

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: HUMAN SERVICES RI DEPARTMENT

Report Name: CSBG State Plan

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

Report Status: Saved -- Validated

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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: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)		* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)		* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	
		* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update		2. Date Received:	
		3. Applicant Identifier:		State Use Only:	
		4a. Federal Entity Identifier:		5. Date Received By State:	
		4b. Federal Award Identifier:		6. State Application Identifier:	
7. APPLICANT INFORMATION					
* a. Legal Name: HUMAN SERVICES RI DEPARTMENT					
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1056000522A3				* c. Organizational UEI: DGCZF2EKBSL1	
* d. Address:					
* Street 1:	25 HOWARD AVENUE		Street 2:	Building 57	
* City:	CRANSTON		County:		
* State:	RI		Province:		
* Country:	United States		* Zip / Postal Code:	02920	
e. Organizational Unit:					
Department Name: Rhode Island Department of Human Services				Division Name: Community Partnerships	
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	* First Name: Jessica		Middle Name:		* Last Name: Patrolia
Suffix:	Title: Administrator, Community Programs		Organizational Affiliation: RI Department of Human Services; Administrator		
* Telephone Number: (401) 462-6925	Fax Number		* Email: jessica.patrolia@dhs.ri.gov		
* 8a. TYPE OF APPLICANT: A: State Government					
b. Additional Description:					
* 9. Name of Federal Agency: Administration for Children and Families, Office of Community Services					
		Catalog of Federal Domestic Assistance Number:		CFDA Title:	
10. CFDA Numbers and Titles		93569		Community Services Block Grant	
11. Descriptive Title of Applicant's Project Community Services Block Grant					
12. Areas Affected by Funding: Statewide					
13. CONGRESSIONAL DISTRICTS OF:					
* a. Applicant 02			b. Program/Project: All		
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? <input type="radio"/> YES <input checked="" type="radio"/> 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 <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES 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		<input type="radio"/> one-year <input checked="" type="radio"/> 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? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, select the fields that have been changed [Check all that apply]			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Office Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		Rhode Island Department of Human Services	
1.2b. Cabinet or administrative department of this lead agency [Check one and provide a narrative where applicable]			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Community Services Department			
<input type="radio"/> Governors Office			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input checked="" type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Other, describe			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Department of Human Services	
1.2d. Authorized Official of the Lead Agency			
Name: Jessica Patroliia		Title: Administrator	
1.2e. Street Address		Building #74, 41 West Rd.	
1.2f. City	Cranston	1.2g. State RI	1.2h. Zip 02920
1.2i. Telephone number 401 462 - 6925 ext.		1.2j. Fax number 401 462 - 2975	
1.2k. Email address jessica.patroliia@dhs.ri.gov		1.2l. Lead agency website https://dhs.ri.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? <input type="radio"/> Yes <input checked="" type="radio"/> No			

If yes, select the fields that have changed [check all the apply]			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Point of Contact
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>		<input type="checkbox"/>	Website
1.4a. Agency Name Rhode Island Department of Human Services			
1.4b Point of Contact Name			
Name: Jessica Patrolia		Title: Administrator	
1.4c. Street Address		Building 74, 41 West Rd.	
1.4d. City		Cranston	1.4e. StateRI
			1.4f. Zip 02920
1.4g. Telephone Number 401 462 - 692 ext.		1.4h. Fax Number -	
1.4i. Email Address jessica.patrolia@dhs.ri.gov		1.4j. Agency Website https://dhs.ri.gov/	
1.5. Provide the following information in relation to theState Community Action Association.			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, select the fields that have been changed [Check all the apply]			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Executive Director
<input type="checkbox"/>	City	<input type="checkbox"/>	State
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead
1.5a. Agency Name Rhode Island Community Action Association			
1.5b. Executive Director or Point of Contact			
Name: Estephany Matrilie		Title: Director of Community Engagement & Strategic Initi	
1.5c. Street Address		487 Jefferson Blvd.	
1.5d. City		Warwick	1.5e. StateRI
			1.5f. Zip 02886
1.5g. Telephone number 401 921 - 4968 ext.		1.5h. Fax number 401 467 - 9030	
1.5i. Email Address ematrilie@ricaa.org		1.5j. State Association Website https://www.ricommunityaction.org/	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input checked="" type="radio"/> Yes <input type="radio"/> 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
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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)

