and respective drawdowns not only by the grant but also by award year. The financial system incorporates expenditure procedures that require Department of State supervisory approval as well as OSC approval. All expenditures are supported by an invoice or internal document and a procurement record when necessary. Expenditures at the sub-grantee level are monitored closely by DOS fiscal representatives and program analysts through desk and on-site reviews. This includes review of reported expenditures traced from the submitted financial report to the sub-grantee accounting records and supporting documents. These reviews are conducted under the guidance of and in accordance with applicable federal policies, Uniform Guidance, and State procedures.

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. [\[Narrative, 4000 characters\]](#)

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

Audit reports are reviewed for compliance with current Uniform Guidance by DOS fiscal staff. Additional information regarding CSBG related findings or expenditure reconciliation is obtained, if necessary, to complete the review. The review package is forwarded to a supervisor for final review. A management decision letter is then generated stating acceptance of the audit report with any finding requiring a corrective action or follow up review described as necessary. Management decisions are issued within six months of acceptance of the audit report.

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

☐ Yes ☐ No

Yes

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

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

☐ Yes ☐ No

Yes

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

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

As a result of comments received from the network, in support of more targeted monitoring, DOS has revised its monitoring framework and approach to monitoring. The overall goal is to support the eligible entities with meeting all areas of compliance and to mitigate risk. DOS has turned its focus to providing individual specialized training and technical assistance to the eligible entities based on “not met” areas of compliance through the use of a Technical Assistance Plan (TAP). DOS Program Analysts will partner with the eligible entity to develop and monitor the progress on recommendations and timelines to address the “not met” areas of compliance.

In 2021, DOS partnered with NYSCAA to form the TRACS Workgroup. The goal of the workgroup was to review the Triennial Review for Accountability and Compliance with Standards (TRACS) assessment tool, used for the state’s triennial assessment process. The workgroup set out to reduce the redundancies throughout the tool. DOS also identified areas of the assessment tool that could be more comprehensive.

In 2022, DOS partnered with NYSCAA to form the Monitoring Framework Workgroup. The goal of this workgroup was to review the overall approach to monitoring, monitoring framework, and monitoring practices of DOS Division of Community Services.

In 2023, DOS revised the State Triennial Assessment Review (STAR; formerly TRACS) based on the feedback and comments from both workgroups. Starting in FFY 2024, DOS will utilize the STAR to conduct the full, on-site, triennial monitoring. The STAR may include developing a TAP in partnership with the eligible entity, and individualized TTA.

SECTION 11: Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG eligible entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. [\[Check all that applies and narrative where applicable\]](#)

- ☒ 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. [\[Select one and provide a narrative where applicable\]](#)

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

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

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

DOS program analysts conduct a review of agency bylaws to assure this provision is included. Analysts receive board packets from their assigned entities which identify any changes in representation or petition for representation throughout the federal fiscal year. DOS staff attend board meetings to observe board function and share information.

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 No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. [\[Narrative, 2500 Characters\]](#)

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): [Click or tap here to enter text.%](#)
[\[Numeric response\]](#)
- ☐ Varies by eligible entity [\[Narrative, 4000 characters\]](#)

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. [\[Narrative, 4000 characters\]](#)

The CSBG Act generally permits state to use up to 125% of the federal poverty guidelines as a criterion of eligibility. If federal legislative action permits a state to adopt a percentage of poverty higher than 125% then DOS shall select the highest percentage of poverty permissible as a criterion of eligibility.

DOS recently revised its guidance to subrecipients on using the federal poverty guidelines as a criterion eligibility (dos.ny.gov/reports-state-plans-and-guides). This revision clarified existing guidance and included a model income eligibility policy and worksheet for subrecipients to adopt. Subrecipients maintain the flexibility to develop their own procedures to utilize the federal poverty guidelines as a criterion of eligibility for CSBG.

