

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: Local Affairs, Colorado Department Of

Report Name: CSBG State Plan

Report Period: 10/01/2025 to 09/30/2026

Report Status: Saved

Report Sections

- 1. CSBG Cover Page (SF-424M)**
- 2. Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**
- 3. Section 2: State Legislation and Regulation**
- 4. Section 3: State Plan Development and Statewide Goals**
- 5. Section 4: CSBG Hearing Requirements**
- 6. Section 5: CSBG Eligible Entities**
- 7. Section 6: Organizational Standards for Eligible Entities**
- 8. Section 7: State Use of Funds**
- 9. Section 8: State Training and Technical Assistance**
- 10. Section 9: State Linkages and Communication**
- 11. Section 10: Monitoring, Corrective Action, and Fiscal Controls**
- 12. Section 11: Eligible Entity Tripartite Board**
- 13. Section 12: Individual and Community Eligibility Requirements**
- 14. Section 13: Results Oriented Management and Accountability (ROMA) System**
- 15. Section 14: CSBG Programmatic Assurances and Information Narrative**
- 16. Section 15: Federal Certifications**

CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires: 09/30/2025	
COVER PAGE			
* 1.a. Type of Submission: ☐ Application ☐ Plan ☒ Other (2 Year)	* 1.b. Frequency: ☐ Annual ☒ Other (2 Year)	* 1.c. Consolidated Application/ Plan/Funding Request? Explanation:	* 1.d. Version: ☒ Initial ☐ Resubmission ☐ Revision ☐ Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Local Affairs, Colorado Department Of			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1840644739B9		* c. Organizational UEI: NUJ5Q3DW7U98	
* d. Address:			
* Street 1:	1313 SHERMAN STREET, ROOM 521	Street 2:	
* City:	DENVER	County:	Denver
* State:	CO	Province:	
* Country:	United States	* Zip / Postal Code:	80203 - 2236
e. Organizational Unit:			
Department Name: Department of Local Affairs		Division Name: Division of Local Government	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Becky	Middle Name:	* Last Name: Saad
Suffix:	Title: CSBG Program Manager		Organizational Affiliation: Colorado Department of Local Affairs
* Telephone Number: (303) 864-7894	Fax Number: (303) 353-0751		* Email: becky.saad@state.co.us
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency: Administration for Children and Families, Office of Community Services			
10. CFDA Numbers and Titles		Catalog of Federal Domestic Assistance Number: 93569	
		CFDA Title: Community Services Block Grant	
11. Descriptive Title of Applicant's Project FFY 2026 - 2027			
12. Areas Affected by Funding: Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 1		b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2025	b. End Date: 09/30/2026	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? ☐ YES ☒ NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree ☐	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

DRAFT

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:09/30/2025	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Identify whether this is a One-Year or a Two-Year Plan		☐ one-year ☒ two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One 2026	Year Two 2027
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. <i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan? ☒ Yes ☐ No			
If yes, select the fields that have been changed [Check all the apply]			
☐ Lead Agency	☐ Department Type	☐ Department Name	
☐ Authorized Official	☐ Street Address	☐ City	
☐ Zip Code	☐ Office Number	☐ Fax Number	
☐ Email Address	☒ Website		
1.2a. Lead agency		Colorado Department of Local Affairs	
1.2b. Cabinet or administrative department of this lead agency [Check one and provide a narrative where applicable]			
☐ Community Affairs Department			
☐ Community Services Department			
☐ Governors Office			
☐ Health Department			
☐ Housing Department			
☐ Human Services Department			
☐ Social Services Department			
☒ Other, describe			
Department of Local Affairs			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Colorado Department of Local Affairs	
1.2d. Authorized Official of the Lead Agency			
Name: Tamra Norton		Title: Director of Financial Assistance	
1.2e. Street Address		1313 Sherman St, Rm 521	
1.2f. City		Denver	1.2g. State/CO
		80203	
1.2i. Telephone number 303 864 - 7734 ext.		1.2j. Fax number 303 353 - 0751	
1.2k. Email address tamra.norton@state.co.us		1.2l. Lead agency website https://dlg.colorado.gov/	
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 the designated agency has changed.			
1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.			

Has Information regarding to the state point of contact has changed since the last submission of the State Plan? ☒ Yes ☐ No			
If yes, select the fields that have changed [check all the apply]			
☐	Agency Name	☒	Point of Contact
☐	City	☐	Zip Code
☐	Fax Number	☒	Email Address
		☒	Website
1.4a. Agency Name Colorado Department of Local Affairs			
1.4b Point of Contact Name			
Name: Becky Saad		Title: CSBG Program Manager	
1.4c. Street Address		1313 Sherman St, Rm 521	
1.4d. City		Denver	1.4e. StateCO
		1.4f. Zip 80203	
1.4g. Telephone Number 303 864 - 7894 ext.		1.4h. Fax Number 303 353 - 0751	
1.4i. Email Address becky.saad@state.co.us		1.4j. Agency Website https://dlg.colorado.gov/	
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			
Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? ☐ Yes ☒ No			
If yes, select the fields that have been changed [Check all the apply]			
☐	Agency Name	☐	Executive Director
☐	City	☐	State
☐	Office Number	☐	Fax Number
		☐	Email Address
☐	Website	☐	RPIC Lead
1.5a. Agency Name Colorado Community Action Association			
1.5b. Executive Director or Point of Contact			
Name: Josiah Masingale		Title: CEO	
1.5c. Street Address		PO Box 18321	
1.5d. City		Denver	1.5e. StateCO
		1.5f. Zip 80218	
1.5g. Telephone number 303 949 - 9934 ext. 801		1.5h. Fax number 111 111 - 1111	
1.5i. Email Address josiah@coloradocommunityaction.org		1.5j. State Association Website www.coloradocommunityaction.org/	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ☐ Yes ☒ No			

Section 2: State Legislation and Regulation

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG ☐ Yes ☒ No

2.2. CSBG State Regulation:

State has regulations for CSBG ☐ Yes ☒ No

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

2.4. State Authority:

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

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

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

Section 3: State Plan Development and Statewide Goals

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The Department of Local Affairs (DOLA) serves as the primary interface between the State and local communities. DOLA provides financial support to local communities and professional and technical services to community leaders in the areas of governance, housing, and property tax administration. The Division of Local Government provides strategic expertise, advocacy, and funding to strengthen Colorado. The division promotes local problem solving, informs decision making and invests in communities.

3.2. State Plan Goals:

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

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

- Increased eligible entity involvement with the State Plan process (feedback from ACSI). - Continue to improve and streamline eligible entity resources; ensuring accessibility standards are met; as well as removing any redundancy of information collected. - Participation in the WIOA State Plan Partner Steps as appropriate to ensure connections between agencies and resources.