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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The Rhode Island Department of Human Services (RI DHS) has been designated by the Governor as the State agency responsible for the planning and administration of the Community Service Block Grant. RI DHS is charged by state law to provide public assistance to residents of the state who are in need and who meet the eligibility requirements of the various programs, which constitute public assistance. As an agency committed to access and achievement, the vision for the RI DHS is that all Rhode Islanders have the opportunity to thrive at home, work and in the community. DHS works hand-in-hand with community partners and resources throughout our great State to deliver critical benefits, supports and services to more than 300,000 families, adults, children, older adults, individuals with disabilities and veterans every year. We are part of the solution to end poverty and food insecurity, and we make a lasting, positive impact on the States health and future. More specifically, DHS strives to guarantee: Families are strong, productive, healthy, and independent. Adults are healthy and reach their maximum potential. Children are safe, healthy, ready to learn and reach their full potential. Child Care providers deliver high quality education services. Older Adults and Seniors and individuals with disabilities receive all necessary services to enhance their quality of life. Veterans are cared for and honored. DHS believes in continuous improvement. We have guiding principles and a strategic plan with strategies to help us operate as efficiently as possible and always support the whole family. The programs which DHS administers are: RIWorks (TANF); Child Care Assistance Program; Supplemental Nutrition Assistance (SNAP); Summer Electronic Benefit Transfer (SEBT); Long-Term Care; General Public Assistance; State Supplemental Payment; Low-Income Home Energy Assistance; Low-Income Household Water Assistance; Weatherization Assistance Program; Eligibility for Medicaid; Administration of Grants: Community Service Block Grant, Social Services Block Grant, Family Violence Prevention Services Grant; Refugee Resettlement Grants, Emergency Food Assistance Program grants, state Domestic Violence grants. Additionally, the department administers programs and services for specific populations and needs through its: Office of Healthy Aging; Office of Veterans Affairs; Office of Child Support Services; Office of Rehabilitation Services.

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.)

RI DHS is committed to partnering with our network of Community Action Agencies and the State Association (RICAA) to address and end poverty in Rhode Island. Accordingly, our goals for State administration under this Plan are to: 1. Provide CSBG Discretionary Funds annually to RICAA for activities that strengthen, connect, and support the networks anti-poverty work including priorities described below: Meeting CSBG requirements, including managing tripartite boards, and preparing for Organizational Standard and Triennial Monitoring Data analysis and using data in storytelling Conducting the next statewide community needs assessment, which can be used as a tool to inform both the network and other stakeholders of the needs of Rhode Islanders and available supports Facilitating ongoing Communities of Practice, roundtables, and/or other opportunities for collaboration between Community Action Agency staff and public and private partners in key focus areas Raising awareness about poverty and position Community Action Agencies as leaders in economic opportunity and anti-poverty work in the state 2. Collaborate with the network, RICAA, and our software vendor to increase use and understanding of the Codect data tracking software to ensure full and consistent reporting of CSBG outcomes. Incorporate updates, as necessary, to meet requirements of the revised federal CSBG Annual Report and support training and technical assistance for the network, as needed. 3. Coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to individuals with low-income while avoiding duplication. This includes strengthening the partnership between RI DHS and the network to ensure that network staff are well-versed in not only what programs RI DHS administers, but also how to access them to ensure that under-resourced families can maximize available supports in a timely and efficient manner. 4. Attend CSBG-related training and conferences to stay informed on recent developments impacting our network. Training and conferences may include those hosted by organizations such as New England Community Action Partnership, National Community Action Partnership, CAPLAW, and National Association for State Community Service Programs.