For example, the New York City Division of Youth and Community Development (DYCD), the public eligible entity designated for the New York City service area, uses a community/neighborhood-based approach to client income eligibility, with the Federal poverty line serving as a criterion of eligibility as required pursuant to the CSBG Act. DYCD has devised this system and methodology for income eligibility around the qualification and designation of Neighborhood Development Areas (NDAs). DYCD distributes CSBG funds to neighborhood-based organizations within designated NDAs for the provision of anti-poverty services to individuals and families within those NDAs. DYCD qualifies an area as an NDA if either: (1) at least 30 percent of the area's residents live in households with incomes at or below 125% of the poverty line; or (2) at least 30,000 residents in the area are at or below 125% of the poverty line. Through this methodology for CSBG-funded service delivery, DYCD uses the poverty line as a criterion of eligibility in the community services block grant program, as required by 42 USC § 9902(2).

- 12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited intake procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. [\[Narrative, 4000 characters\]](#)

While CAAs possess flexibility in devising their own processes and implementation methods, such processes and methods must be reasonable and appropriate. DOS has provided guidance through a document titled DOS Information Memorandum on Determining Income Eligibility for CSBG Funded Activities and Programs (DOS Memo). A9 of the DOS Memo assists the CAAs in carrying out their responsibilities by addressing various questions related to the CSBG income eligibility requirement.

In addition to the guidance provided in A9 of the DOS Memo, sample forms were attached for the eligible entities to reference when outreach services are being provided.

In cases where CSBG services are rendered during a storm or natural disaster or other like event, eligible entities may adopt streamlined eligibility determination procedures consistent with CSBG IM# 154.

- 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). [\[Narrative, 4000 characters\]](#)

DOS monitors eligible entities to ensure that activities target and benefit low-income communities. Eligible entities comply with state monitoring practices by maintaining documentation demonstrating that the nature of the activity was in accordance with the purposes of the CSBG Act. Examples of such activities include an eligible entity community forum on parole re-entry in a high poverty zip code; convening a meeting of human service organizations to discuss expansion and access to anti-poverty services; and holding an open house for community members to discuss program services.

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. [\[Narrative, 4000 characters\]](#)

In accordance with PL. 105-285, Section 678E, all eligible entities are required to participate in a performance measurement system in a form and manner as directed by the DOS. All CSBG eligible entities in New York State participate in the Result-Oriented Management and Accountability (ROMA) system approved by the US Department of Health and Human Services, Office of Community Services.

Annually, DOS assesses the eligible entity's approvable contract deliverables. This review is based upon the outcomes and results of the prior year. During the contract year, the eligible entities prepare and submit quarterly Program Progress Reports (PPRs) to document the implementation and progress toward achieving results presented in the approved Community Action Plan. DOS evaluates those PPRs submitted, throughout the contract year, to identify challenges and successes the eligible entities undergo.

Additionally, concluding the contract year, each eligible entity is to submit an Annual Report. DOS reviews and discusses those results with the eligible entity to summarize the outcomes achieved in accordance with the purpose and goals of CSBG and ROMA. These discussions influence and inform the planning of activities, programs and services for the following year.

- 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. [\[Narrative, 4000 characters\]](#)

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

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

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

The CSBG Community Action Plan includes CSBG National Performance Indicators (NPIs) associated with program and agency outcomes as a way to measure eligible entity performance. Progress on the outcomes contained in the CSBG Community Action Plan is tracked and reported by the eligible entity each quarter and reviewed by DOS Program Analysts.

13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. [\[Narrative, 4000 characters\]](#)

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.

DOS recognizes the value of utilizing and encourages the ROMA framework across the NYS CSBG network of eligible entities. DOS’ Nationally Certified ROMA Trainers (NCRT) work closely with the New York State Community Action Association (NYSCAA) to provide support to eligible entities in implementing ROMA. Eligible entities, without a NCRT on staff, have an opportunity for agency staff to be trained in ROMA practices and principles.

The alliance, formed in 2018, is comprised of ROMA Professionals, Nationally Certified ROMA Trainers (NCRT) and Nationally Certified ROMA Implementers (NCRI), and ROMA candidates. Members of the ROMA Alliance commit to supporting and applying results-based orientation and management accountability across the NYS CSBG network.