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 apply 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)

Grant reports, grantee webinars, and public hearings

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]

3.3c. Consultation with *[Check all that applies 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]

3.4. Eligible Entity Involvement

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

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

Meeting with the state association on a regular basis, quarterly calls with eligible entities, regular CSBG monitoring visits, training and technical assistance calls and meetings were all part of the overall design process of the state plan. A specific State Plan review meeting was held on July 22 for CSBG eligible entities to provide thoughts and feedback on the plan. The training and technical assistance survey provided guidance and goals as well.

3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to:

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

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing.

If the State is not making any adjustments, provide further detail.

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

State Plan development will be more intentional and start many months before state plan review and deadlines, as based on feedback in the most recent ACSI.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's target for eligible entity Overall Satisfaction during the performance period:

Year One	90	Year Two	90
----------	----	----------	----

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

Section 4: CSBG Hearing Requirements

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

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.

This two-year state plan was made available on the Department of Local Affairs website for review in tandem with the Public Hearing on August 7. The state plan was also distributed via email to all eligible entity staff, State Regional Managers, and our State Association (Colorado Community Action Association). All public comments and follow up received were reviewed and incorporated into the plan.

4.2. Public Notice/Hearing:

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

The draft state plan was distributed to eligible entities and posted on the DOLA website on July 31 to make it widely available for review. Public comment period was from August 7 to 18. The plan was presented at a public hearing on August 7 as the only topic of a video conference call for CSBG eligible entities and the public.

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.

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	08/07/2025	virtual	Public	☐

NOTE : States can add rows as needed for each hearing as needed

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

Section 5: CSBG Eligible Entities

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

Form Approved
OMB No:0970-0382
Expires:09/30/2025

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.

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

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

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Adams County Human Services Department	Adams County	Public	Community Action Agency
2	Arapahoe County Community Resources	Arapahoe County	Public	Community Action Agency
3	Baca County Public Health Agency	Baca County	Public	Community Action Agency
4	Boulder County Community Programs	Boulder County	Public	Community Action Agency
5	Broomfield Health and Human Services	Broomfield County	Public	Community Action Agency
6	Colorado East Community Action Agency	Cheyenne County, Elbert County, Kit Carson County, Lincoln County	Non-Profit	Community Action Agency
7	Delta County Health Department	Delta County	Public	Community Action Agency
8	City and County of Denver Department of Human Services	Denver County	Public	Community Action Agency
9	Douglas County	Douglas County	Public	Community Action Agency
10	El Paso County	El Paso County	Public	Community Action Agency
11	Garfield County Department of Human Services	Garfield County, Pitkin County	Public	Community Action Agency
12	Gunnison County Department of Health and Human Services	Gunnison County, Hinsdale County	Public	Community Action Agency
13	Housing Solutions for the Southwest	Montezuma County, La Plata County, Archuleta County, Dolores County, San Juan County	Non-Profit	Community Action Agency
14	Jefferson County	Jefferson County, Park County, Teller County	Public	Community Action Agency
15	Kiowa County	Kiowa County	Public	Community Action Agency
16	Larimer County Department of Human Services	Larimer County	Public	Community Action Agency
17	Mesa County Public Health	Mesa County	Public	Community Action Agency
18	Mountain Family Center	Grand County, Jackson County	Non-Profit	Community Action Agency
19	Northeastern Colorado Association of Local Governments	Logan County, Morgan County, Phillips County, Sedgwick County, Washington County, Yuma County	Public	Community Action Agency
20	Otero County Department of Human Services	Otero County, Bent County, Crowley County	Public	Community Action Agency
21	Prowers County	Prowers	Public	Community Action Agency
22	Pueblo County Department of Housing and Human Services	Pueblo County	Public	Community Action Agency
23	Rio Blanco County Department of Human Services	Rio Blanco County	Public	Community Action Agency
24	Summit County Community and Senior Center	Clear Creek County, Gilpin County, Summit County	Public	Community Action Agency
25	Upper Arkansas Area Council of Governments	Fremont County, Custer County, Chaffee County, Lake County	Public	Community Action Agency
26	Weld County Department of Human Services	Weld County	Public	Community Action Agency
27	SLV Community Solutions	Alamosa, Conejos, Costilla, Mineral, Rio Grande, Saguache	Non-Profit	Community Action Agency

28	Colorado Community Action Association	Eagle, Huerfano, Las Animas, Moffat, Montrose, Ouray, San Miguel, Routt, and Statewide	Non-Profit	Community Action Agency
----	---------------------------------------	--	------------	-------------------------

5.2. Total number of CSBG eligible entities 28

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

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	Delete

5.3b. Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that 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 (FFY). 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)

CSBG Eligible Entity	Reason	Delete

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.	Delete

Section 6: Organizational Standards for Eligible Entities

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

Form Approved
OMB No: 0970-0382
Expires: 09/30/2025

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

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

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.

N/A

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

6.1c. Alternative Organizational Standards Changes: 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

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

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

☐ Regulation

☒ Policy

☐ Contracts with eligible entities

☐ Other, describe:

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

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

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

☐ Self-assessment/peer review with state risk analysis

☐ State-authorized third party validation

☐ Regular, on-site CSBG monitoring

☐ Other

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

The state continues to use the online reporting system THO Solutions. The system enables the report and submission of org standards documents (including housing documents that are valid for a longer period of time). Org standards are evaluated annually in July and August, to spread out due dates of various time-consuming reports due throughout the year for CSBG. Eligible entities complete a self-assessment for each standard, upload supporting documentation, and submit their org standards. These are reviewed by state staff and/or state association staff, based on standardized expectations for meeting each standard. Communications back to the eligible entities include descriptions of what could meet documentation requirements and asks questions/clarifications needed. Recorded webinars on the use of the system, as well as foundational information for self-assessment of the org standards are available on the DOLA website. DOLA and CCAA staff provide open office hours, as well as being available for one-on-one meetings for eligible entities.

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

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: 0			
CSBG Eligible Entity		Description / Justification	Delete
6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period			
Year One	38%	Year Two	42%
<i>Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.</i>			

DRAFT

Section 7: State Use of Funds

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

Form Approved
OMB No: 0970-0382
Expires: 09/30/2025

SECTION 7 State Use of Funds

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

7.1. Formula:

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

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

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

CSBG program staff worked closely with the Colorado Demography Office to develop the allocation formula in Colorado. The formula is based on the estimated number of persons at or below 125% of the Federal Poverty Line through the American Community Survey and inverse population density to provide additional funding to organizations with a more disparate population to serve. In the formula, the number of persons experiencing poverty are weighted by 90% and the inverse population density is weighted at 10%. Note: the state staff reviewed demographic updates from the most recent American Community Survey, and the impact it would have on the formulaic distribution. It was decided to wait on making updates to the formula, due to the extensive federal uncertainties occurring in 2025.

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

7.2. Planned Allocation:

Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act.