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)

Consultation with Directors of the Community Action Agencies

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)

<input checked="" type="checkbox"/> State Association				
<input type="checkbox"/> National Association for State Community Services Programs (NASCS)				
<input type="checkbox"/> Community Action Partnership (NCAP)				
<input type="checkbox"/> Community Action Program Legal Services (CAPLAW)				
<input type="checkbox"/> CSBG Tribal Training and Technical Assistance (T/TA) provider				
<input type="checkbox"/> Regional Performance Innovation Consortium (RPIC)				
<input type="checkbox"/> Association for Nationally Certified ROMA Trainers (ANCRT)				
<input type="checkbox"/> Federal CSBG Office				
<input type="checkbox"/> 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.				
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>				
<p>RI DHSs Administrator of Community Program is in regular contact with each of the States eligible entities and uses each interaction as an opportunity to solicit feedback related to the administration of the CSBG. Ahead of the submission of this years CSBG State Plan, the state Administrator met individually throughout April and May of 2025 with the management teams of each eligible entity to review the contents of the States prior State Plan submission and discuss areas for improvements/updates. The results of individual conversations were then summarized for a broader planning conversation as part of the RI Community Action Associations monthly board meeting on May 21, 2025. Insights from these meetings provided the basis for this years Plan, which was shared in draft form with each of the eligible entities for feedback on June 27, 2025. Entities were provided with a link to a Microsoft Form with both guided and open-ended opportunities to provide feedback on the draft plan and were asked to provide any feedback by July 16, 2025. Within the feedback form, entities were asked about their preference for additional conversation around the state plan in either group or individual settings. One eligible entity and the State Association provided feedback via the feedback form, and an additional one-on-one meeting was set up with the State Association on July 21, 2025 to further discuss the State Plan. All feedback was incorporated into the final draft plan ahead of the public hearing, which took place on August 18, 2025. Entities were provided notice of the public hearing along with the final draft of the State Plan on August 7, 2025.</p>				
<p>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:</p> <p>1) encourage eligible entity participation and</p> <p>2) ensure the State Plan reflects input from eligible entities?</p> <p>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.</p>				
<i>(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)</i>				
<p>While the CSBG Administrator and the eligible entities have enjoyed a long-standing partnership, strengthened by regular and open communication channels, this years State Plan development process was adjusted to increase eligible entity participation and be more reflective of their feedback. This was accomplished by engaging eligible entities earlier in the State Plan development process and asking each entity specific questions related to the State Plan and how it informs their own operations. Approaching these conversations in both individual and group settings allowed for entities to engage candidly with the CSBG Administrator in a one-on-one setting while also allowing them to benefit from collective learning and reflection as part of the broader Association conversation.</p>				
3.5. Eligible Entity Overall Satisfaction:				
Provide the State's target for eligible entity Overall Satisfaction during the performance period:				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; padding: 5px;">Year One</td> <td style="width: 33%; padding: 5px; text-align: center;">85</td> <td style="width: 33%; padding: 5px;">Year Two</td> <td style="width: 33%; padding: 5px; text-align: center;">90</td> </tr> </table>	Year One	85	Year Two	90
Year One	85	Year Two	90	
<p>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.</p> <p><i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i></p>				

Section 4: CSBG Hearing Requirements

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

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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.

The Public Hearing was held on August 18, 2025, and notice of the hearing with the draft of the State Plan was posted on August 7, 2025 on the RI Department of Human Services website in a section dedicated to proposed rules, regulations, and upcoming hearings. A notice to interested parties informing them of the CSBG State Plan hearing was sent via email on August 8, 2025 to leadership and staff at the eligible entities as well as to the State Association. The posting remained on the website beyond the hearing date. Written comments were accepted as part of the public hearing process starting from the date of notification on August 7, 2025 and concluding at the close of business on the day of the hearing, August 18, 2025.