The NYS ROMA Alliance meets bi-monthly, discussing the core components of the ROMA Cycle, key foundational concepts, embraced by eligible entities as best practices. As a result of the ROMA Alliance meetings, ROMA initiatives have been created and implemented across the NYS CSBG network. DOS and NYSCAA partnered to develop training on how to utilize ROMA concepts when creating Community Action Plans. NYS DOS continues to be an active participant at alliance bi-monthly meetings.

A natural extension of the ROMA Alliance has been the development of two Communities of Practice (CoP) workgroups. These workgroups, coordinated by NYSCAA, are designed to create larger supportive connections among ROMA Professionals. The Data CoP focuses on aligning the work of the eligible entity with the phases of the ROMA Cycle. The Evidence-Based Programming/Best Practices CoP assists eligible entities with information on how programs can operate on an Evidence-Based approach.

13.4. Eligible Entity Use of Data: Describe how the state intends to validate that the eligible entities are using data to improve service delivery. [\[Narrative, 4000 characters\]](#)

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

As part of the NYS triennial assessment process, DOS Program Analysts verify that qualitative and quantitative data are collected and measured against performance to improve service delivery. In addition, the DOS annual compliance review of the National Organizational Standards required by HHS includes a review of progress or improvement in service delivery at eligible entities based on data collected and reported to eligible entities' management staff, governing boards, and the State.

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. [\[Narrative, 4000 characters\]](#)

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

The contract workplan is an aggregate document consisting of the eligible entity's CSBG Community Action Plan, summary of priorities contained in the community needs assessment, and summary of goals and objectives from the entity's strategic plan. It is submitted to the State annually by each eligible entity as part of the contract refunding package.

- 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. [\[Narrative, 4000 characters\]](#)

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

Eligible entities are contractually required to conduct a needs assessment every three years. The methodology and priorities are included in the annual refunding package.

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

14.1. Use of Funds Supporting Local Activities

CSBG Services

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

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

[Narrative, 4000 characters]

- i. **Self-Sufficiency:** 47 eligible entities have embraced various service approach models (primarily the family development and two-generation approach) to assist individuals and

- families to establish personal goals and timelines to address the barriers that have prevented them from becoming self-sufficient. In 2022, approximately \$20,691,000 in CSBG funding was used for this purpose. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
- ii. **Employment:** 29 eligible entities are providing services ranging from on-the-job training, job skills training, job development and placement, as well as support services to ensure successful employment outcomes. These include but are not limited to providing childcare, transportation, and work supplies/equipment. Over \$12,612,000 in CSBG funds were allocated to this domain in 2022. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
 - iii. **Education:** 26 eligible entities provide a variety of educational programs for customers of all ages. This includes Head Start, Early Head Start, Afterschool tutoring, GED, Adult Basic Literacy, ESOL, and Financial Literacy. Nearly \$56,774,000 in 2022 CSBG funds were allocated by eligible entities to this specific domain. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
 - iv. **Use of income:** As part of utilizing the family development model and/or two-generation approach, 46 eligible entities are working with individuals and families to make better use of available income to achieve greater self-sufficiency. Approximately \$1,136,000 in CSBG funds were used for this purpose. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
 - v. **Housing:** 32 eligible entities offer housing assistance including but not limited to shelter for targeted populations (DV, homeless, runaway teen), rehabilitation of existing units, development of new housing, rental subsidies, and weatherization. In 2022, over \$7,394,000 in CSBG funds was allocated for these purposes. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
 - vi. **Emergency assistance:** 31 eligible entities offer emergency assistance, most notably food and clothing but also assistance with medication or health care, utility payments, first month rent and security deposit, temporary shelter, and disaster recovery. Over \$1,367,000 in 2022 CSBG funds were allocated for these purposes. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.
 - vii. **Community participation, including documenting best practices and engaging law enforcement agencies:** As part of its work funded through DOS, the NYSCAA Board of Directors has established a committee devoted to identifying best practices among its CAA membership. In addition, DOS program analysts will identify best practices during routine monitoring and during the comprehensive triennial assessment of grantees and share this information with their colleagues during staff meetings and with other grantees during site visits. To encourage eligible entities to achieve greater participation in the affairs of the community (including engaging law enforcement agencies), DOS has provided specific areas within the CSBG Community Action Plan where eligible entities may choose to identify and utilize funds. In FFY 2022-2023 approximately \$838,000 were allocated for CSBG funded activities related to *Civic Engagement and Community Involvement* along with the *Agency Capacity Building*. With the end of the CARES CSBG funds, this level of annual funding is expected to decrease in Federal Fiscal Years 2024-2025.