In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

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

Year One	90.00%	Year Two	90.00%
-----------------	--------	-----------------	--------

Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Adams County Human Services Department	\$515,479	
Arapahoe County Community Resources	\$517,426	
Baca County Public Health Agency	\$35,452	
Boulder County Community Programs	\$351,209	
Broomfield Health and Human Services	\$36,965	
Colorado East Community Action Agency	\$100,880	
Delta County Health Department	\$41,111	
City and County of Denver Department of Human Services	\$853,634	
Douglas County	\$120,520	
El Paso County	\$664,434	
Garfield County Department of Human Services	\$80,451	
Gunnison County Department of Health and Human Services	\$64,004	
Housing Solutions for the Southwest	\$184,584	
Jefferson County	\$414,095	
Kiowa County	\$32,833	
Larimer County Department of Human Services	\$359,796	
Mesa County Public Health	\$180,071	
Mountain Family Center	\$48,041	
Northeastern Colorado Association of Local Governments	\$150,926	
Otero County Department of Human Services	\$79,762	
Prowers County	\$27,525	

Pueblo County Department of Housing and Human Services	\$264,786
Rio Blanco County Department of Human Services	\$38,457
Summit County Community and Senior Center	\$49,550
Upper Arkansas Area Council of Governments	\$97,773
Weld County Department of Human Services	\$278,624
SLV Community Solutions	\$170,434
Colorado Community Action Association	\$243,592
	\$0
Total	\$6,002,414

CSBG Eligible Entity Year Two		
CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Adams County Human Services Department	\$515,479	
Arapahoe County Community Resources	\$517,426	
Baca County Public Health Agency	\$35,452	
Boulder County Community Programs	\$351,209	
Broomfield Health and Human Services	\$36,965	
Colorado East Community Action Agency	\$100,880	
Delta County Health Department	\$41,111	
City and County of Denver Department of Human Services	\$853,634	
Douglas County	\$120,520	
El Paso County	\$664,434	
Garfield County Department of Human Services	\$80,451	
Gunnison County Department of Health and Human Services	\$64,004	
Housing Solutions for the Southwest	\$184,584	
Jefferson County	\$414,095	
Kiowa County	\$32,833	
Larimer County Department of Human Services	\$359,796	
Mesa County Public Health	\$180,071	
Mountain Family Center	\$48,041	
Northeastern Colorado Association of Local Governments	\$150,926	
Otero County Department of Human Services	\$79,762	
Prowers County	\$27,525	
Pueblo County Department of Housing and Human Services	\$264,786	
Rio Blanco County Department of Human Services	\$38,457	
Summit County Community and Senior Center	\$49,550	
Upper Arkansas Area Council of Governments	\$97,773	
Weld County Department of Human Services	\$278,624	
SLV Community Solutions	\$170,434	
Colorado Community Action Association	\$243,592	
Total	\$6,002,414	

7.3. Distribution Process:

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

DOLA issues three-year contracts for CSBG to align with community action plans, and the current three-year contract period started January 1, 2024 and ends when FFY26 funds expire on 9/30/27. Contracts are issued unilaterally and do not require a signature from the grantee at the time of execution. If the grantee draws funds down from the contract they are formally agreeing to the terms of it. Because of state fiscal rules, at the start of the contract period, awards are made only for the amount that has been received by a Notice of Award letter from the Office of Community Services. Immediately after the receipt of each award letter the process is started to award the funds to each eligible entity based on the formula by option letter, a contract modification tool that can only add funding or extend the time frame of the award. The program manager allocates the funding to each eligible entity based on the formula and sends this information to the contracts department to draft the option letters. Once the draft is complete, option letters are sent through an electronic signature system and signatures are required from the Program Manager, the Departments Executive Director, and a representative for the State Controller. The option letter drafting and execution process usually takes less than 30 days to complete. The CSBG program year in Colorado starts January 1, three months after the start of the federal fiscal year, and so in some cases funds may not be available to eligible entities until the start of the appropriate program year. DOLA does not advance funds to the grantees and they may not request reimbursement until a contract is executed. However, DOLA does allow grantees to incur expenses under the contract beginning at the start of the program year on January 1, with the expectation that the contract will be executed.

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		
7.4. Distribution Timeframe: Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☐ Yes ☒ No		
7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.		
<i>Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.</i>		
DOLA encumbers the initial partial distribution amount received from OCS for the first quarter distribution immediately upon receipt through the contract /option letter process. State fiscal procedures prohibit DOLA from encumbering funds that have not yet been received as cash, and we find that this process allows us to work within the boundaries of the quarterly distribution from OCS while protecting the State from unexpected circumstances that have delayed the release of funds in years past. DOLA allows program year funds with an existing eligible entity to be eligible for any expenses after the start of the federal fiscal year. For example, if an existing eligible entity's option letter is executed July 2025 for the 2025 program/ federal fiscal year, those funds are eligible for expenses dating back to October 1, 2024.		
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.		
<i>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</i>		
DOLA and CSBG program staff continue to refine contracting and fiscal processes. Updates to the contracts process have benefited CSBG (and all programs using contracts) with efficiencies and streamlining processes.		
Administrative Funds [Section 675C(b)(2) of the CSBG Act]		
<i>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</i>		
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 (0.00%)	5.00	Year Two (0.00%) 5.00
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	5.00	Year Two 5.00
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	2.80	Year Two 2.80
7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? ☒ Yes ☐ No		
If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.		
Year One (0.00%)	5.00%	Year Two (0.00%) 5.00%
Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)		
<i>Note: This response will link to the corresponding assurance, Item 14.2.</i>		
<i>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i>		
<i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i>		
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	\$157,500.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$67,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.

7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$108,468.00	Multi-county service agency support and other projects to be determined.
Total	\$333,468.00	

Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$157,500.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$67,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$108,468.00	Multi-county service agency support and other projects to be determined.
Total	\$333,468.00	

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

☐ The state directly carries out all activities (No Partnerships)

☒ The state partially carries out some activities

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

☒ Other community-based organizations

☒ State Community Action association

☐ Regional CSBG technical assistance provider(s)

☐ National technical assistance provider(s)

☐ Individual consultant(s)

☐ Tribes and Tribal Organizations

☐ Other

Note: *This response will link to the corresponding CSBG assurance, 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 plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

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

No adjustments at this time.

Section 8: State Training and Technical Assistance

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

Form Approved
OMB No: 0970-0382
Expires: 09/30/2025

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 T/TA activities funded through the administrative or remainder/discretionary funds of this 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 3Scand 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"
1	Ongoing / Multiple Quarters	Technical Assistance	Governance/Tripartite Boards	
2	Ongoing / Multiple Quarters	Both	ROMA	
3	Ongoing / Multiple Quarters	Technical Assistance	Fiscal	
4	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
5	Ongoing / Multiple Quarters	Both	Reporting	
6	Ongoing / Multiple Quarters	Both	Community Assessment	

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Community Assessment	
2	Ongoing / Multiple Quarters	Technical Assistance	Fiscal	
3	Ongoing / Multiple Quarters	Technical Assistance	Governance/Tripartite Boards	
4	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
5	Ongoing / Multiple Quarters	Both	Reporting	
6	Ongoing / Multiple Quarters	Both	ROMA	

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

Year One	\$157,500	Year Two	\$157,500
----------	-----------	----------	-----------

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.