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 and details of the time and location of the Public Hearing was posted eleven days before the Public Hearing. Provisions were made for handicapped and deaf or hard of hearing residents, and a means of submitting written comments was also given. The Public Hearing was held on August 18, 2025, and notice of the hearing with the draft of the State Plan was posted on August 7, 2025 on the RI Department of Human Services website in a section dedicated to proposed rules, regulations, and upcoming hearings. The State acknowledges the OCS recommendation to allow for no less than 30 days for the public review comment on the State Plan, however, due to the timing of Federal guidance for this year's State Plan submission, 30 days' notice was not possible. Despite not being able to allow for a longer notice period prior to the public hearing, the State actively and meaningfully engaged eligible entities and interested parties throughout the development of the State Plan, as evidenced in Module 3 of this plan. Notice of the State Plan hearing was posted at least 10 days prior to the hearing date, in accordance with RI public meeting procedures, though the State acknowledges OCS's recommendation to provide no less than 2 weeks' notice ahead of the public hearing.

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	08/18/2025	25 Howard Avenue, Cranston, RI 02920	Public	<input type="checkbox"/>
2	04/03/2024	RI State House, Room 35, 85 Smith Street Providence, RI 02903	Legislative	<input type="checkbox"/>

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

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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	Blackstone Valley Community Action Program Inc.	Central Falls, Cumberland, Lincoln, Pawtucket	Non-Profit	Community Action Agency
2	Community Action Partnership of Providence	Providence	Non-Profit	Community Action Agency
3	Community Care Alliance	Woonsocket	Non-Profit	Community Action Agency
4	Comprehensive Community Action, Inc.	Coventry, Cranston, Foster, Scituate	Non-Profit	Community Action Agency
5	East Bay Community Action Program	Barrington, Bristol, East Providence, Jamestown, Little Compton, Middletown, Newport, Portsmouth, Tiverton, Warren	Non-Profit	Community Action Agency
6	Tri-County Community Action Agency	Burrillville, Charlestown, Glocester, Exeter, Hopkinton, Johnston, Narragansett, New Shoreham, North Kingstown, North Providence, North Smithfield, Richmond, Smithfield, South Kingstown, Westerly, West Greenwich	Non-Profit	Community Action Agency
7	Westbay Community Action, Inc.	East Greenwich, Warwick, West Warwick	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities 7

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 beendesignated 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, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i>, 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	
<input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> 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.	
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	
<input checked="" type="radio"/> 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. <i>[Check all that apply and narrative where applicable]</i>	
<input type="checkbox"/> Regulation	
<input type="checkbox"/> Policy	
<input checked="" type="checkbox"/> Contracts with eligible entities	
<input type="checkbox"/> Other, describe:	
6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). <i>[Check all that apply.]</i>	
<input type="checkbox"/> Peer-to-peer review <i>(with validation by the State or state-authorized third party)</i>	
<input checked="" type="checkbox"/> Self-assessment <i>(with validation by the State or state-authorized third party)</i>	
<input type="checkbox"/> Self-assessment/peer review with state risk analysis	
<input type="checkbox"/> State-authorized third party validation	
<input checked="" type="checkbox"/> Regular, on-site CSBG monitoring	
<input type="checkbox"/> Other	
6.3a. Assessment Process: Describe the planned assessment process.	
Each year, eligible entities are required to submit a completed Self-Assessment Tool for Private CEEs to the CSBG Administrator. This tool was designed by the OCS-funded organizational standards Center of Excellence (COE) to assist State CSBG Offices in assessing compliance with CSBG organizational standards. The states Community Action Association (RICAA) assists with the dissemination and collection of this tool and is also available to provide technical support to eligible entities, as needed. Upon submission, the CSBG Administrator reviews each entity's tool and meets with the eligible entity's management team to discuss the assessment. Additional documentation is collected and/or reviewed, as necessary, to confirm the results of each entity's self-assessment. Beginning in FY25, the CSBG Administrator is approaching the Organizational Standards review with increased scrutiny and anticipates that entities may require enhanced training and technical assistance in order to both meet and fully document the CSBG Organizational Standards. For this reason, it is anticipated that the state's overall anticipated compliance with Organizational Standards may decrease as compared to prior year targets within the first year of this plan but will continue improve year over year as the process is refined and additional training and TA are provided to 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)? <input type="radio"/> Yes <input checked="" type="radio"/> 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	71%	Year Two	86%
<i>Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.</i>			