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, 4000 characters]

The DOS and the CSBG network are committed to addressing the needs of youth in low-income communities. To that end, the Division of Community Services contracts with a number of eligible entities each year to provide services to youth in low-income communities. Such services include summer jobs programs, youth recreation activities, school dropout prevention and homework assistance. In addition, eligible entities also provide such services as work skills employment training, education counseling, Head Start, day care, and ESOL/ESL instruction. Eligible entities are monitored by DOS for achievements in the area of Youth services.

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, 4000 characters]

Eligible entities work with a number of local and statewide organizations in pursuit of expanding and enhancing services to the low-income population. This could include organizations such as food banks, faith-based entities, and local governments, to name a few. The New York State CSBG Community Action Plan includes a section on Partnerships. Eligible entities must identify the name of the organization, describe their involvement, and list the intended outcome for each partnership. DOS verifies that these partnerships are carried out through the routine monitoring of eligible entities and through the negotiation of the Community Action Plan.

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 as the state describes this assurance under 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, 4000 characters]

All areas of the State are presently served by the CSBG network. Eligible entities within the State of New York serve all 62 counties. The specific geographic areas served by each eligible entity are defined by each agency’s terms of its CSBG designation.

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 as the state describes this assurance under 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 as the state describes this assurance under 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, 4000 characters]

At the suggestion of eligible entities during the regional meetings, new pages were added to the CSBG Annual Community Action Plan to allow CAAs to identify Innovative Community and Neighborhood Initiatives they either currently provide or are planning to provide. The CSBG Community Action Plan development process for eligible entities allows the opportunity to initiate new pilot programs with a portion of their CSBG funds. Once other resources are identified, and the pilots no longer require CSBG support, new pilots can be initiated.

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, 4000 characters]

CSBG eligible entities operate food pantries and soup kitchens across the State and have increased availability and hours of operation to meet expanding needs. Nearly all eligible entities operate nutrition or nutrition-related programs using CSBG funding along with, or in concert with, other public and private resources.

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

14.5. 676(b)(5) Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as

defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The state describes this assurance in Section 9, State Linkages and Communication, specifically under 9.1 – 9.4b.

[No response as the state describes this assurance under Section 9.1 – 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

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

Note: The state describes this assurance in Section 9, State Linkages and Communication section, items 9.2 and 9.5.

[No response as the state describes this assurance under 9.2 and 9.5]

Federal Investigations

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

Note: The state addresses this assurance in Section 10, Fiscal Controls and Monitoring under 10.13.

[No response as the state describes this assurance under 10.13]

Funding Reduction or Termination

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

Note: The state addresses this assurance in Section 10 Fiscal Controls and Monitoring under 10.7.

[No response as the state describes this assurance under 10.7]

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

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income

residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: The state describes this assurance in Section 9 State Linkages and Communication, under 9.6.

[No response as the state describes this assurance under 9.6]

Eligible Entity Tripartite Board Representation

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

Note: The state describes this assurance in Section 11 Eligible Entity Tripartite Boards, under 11.3.

[No response as the state describes this assurance under 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

[No response as the state describes this assurance under 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

[No response as the state describes this assurance under 13.1 – 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

[\[No response for this item\]](#)

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

SECTION 15: Federal Certifications

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

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.2. Drug-Free Workplace Requirements

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

- ☒ 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.

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.

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.