The state (DOLA) and the state association (CCAA) are close partners and collaborators in providing Training and Technical Assistance for CSBG eligible entities. Weekly meetings with CCAA address any current training needs in a timely manner. The meetings also provide a high awareness level for any eligible entities that need additional training and support. Throughout the year regular trainings and webinars are offered on regular topics, as well as timely topics that come up. One on one training and technical assistance are also available as requested (from Org Standards to Annual Report to Tripartite Board and more).

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

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. Specific focus for trainings in the next year are based on the analysis of unmet Organizational Standards, including but not limited to: tripartite board/advisory committee requirements, and preparing for community needs assessment in year two.

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. [Check all that apply.]

- ☐ All T/TA is conducted by the state
- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)

☐ National technical assistance provider(s)	
☐ Individual consultant(s)	
☐ Tribes and Tribal Organizations	
☐ Other	

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

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

The State Office incorporated information provided through the training and technical assistance survey of eligible entities and communications with eligible entities and OCS to ensure that training topics of greatest need were covered. Changes to TAP will include primarily the subject matter covered.

DRAFT

Section 9: State Linkages and Communication

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

Form Approved
OMB No:0970-0382
Expires:09/30/2025

SECTION 9 State Linkages and Communication

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

9.1. State Linkages and Coordination at the State Level:

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

Describe additional information as needed.

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item 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 |

DOLA is inclusive of a variety of block grants and programs, including Community Development Block Grant (CDBG), Community Development Block Grant-Disaster Recovery (CDBG-DR), and a variety of other housing programs supported through HUD funding. Communications across programs supported knowledge, understanding, and awareness on all sides. Additional communications and support across agencies at the state level will provide examples of linkage opportunities for local CAA, many of which are local government agencies and frequently collaborate across divisions.

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 Sections 676(b)(5) - (6)).

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

Colorado's model of local control lends itself well to local level governmental and social service linkages. DOLA, and specifically the Division of Local Government in which the Colorado CSBG program is housed, is well-connected to local governments throughout the state, and CSBG funds support anti-poverty efforts at many of our mostly public eligible entities. CSBG funds are most often used to support services and strategies around employment, case management, housing, food assistance, and information/ referral. By specifically bolstering anti-poverty programs in local governments throughout the state, DOLA assures effective delivery and coordination of CSBG services to those experiencing low income throughout the state. Duplication of services is minimized by facilitating cross-organizational communication and collaboration and data sharing to the extent appropriate, and encouraging the use of information - sharing systems and practices. At the state level, we work with private non-profit organizations extensively, both directly and as subrecipients.

9.3. Eligible Entity Linkages and Coordination

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

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

Eligible entities are consistently increasing their partnership with intentional collaborative communities of practice and resource sharing groups, continuums of care, and coalitions. The increased need for and understanding of the importance of information-sharing, referrals, coalition-building, and collaboration is resulting in the exchange of ideas and information which results in more efficient and effective services and strategies for those experiencing low income and communities. This information sharing reduces duplication of services. DOLA will continue acting as a convening and information-sharing partner in these efforts, helping eligible entities and the community action network to move individuals, families, and communities toward economic security. Through the three-year CNA/CAP process we identify partnerships and resources. We also require reporting on partnerships in Module 2, Section B of the Annual Report. Lastly the annual projections process also identifies partnerships when appropriate.

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. <i>Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.</i> The Community Needs Assessment which every entity completes is a crucial tool in understanding service gaps. Through this process, eligible entities also develop a thorough understanding of the resources available in the community. This process brings together resources and needs, making it possible to fill service gaps that an eligible entity cannot. T/TA efforts provide tools for resource mapping and environmental scans and emphasize the importance of developing information, referral, and resource networks to ensure all low-income populations needs are met. The state requires eligible entities to discuss service gaps and how they address them in their CNA and monitoring documents.
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 <i>(as required by the assurance under Section 676(b)(5) of the CSBG Act)</i>? ☐ Yes ☒ No <i>Note: This response will link to the corresponding CSBG assurance, item 14.5.</i>
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.
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. The State of Colorado has a WIOA State Plan that is coordinating with departments and agencies across the state. Quarterly meetings have been held and are scheduled throughout the timeframe of the plan (2024-2028). WIOA will report out annually how the plan is going, what accomplishments, and what next focus will be. The plan priorities are: Affordability, Quality, Increase Opportunity, and Access. Each priority area has action steps that are defined further as to specific actions and who is responsible for these. CSBG is an invited partner in the larger dialogue and state staff will continue to participate in the quarterly meetings and voicing where CSBG can support action steps through the eligible entities.
9.5. Emergency Energy Crisis Intervention: Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under Section 676(b)(6) of the CSBG Act). <i>Note: This response will link to the corresponding CSBG assurance, item 14.6.</i> Linkages are coordinated at the local level, in line with Colorado's model of local control. DOLA includes linkages and coordination as part of the three year application and plan as well as annual reporting for eligible entities. The Low-Income Home Energy Assistance Program (LIHEAP) is a Federally funded, State supervised, and county-administered program. Many eligible entities are local governments which serve as the local intake site for LIHEAP. Eligible entities which do not offer LIHEAP intake refer households to the nearest LIHEAP office. Weatherization (WAP) is administered by the Colorado Energy Office. Weatherization representatives speak at CSBG quarterly calls, and we distribute their materials to agencies, including targeted outreach to communities that are the hardest for Weatherization to reach and serve income-eligible clients.
9.6. Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. <i>Note: this response will link to the corresponding assurance, item 14.9.</i> ROMA trainer reviews of every entity's Community Needs Assessment provides feedback to ensure other organizations of all kinds are included in coordination efforts. Linkages are coordinated at the local level, in line with Colorado's model of local control. DOLA includes linkages and coordination as part of the annual application and plan and monitoring activities for eligible entities. In some cases, CSBG funds are subcontracted by the local government to other local governments or nonprofit organizations which manage linkages among their networks. Nonprofit organizations are typically contracted to provide a service that local government cannot or does not provide to ensure no duplication of services. Local government subcontractors occur in Multi-County Service Agencies (MCSAs) when a lead county administers the program in multiple counties through an Inter-Governmental Agreement (IGA). Partnership building is an ongoing activity, as is building linkages between community action agencies, the public, private, and non-profit networks in and across the state. DOLA will work with the Colorado Community Action Association to evaluate and expand the quality and quantity of state-wide collaborations.
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. <i>Note: this response will link to the corresponding assurance, item 14.3c.</i> The service delivery system in Colorado consists of two basic parts: a broad range of services to families to assist them to achieve economic security, and efforts to form partnerships with businesses, non-profits, government, and other entities to address community poverty issues. The scope of family services provided by each eligible entity varies greatly based on the size of the community and resources available to the agency. Most eligible entities manage other State, Federal and local funding sources in addition to CSBG. CSBG is almost always blended and braided with other funds to assist agencies in empowering low-income families to link with community services and resources and achieve greater economic security. In addition, eligible entities engage in partnerships with other local and State departments to identify priorities, develop collaborative strategies, and partner on service delivery. DOLA tracks the leveraging of public and private resources in the CSBG Annual Report.
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. <i>Note: This information will pre-populate the Annual Report, Module 1, Item G.5.</i> DOLA works very closely with the Colorado Community Action Association to provide training and technical assistance to eligible entities, community action agencies, and regional and national partners. The state association participates in quarterly training and technical assistance calls, regional forums, state and regional conferences, and webinars to CSBG eligible entity staff. CSBG Program staff also have a regular weekly call with the CCAA
9.9. Communication with Eligible Entities and the State Community Action Association: In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected