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.			
<input type="radio"/> Historic			
<input checked="" type="radio"/> Base + Formula			
<input type="radio"/> Formula Alone			
<input type="radio"/> Formula with Variables			
<input type="radio"/> Hold Harmless + Formula			
<input type="radio"/> Other			
7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities. Five percent (5%) of Fiscal Year 2026 and 2027 CSBG funds allocated to Rhode Island will be available for statewide special projects that benefit CSBG and all eligible entities. No less than ninety percent (90%) of Fiscal Year 2026 and 2027 CSBG funds allocated to Rhode Island shall be distributed to eligible entities in order to maintain the statewide human service delivery network. Distributions to eligible entities in Federal Fiscal Year 2026 and 2027 will be made on the following basis: 1. A baseline amount distributed equally to support essential administrative and managerial functions. 2. An amount based on the percentage of the incidence poverty in the service area of each agency as compared to the statewide incidence of poverty, derived from the United States Census Data.			
7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? <input type="radio"/> Yes <input checked="" type="radio"/> 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
Blackstone Valley Community Action Program Inc.	\$528,792		
Community Action Partnership of Providence	\$945,790		
Community Care Alliance	\$293,569		
Comprehensive Community Action, Inc.	\$343,332		
East Bay Community Action Program	\$460,895		
Tri-County Community Action Agency	\$537,578		
Westbay Community Action, Inc.	\$324,027		
Total			\$3,433,983
CSBG Eligible Entity Year Two			
CSBG Eligible Entity	Year Two Funding Amount \$		Delete
Blackstone Valley Community Action Program Inc.	\$528,792		
Community Action Partnership of Providence	\$945,790		
Community Care Alliance	\$293,569		
Comprehensive Community Action, Inc.	\$343,332		
East Bay Community Action Program	\$460,895		
Tri-County Community Action Agency	\$537,578		
Westbay Community Action, Inc.	\$324,027		
Total			\$3,433,983
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).			

For FY26, projected allocation amounts for each agency are conservatively earmarked based on an assumed FY26 award amount equal to 90% of the FY25 award level, given the current uncertainty within the Federal funding landscape. The allocation for each eligible will be subject to the submission of an annual Community Action Plan/application for funding. This process is designed to promote the purposes of the Community Services Block Grant and ensure alignment to CSBG outcomes and indicators. All eligible entities (CAAs) requesting CSBG funds submit a CSBG application in the format prescribed by the state. The required documents and materials for the application are: a. An application narrative, including the following sections i. Introduction and Agency Mission ii. Summary of Needs Assessment iii. Description of Gaps and Linkages b. A Workplan which describes the services/strategies to be implemented and the indicators that will be tracked as well as a description of the Service Delivery System and Coordination of Resources c. A detailed Budget and narrative Budget Justification d. Identification of Authorized Individuals e. Organizational Structure and Staff (Organizational Chart) f. Board of Directors with Addresses, phone numbers, organized by tri-partite groupings with start dates, end dates, and vacancy information g. Current By-laws with board approval date h. Current personnel policies with board approval date Projected allocation amounts, program requirements, plan criteria, and other pertinent data are distributed annually in the spring and eligible entities are given 4-6 weeks to respond to the State CSBG Office with the required documentation. Based on the submitted funding applications/Community Action Plans, RI DHS enters into contracts with each agency and invoices and reports are submitted according to those contracts. The whole contracting process takes approximately 8-12 weeks to complete and is initiated in or around July of each year to ensure that contracts are in place at the start of the performance period for newly obligated funding. Invoices are paid through electronic transfer by State Accounts and Control in the RI Department of Administration. All invoices are paid net thirty. Eligible entities submit monthly fiscal reports and annual program reports.