Frequency.			
Communication Plan			
Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Meetings/Presentation	
State Plan Development	Biannual	Meetings/Presentation Email Website Webinar Public Notice	
Organizational Standards Progress	Annually	Email	
State Accountability Measures Progress	Annually	Meetings/Presentation Email	
Community Needs Assessments/ Community Action Plans	Triennial	Meetings/Presentation Email Website Webinar 1:1 Phone Calls	
State Monitoring Plans and Policies	As needed	Meetings/Presentation Email	
Training and Technical Assistance (T/TA) Plans	As needed	Meetings/Presentation Email	
ROMA and Performance Management	As needed	Meetings/Presentation Email Website Webinar 1:1 Phone Calls	
State Interagency Coordination	As needed		
CSBG Legislative/Programmatic Updates	Biannual	Email Website	
Tripartite Board Requirements	Annually	Meetings/Presentation Email Website Webinar 1:1 Phone Calls	
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.			
<i>Note: This information is associated with State Accountability Measure 5S(iii). and will pre-populate the Annual Report, Module 1, Item G.6</i>			
The state will discuss progress on State Accountability Measures as part of the review and sharing on the ACSI results, in a meeting/presentation and through email.			
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.			
<i>Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.</i>			
The contents of this section of the state plan are consistent with previous years. Communications with eligible entities has increased, with the ever changing federal landscape. Transparency in these communications, and sharing information (as allowable) are an important part of building and maintaining relationships between the state and the eligible entities.			

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act)

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

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

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

	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"
1	Adams County Human Services Department						
2	Arapahoe County Community Resources	Full On-site	Onsite Review	FY1 Q4	07/19/2023	07/19/2023	
3	Baca County Public Health Agency						
4	Boulder County Community Programs						
5	Broomfield Health and Human Services	Full On-site	Onsite Review	FY1 Q4	09/06/2023	09/06/2023	
6	Colorado East Community Action Agency						
7	Delta County Health Department	Full On-site	Onsite Review	FY1 Q2	02/08/2023	02/08/2023	
8	City and County of Denver Department of Human Services	Full On-site	Onsite Review	FY1 Q4	09/21/2023	09/21/2023	
9	Douglas County	Full On-site	Onsite Review	FY1 Q4	09/14/2023	09/14/2023	
10	El Paso County						
11	Garfield County Department of Human Services						
12	Gunnison County Department of Health and Human Services	Full On-site	Onsite Review	FY1 Q2	02/15/2023	02/15/2023	
13	Housing Solutions for the Southwest						
14	Jefferson County						
15	Kiowa County	Full On-site	Onsite Review	FY1 Q4	07/10/2023	07/10/2023	
16	Larimer County Department of Human Services						
17	Mesa County Public Health						
18	Mountain Family Center	Full On-site	Onsite Review	FY1 Q2	04/10/2024	04/10/2024	
19	Northeastern Colorado Association of Local Governments	Full On-site	Onsite Review	FY1 Q4	08/03/2023	08/03/2023	
20	Otero County Department of Human Services						
21	Prowers County						
22	Pueblo County Department of Housing and Human Services						
23	Rio Blanco County Department of Human Services	Full On-site	Onsite Review	FY1 Q2	02/22/2023	02/22/2023	
24	Summit County Community and Senior Center						
	Upper Arkansas Area Council of						

25	Governments						
26	Weld County Department of Human Services	Full On-site	Onsite Review	FY1 Q4	08/30/2023	08/30/2023	
27	SLV Community Solutions						
28	Colorado Community Action Association						
	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"
1	Adams County Human Services Department						
2	Arapahoe County Community Resources						
3	Baca County Public Health Agency						
4	Boulder County Community Programs	Full On-site	Onsite Review	FY2 Q2	01/18/2024	01/18/2024	
5	Broomfield Health and Human Services						
6	Colorado East Community Action Agency	Full On-site	Onsite Review	FY2 Q2	01/23/2024	01/23/2024	
7	Delta County Health Department						
8	City and County of Denver Department of Human Services						
9	Douglas County						
10	El Paso County						
11	Garfield County Department of Human Services						
12	Gunnison County Department of Health and Human Services						
13	Housing Solutions for the Southwest						
14	Jefferson County	Full On-site	Onsite Review	FY2 Q2	01/11/2024	01/11/2024	
15	Kiowa County						
16	Larimer County Department of Human Services						
17	Mesa County Public Health	Full On-site	Onsite Review	FY2 Q3	04/11/2024	04/11/2024	
18	Mountain Family Center						
19	Northeastern Colorado Association of Local Governments						
20	Otero County Department of Human Services	Full On-site	Onsite Review	FY2 Q4	10/10/2024	10/10/2024	
21	Prowers County						
22	Pueblo County Department of Housing and Human Services	Full On-site	Onsite Review	FY2 Q4	06/26/2024	06/26/2024	
23	Rio Blanco County Department of Human Services						
24	Summit County Community and Senior Center	Full On-site	Onsite Review	FY2 Q3	03/27/2024	03/27/2024	
25	Upper Arkansas Area Council of Governments	Full On-site	Onsite Review	FY2 Q4	06/25/2024	06/25/2024	
26	Weld County Department of Human Services						
27	SLV Community Solutions	Full On-site	Onsite Review	FY2 Q2	03/21/2024	03/21/2024	
28	Colorado Community Action Association						

10.2. Monitoring Policies:

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

Posted to the CSBG website: https://drive.google.com/file/d/1O7YZ1JU9_YNHJ5DEL4fYGRmhAqG47ai/view