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.

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

7.5. Distribution of Funds Performance Management Adjustment:

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

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

The State uses a centralized Grant Management System (GMS) that streamlines both the contracting and invoicing process for eligible entities. This system receives continual updates and enhancements to meet the needs of the State and its subgrantees. In addition to improvements made through GMS, the CSBG Administrator will strive to continue to improve grant and contract administration through increased collaboration between the program and finance divisions at RI DHS. Collaborative efforts will include revising and strengthening guidance included as part of the annual application for funding/Community Action Plan process, specifically as it pertains to the development of CSBG budgets; revising the current contracting process to align contract periods to the performance period of the funding source, which will minimize the need for contract revisions/amendments; and reviewing current fiscal and program monitoring procedures to identify opportunities to streamline requests to eligible entities and reduce redundancies.

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

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

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
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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	1.00	Year Two	1.00
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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	0.50	Year Two	0.50
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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%
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Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)

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

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

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	\$100,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$50,000.00	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	\$40,777.00	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	\$0.00	
Total	\$190,777.00	
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$100,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$50,000.00	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	\$40,777.00	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	\$0.00	
Total	\$190,777.00	

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]

<input type="checkbox"/>	The state directly carries out all activities (No Partnerships)
<input type="checkbox"/>	The state partially carries out some activities
<input checked="" type="checkbox"/>	CSBG eligible entities (<i>if checked, include the expected number of CSBG eligible entities to receive funds</i>) 2
<input checked="" type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input type="checkbox"/>	National technical assistance provider(s)
<input type="checkbox"/>	Individual consultant(s)
<input type="checkbox"/>	Tribes and Tribal Organizations
<input type="checkbox"/>	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.*

Historically, the State has used discretionary CSBG funding to support a combination of statewide initiatives, as implemented through the RI Community Action Association (RICAA), and innovative programs and activities, as proposed by the eligible entities and other anti-poverty organizations within the state. RI DHS plans to continue this methodology for obligating discretionary funding and will continue to solicit feedback from both the eligible entities and RICAA to determine funding priorities. Already, the eligible entities have identified increased training, especially as it relates to ROMA and the CSBG organizational standards, as a need across entities for the upcoming plan years. RI DHS also plans to partner with RICAA to support the conducting of a statewide needs assessment, to improve data collection and reporting processes for CSBG, and to support CSBG collaborative learning and outreach efforts.

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 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	ROMA	
2	Ongoing / Multiple Quarters	Both	Technology	
3	Ongoing / Multiple Quarters	Both	Community Assessment	
4	Ongoing / Multiple Quarters	Both	Monitoring	
5	Ongoing / Multiple Quarters	Both	Organizational Standards - General	

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	ROMA	
2	Ongoing / Multiple Quarters	Both	Technology	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	

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	\$100,000	Year Two	\$100,000
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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.

Eligible entities plan the goals of training/technical assistance sessions at monthly meetings with the CSBG Administrator and the State Association, deciding on topics and presenters. The State and State Association meet regularly to discuss training and TA goals and how to achieve them. The majority of training activities are coordinated by the State Association in collaboration with the CSBG Administrator. Depending on the topic, training may be provided by the State, the State Association, a third-party subject matter expert, or via a peer learning opportunity among the eligible entities.