10.3. Initial Monitoring Reports:

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

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

report form.
60
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 documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No
10.4a. Closing Findings Procedures: If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.
10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable.
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
1
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
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
When a QIP is initiated DOLA sends an email to OCS within thirty days with information about the eligible entity and their quality improvement plan including the original findings, action required, progress made, reason for the quality improvement plan, and next steps. Guidelines on QIPs are included in the CSBG Program Implementation Manual.
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). ☒ Yes ☐ No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No
10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.
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 DOLA designates new eligible entities when one or more service areas are not served by an existing permanent CSBG eligible entity or program, or if an eligible entity elects to de-designate itself as a CSBG eligible entity. DOLA issues a Notice of Funds Available (NOFA) or application for qualified nonprofit community action agencies in the counties or adjacent counties. If there are no respondents, DOLA may seek a public entity in the service adjacent areas. DOLA may elect to consolidate the process and indicate priority of applicants (nonprofit, public) according to statute, especially for communities for which a small number of qualified applicants are available. If there are qualified respondents, DOLA undergoes the process outlined in the CSBG Act to designate a new eligible entity, including a public hearing. Distribution amounts are determined for all eligible entities using the State's distribution formula.
10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities ☐ Yes ☒ No
10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.
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 De-designation is allowable under voluntary circumstances or cases in which an agency or program no longer provides services. Non-voluntary de-designation is only allowable in extreme cases of fraudulent activity, noncompliance, or poor performance and after a QIP process is undergone unsuccessfully. DOLA believes that CSBG funds provide important services to local communities in Colorado and strives to provide ongoing training and technical assistance to support eligible entities in successfully administering the program. Particularly in rural areas of the State, DOLA would rather work to meet eligible entities at their capacity level and encourage their progress than leave an area of the state unserved. If there is an extreme case in which de-designation becomes necessary, DOLA proceeds, after all training and technical assistance opportunities and quality improvement plan processes are completed, with a public hearing and intent to de-designate the funds. Deobligated funds may be redistributed to the remaining eligible entities using the State's distribution formula. DOLA will then implement a process to find a suitable service provider in the area. Guidelines on de-designation are included in the program implementation manual.
10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? ☐ Yes ☒ No
10.10a. If Yes, provide the citation(s) of the law and/or regulation.
10.10b. If No, describe State procedures for re-designation of existing eligible entities. If a previously a designated eligible entity wishes to re-apply at a later time, they may follow the same process as listed above for designation of a new eligible entity.
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).

Fund accounting procedures are established by the State of Colorado's State Controller. Each grant award to the State is accounted for per its various components. In the case of CSBG, these components are the 90% for award to the State's eligible entities, 5% for discretionary fund deployment, and 5% for CSBG program administration. These funds are set up in appropriate sub-funds and cost centers to report expenditures for various purposes. Eligible entities are required to submit budgets detailing the proposed use of CSBG funds and are subject to the cost and accounting standards of applicable Federal Office of Management and Budget (OMB) Circulars. Grantees may not receive advances. Payments are authorized on a reimbursement basis only and must include cost documentation to support the payment request. In addition, eligible entities are required to submit monthly or quarterly financial reports which are approved and tracked by CSBG staff.

10.12. Single Audit Management Decisions:

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

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

If an entity receives findings associated with the CSBG funding in their entity, the DOLA office will issue a management letter within the 6 months from the acceptance of the audit by the Federal Audit Clearinghouse, as allowed for in 45 CFR 75.521

10.13. Assurance on Federal Investigations:

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

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

10.13a. 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

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

10.14. Monitoring Procedures Performance Management Adjustment:

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

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

Monitoring procedures are continually being more clearly defined and refined. DOLA CSBG staff will continue streamlining the monitoring process to increase its breadth and effectiveness, reduce administrative burden, and minimize submission of duplicate information by eligible entities.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 09/30/2025
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 <i>[Check all that applies and narrative where applicable]</i>	
☐ Attend Board meetings	
☒ Organizational Standards Assessment	
☒ Monitoring	
☒ Review copies of Board meeting minutes	
☒ Track Board vacancies/composition	
☐ Other	
11.2. Tripartite Board Updates: Provide how often the state require 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., <i>[Select one and narrative where applicable]</i>	
☐ Annually	
☒ Semiannually	
☐ Quarterly	
☐ Monthly	
☐ As it Occurs	
☐ Other	
11.3. Tripartite Board Representation Assurance: Describe how the state 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	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
DOLA requires eligible entities to have policies and procedures for board recruitment, application, and selection including public notice of board seats. DOLA staff review these policies and make recommendations or document findings during regular 3-year onsite monitoring visits. A description of the method of selection for low-income community representatives is reviewed during the visit to ensure that a democratic selection process is taking place for targeted communities. CSBG Eligible Entities provide an update on any tripartite board vacancies, actions that have been taken to address vacancies, and certify that their board is in compliance with the CSBG Act as a part of the Semiannual Report. During the annual assessment of organizational standards, DOLA reviews Tripartite Board bylaws and board rosters to ensure that they are in compliance with the CSBG Act. Board requirements are also detailed in the CSBG Program Implementation Manual for eligible entities, available at https://drive.google.com/file/d/1O7YZ1JUm9_YNHJ5DEL4fYGRmhAqG47ai/view	
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 participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. ☒ Yes ☐ No	
11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	
DOLA supports the local process for boards and commissions and allows public eligible entities to use existing boards or commissions to fulfill the tri-partite board requirements through advisory committees or other structures. To use an alternative structure, the eligible entity must demonstrate that they meet low-income requirements, governance and program oversight requirements, and all other requirements of the tripartite board/advisory committee.	

Section 12: Individual and Community Eligibility Requirements

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

[Check one item below.]

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

0% % **[Response Option: numeric field]**

DOLA requires eligible entities to comply with applicable maximum income levels based on the HHS poverty line. DOLA intends to use 125% of FPL unless authorized to utilize the 200% limit under congressional actions. However, DOLA does allow eligible entities to develop their own policies for specific programs and some entities do choose to use a lower income eligibility line than allowed by the relevant CSBG Legislation and the States policy.

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

DOLA requires eligible entities to have a process for determining client eligibility through self-certification of income or income verification. CSBG staff provides the HHS poverty table to assist eligible entities in calculating eligibility of clients upon intake. Detailed in the CSBG Program Implementation Manual for eligible entities, available at https://drive.google.com/file/d/1O7YZ1JUm9_YNHJ5DEL4fYGRmhAqG47ai/view. The state provides recommended definitions and guidelines, but local policies and procedures may vary as long as they are within the confines of maximum allowable FPL and implemented consistently across the program. Questions on this topic, including client file review, are included in onsite monitoring and program applications as well.

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

Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical).An example of these services is emergency food assistance.

DOLA allows eligible entities to accept client self-declaration of income or use referral sources or local policies to determine reasonability that a client is eligible for services when income verification is not practical or possible. In determining household income, self-declaration of income shall be used only as a method of last resort. The signature of the applicants must appear on a self-declaration statement. If either self-declaration or referral source method is used, notation must be on-file stating the reason(s) why other verification methods could not be used. Questions on this topic are included in onsite monitoring and program applications as well. Emphasis is placed on minimizing barriers to clients and administrative burden while maintaining compliance with relevant CSBG legislation.

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

DOLA encourages and trains eligible entities to have a comprehensive understanding of the demographics and needs of the low-income community in particular and to center these in services and strategies with community-wide benefit. DOLA allows eligible entities that provide a community-wide benefit to use a proportional ratio of CSBG funds to their program budget that does not exceed the percentage of clients in the program who meet income eligibility requirements. Eligible entities may also document the involvement of low-income people in decision making, demonstrate through program materials or meeting notes, or otherwise document how community programs focus on those experiencing low income. Questions on this topic are included in onsite monitoring and program applications as well. DOLA policies focus on minimizing barriers to clients and administrative burden while maintaining compliance with the relevant CSBG legislation.

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

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

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.

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 by 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.

DOLA works with eligible entities since the Government Performance and Results Act (GPRA) passed in 1993 to facilitate a transition from service-based to outcome-based approaches, using guidelines available per the Results-Oriented Management and Accountability (ROMA) process in 1998. DOLA will continue its ongoing effort to utilize ROMA and ROMA-Next Generation during this two-year Plan period. Each eligible entity is required to submit a comprehensive community needs assessment and a community action plan every three-years to DOLA describing proposed activities and how ROMA will be used to ensure the effective delivery and continuous quality improvement of services and strategies. Community action plans and needs assessments are evaluated by CSBG/ CCAA staff and must clearly demonstrate the manner in which the eligible entity determines community needs and how eligible entities use and account for CSBG funds. Eligible entities must update their action plan and needs assessment every three years or when substantial changes to them occur. In addition, the action plan format requires eligible entities to: describe the need, problem or situation; identify the service, activity or intervention that will be provided to address the need, problem or situation; describe the expected outcome for the client or community; estimate the projected number of clients and percentage of success expected; and describe the measurement tool that will be used to determine success. Additionally, since FY2017, DOLA and the CCAA have worked with all grantees annually to create a matrix of services, strategies and outcome indicators which clearly projects eligible entities activities, including anticipated success rates. These activity matrices are used to evaluate performance during the annual reporting process and to project future activities prior to the start of the new program year. Colorado has one master ROMA Trainer and two certified ROMA trainers currently active in the state.

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.

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.

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

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

All CSBG funds distributed pursuant to a DOLA-approved action plan are awarded eligible entities under a three-year contract with DOLA. Community action plans must demonstrate how proposed activities and services will increase family self-sufficiency, provide other needed supportive services, and/or support partnerships to leverage additional community resources to address poverty. Outcome measures are tracked in the annual report submitted to DOLA at the close of each program year. The program year runs January 1- December 31, with the final Annual Report due to DOLA in February. DOLA and CCAA staff initially review data for accuracy, request necessary changes from eligible entities, and complete a final review prior to data entry in OLDC. Additionally, all eligible entities are required to create an annual matrix of activities to be conducted with CSBG funds as outlined in the previous section. The current three year contract period begins on January 1, 2024 and runs to December 31, 2026, with spending allowable until September 30, 2027. Spend down rates are tracked closely to ensure funds are actively promoting self-sufficiency, family stability, and community revitalization.

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

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

DOLA partners with the Colorado Community Action Association to provide technical assistance for eligible entities, community action agencies, and regional/ national partners which covers organizational standards, ROMA, ROMA-Next Generation, board recruitment and development, Theory of Change, SROI, data analysis, and more. DOLA also conducts quarterly zoom meetings with all eligible entities to facilitate a forum for information exchange and discussions and questions related to the CSBG program. We will continue to offer custom, responsive, intensive onsite and virtual training and technical assistance to eligible entities needing additional support.

13.4. Eligible Entity Use of Data:

Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?

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

Each eligible entity is required to conduct or update a community needs assessment every three years that describes local poverty-related needs and identifies and prioritizes eligible activities to be funded by CSBG. Each agency must also describe the process used to gather relevant information, involve its tripartite board and community, and ensure that the needs assessment reflects the current priorities of low-income residents. Because the range

of CSBG funding can be anywhere from a few thousand dollars to one million dollars for an eligible entity, DOLA has determined that the quality of a community needs assessment can also range from a basic agency survey to a more comprehensive community-wide needs assessment as long as requirements of Organizational Standards around the needs assessment are met. DOLA requires that the community needs assessment drives the community action plan submitted with the application. DOLA also requires the ROMA logic model content be provided in narrative form in the community action plan/application submitted. These questions are also covered in onsite monitoring visits. Finally, every eligible entity is required to create an annual matrix of activities related to CSBG funds prior to the start of the new program year which uses past data to inform future activities and projected outcome rates.

Community Action Plans and Needs Assessments

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

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

DOLA requires that each eligible entity has a community action plan (CAP) approved by its governing board/advisory committee. The CAP must be submitted to DOLA every three years and updated annually, and as needed, based on changes in programming resulting from community needs assessment, budget revisions, or other changes. DOLA will verify that the CAP submitted by each eligible entity meets the following minimum requirements. The CAP is drawn from the findings contained with the community needs assessment, clearly defines the period of time covered by the plan, contains a mission statement succinctly defining the reason the program or organization exists, and may contain a vision statement which succinctly defines the desired future that the entity envisions and/or a list of core values. The CAP identifies goals and/or strategic innovation initiatives; identifies strategies/services, which are defined as statements of major approach that will be used to achieve the goal; and may contain initiatives, projects or activities planned to occur over the course of the planning cycle to advance each strategy/service. The CAP contains a process for evaluating elements within the plan and is summarized using the five elements of ROMA: assessment, planning, implementation, achievement of results, and evaluation. If any portion of the CAP is missing or in error, DOLA will request a revised plan prior to entering into a contract with the eligible entity to ensure a clear scope of work within the contract.

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

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

Each eligible entity is required to submit a comprehensive community needs assessment and a community action plan to DOLA describing what activities are being proposed and how CSBG funds will be used to carry out or support the activities. Action plans and needs assessments will be evaluated by CSBG staff and must clearly demonstrate the manner in which the eligible entity determined the need and how the agency will use and account for CSBG funds. Eligible entities are required to update their action plan and needs assessment every three years in alignment with the DOLA contract cycle or as needed. If there are program changes during the open contract period that affect the scope of work, a request letter signed by the authorized official, DOLA approval, and a contract amendment are required.

Section 14: CSBG Programmatic Assurances and Information Narrative

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

Form Approved
OMB No: 0970-0382
Expires:09/30/2025

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

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

Each eligible entity is required to submit a comprehensive community needs assessment and a community action plan to DOLA. The plan must describe what activities from the federal objectives and National Performance Indicators are being proposed and how CSBG funds will be used to carry out the activity(s), and is presented in a narrative ROMA format. Action plans and needs assessments will be evaluated by CSBG staff and must clearly demonstrate the manner in which the eligible entity determined the need and how the agency will use and account for CSBG funds. Eligible entities will be required to update their action plan and needs assessment every three years. In addition, the action plan format requires eligible entities to: describe the need, problem or situation; identify the service, activity or intervention that will be provided to address the need, problem or situation; describe the expected outcome for the client or community; estimate the projected number of clients and percentage of success expected; and describe the measurement tool that will be used to determine success. The action plan format also requires eligible entities to provide the following information: detailed budget to support each program activity; needs assessment and description of the collection and analysis process; Tripartite Board/ Advisory Committee roster and a description of any training the Board/Committee members have attended; Tripartite Board/Committee meeting minutes from the previous 12 months; agency audit (if appropriate); Tripartite Board/Committee by-laws; CSBG staffing report; CSBG policies and procedures; and if applicable, Subrecipient Agreements and a description of how program policy and procedures are communicated to subrecipients. All CSBG funds distributed pursuant to a DOLA-approved action plan will be awarded to an eligible entity under a three-year contract with DOLA. Community action plans must demonstrate how proposed activities and services will increase family self-sufficiency, provide other needed supportive services, and form/ support partnerships to leverage additional community resources to address poverty. Eligible entities must fully account for the use and expenditure of all CSBG funds and are not required to secure a match for CSBG funds. Additionally, as described in previous sections, all eligible entities complete a matrix of activities on an annual basis prior to the start of the new program year to clearly identify strategies, services, and outcome indicators including anticipated success rates of the activities.

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;

Eligible entities work in concert with local service providers to develop a comprehensive approach to support programs related to the purposes of the CSBG Act. As part of the application process, eligible entities provide information describing these programs, which may include youth programs, violence prevention or after school child care programs based on the result of their community needs assessment. Speakers on these issues are included in conferences and trainings, as well.

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)
Many eligible entities participate in community human service coalitions and specialized partnerships with other public and private service organizations to address identified community needs such as housing, unemployment, homelessness, mental health issues and substance abuse per the CSBG contract. DOLA will coordinate CSBG with other State programs and initiatives in an effort to further develop the service delivery system. DOLA will also continue to work with the Colorado Community Action Association (state private, non-profit CSBG membership association) to evaluate and expand the quality and quantity of state-wide collaborations.
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."
<i>Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10</i>
Eligible Entity Service Delivery, Coordination, and Innovation
14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;
The CSBG service delivery system in Colorado consists of two basic parts: a broad range of services to families to assist them to achieve economic security and efforts to form partnerships with businesses, non-profits, and government entities to address community poverty issues. The scope of individual and family services provided by each eligible entity varies greatly based on the size of the community, local needs, and resources available to the agency. Most eligible entities manage other state, federal and local funding sources in addition to CSBG. Many of these funding sources are used in coordination with one another to assist low-income families to link with community services and achieve greater self-sufficiency. In addition, eligible entities engage in partnerships with other local and State departments to identify priorities, develop collaborative strategies, and partner on service delivery.
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."
<i>Note: The state describes this assurance in the state linkages and communication section, item 9.3b.</i>
The Community Needs Assessment which every entity completes is a crucial tool in understanding service gaps. Through this process, eligible entities also develop a thorough understanding of the resources available in the community. This process brings together resources and needs, making it possible to fill service gaps that an eligible entity cannot. T/TA efforts provide tools for resource mapping and environmental scans and emphasize the importance of developing information, referral, and resource networks to ensure all low-income populations needs are met. The state requires eligible entities to discuss service gaps and how they address them in their CNA and monitoring documents.
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."
<i>Note: The state describes this assurance in the state linkages and communication section, item 9.7.</i>
The service delivery system in Colorado consists of two basic parts: a broad range of services to families to assist them to achieve economic security, and efforts to form partnerships with businesses, non-profits, government, and other entities to address community poverty issues. The scope of family services provided by each eligible entity varies greatly based on the size of the community and resources available to the agency. Most eligible entities manage other State, Federal and local funding sources in addition to CSBG. CSBG is almost always blended and braided with other funds to assist agencies in empowering low-income families to link with community services and resources and achieve greater economic security. In addition, eligible entities engage in partnerships with other local and State departments to identify priorities, develop collaborative strategies, and partner on service delivery. DOLA tracks the leveraging of public and private resources in the CSBG Annual Report.
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>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).</i>
Eligible entities work in concert with local service providers to develop a comprehensive approach to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG Act. As part of the application process, eligible entities provide information describing these innovative community and neighborhood-based initiatives, which may include a fatherhood initiative and other initiatives like the Family Planning program on the western slope and coordinated service delivery systems in which many of our eligible entities participate. These efforts are taken with the goal of strengthening families and encouraging effective parenting, as based on their community needs assessment.

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."

Eligible entities work in concert with local service providers to develop a comprehensive approach to support programs related to the purposes of the CSBG Act. The local intake and referral process includes linking families in need of emergency services with resources in the community. Many eligible entities are involved in providing one or more emergency services to stabilize families in crisis. Emergency services are coordinated with other public and private resources in the community such as food banks, motels, shelters, faith communities, etc.

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

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

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

Eligible Entity Tripartite Board Representation

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

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

DOLA requires eligible entities to have policies and procedures for board recruitment, application, and selection including public notice of board seats. DOLA staff review these policies and make recommendations or document findings during regular 3-year onsite monitoring visits. A description of the method of selection for low-income community representatives is reviewed during the visit to ensure that a democratic selection process is taking place for targeted communities. CSBG Eligible Entities provide an update on any tripartite board vacancies, actions that have been taken to address vacancies, and certify that their board is in compliance with the CSBG Act as a part of the Semiannual Report. During the annual assessment of organizational standards, DOLA reviews Tripartite Board bylaws and board rosters to ensure that they are in compliance with the CSBG Act. Board requirements are also detailed in the CSBG Program Implementation Manual for eligible entities, available at https://drive.google.com/file/d/1O7YZ1JUm9_YNHJ5DEL4fYGRmhAqG47ai/view

Eligible Entity Community Action Plans and Community Needs Assessments

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

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

☐

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

Section 15: Federal Certifications

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

Form Approved
OMB No:0970-0382
Expires:09/30/2025

SECTION 15 Federal Certifications

15.1. CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:

☐

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

15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant

and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:

☐

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

15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly

enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

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

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

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

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

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

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

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

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

(2) Where the prospective primary participant is unable to certify to any of the

statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

Instructions for Certification

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

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

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

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

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

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

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

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

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from

participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

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

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

15.3. Debarment

After assurance select a check box:

☐

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

15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

15.4. Environmental Tobacco Smoke

After assurance select a check box:

☐

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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.