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. Training and technical assistance related to CSBG organizational standards for the upcoming plan years will leverage peer learning opportunities coupled with individualized technical assistance. RI DHS will partner with RICAA to facilitate peer learning opportunities for eligible entities to share best practices related to both complying with and documenting compliance with CSBG organizational standards. Following these peer learning sessions, the CSBG Administrator will determine additional training needs, in consultation with the eligible entities and RICAA, and will offer individualized technical assistance opportunities for those entities requesting additional support. Technical Assistance Plans will be developed, as necessary, based on the results of organizational standards monitoring.

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)

<input type="checkbox"/> Tribes and Tribal Organizations	
<input type="checkbox"/> 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

Training and technical assistance provided under this plan will focus on more formal, State-facilitated opportunities with subject-matter to be determined based on the results of monitoring efforts and consultation with the eligible entities and RICAA. Based on conversations between the CSBG Administrator and eligible entities, ROMA, CSBG Organizational Standards, and CSBG data/reporting and technology use have been identified as the areas of most need for additional training. Where possible, training will include peer learning opportunities where eligible entities can share best practices and learn from each others organizational challenges and successes. Technical assistance will be offered on an individualized basis, as requested by the eligible entities and/or as determined necessary based on the results of monitoring activities. Through monthly RICAA meetings as well as individual conversations with the CSBG Administrator during the spring and summer of 2025, the eligible entities have expressed a desire to have more transparency across entities on how CSBG funds are used, innovative projects, and other strategies for success implemented at each agency. In partnership with RICAA, the State will work to ensure that training opportunities in FY26 and FY27 include both a formal, informational component, as well as an opportunity for peer learning and sharing.

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

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.

The RI DHS is well positioned to evaluate the coordination and effectiveness of government and non-government public welfare programs because of the programs for which it is responsible. The Low Income Home Energy Assistance Program, the Low-Income Household Water Assistance Program, the Weatherization Program, the Temporary Assistance for Needy Families program, the state Head Start Office, the Supplemental Nutrition Assistance Program, the Summer Electronic Benefit Transfer Program, the Refugee Resettlement Program, the Social Services Block Grant, the Family Violence Prevention Services grant, the Emergency Food Assistance Program, the state Office of Veterans Affairs, the state Office of Rehabilitation Services, the Office of Elderly Affairs, and the Office of Child Support Services are all administered by the RI DHS. RI DHS leadership, including the Administrators for each of these programs, meet regularly to help promote a culture of continuous improvement and quality, which will result in efficient and equitable service delivery across all programs administered by the Department. Also, the RI DHS is part of a larger state secretariat that coordinates the work of the RI DHS, the RI Department of Health, the RI Department of Children, Youth & Families, and the RI Department of Behavioral Healthcare, Developmental Disabilities, and Hospitals. RI DHS also has working relationships with the RI Department of Labor & Training, the RI Department of Education, and the RI Department of Housing. RI DHS also participates in the Governor's Workforce Board along with the Department of Labor and Training to implement the Workforce Innovation and Opportunity Act. Based on its scope of responsibility and position within the state, RI DHS can provide linkages with a variety of public and private partners, including the non-profit network throughout the state, to ensure that the mission of the eligible entities is supported and advanced.

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.

RI DHS communicates with nearly every human service provider in the state and the eligible entities maintain strong relationships with a wide spectrum of providers. The accessibility and provision of services is discussed at regular meetings with eligible entities and is a point of examination in the administration of federal and state funds through the contracting process across RI DHS programs. Ongoing efforts include areas such as participation in community-wide coordinating and planning councils, utilizing cross referrals among local human services agencies, and participating in electronic network groups.

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 seven Community Action Agencies operating in RI collectively service the entire state. Each eligible entity has developed a service delivery system unique to its community's needs and financial resources. However, common to all agencies is: their networking, coordination, and collaboration with local public and private emergency service providers in meeting clients emergency needs; their assessment of client non-emergency needs and the effective coordination of eligible entity and local area services for maximum benefit to the client; and the delivery of services in such a way as to foster self-sufficiency rather than dependency. All eligible entities work closely with each other, local service providers, and a statewide 2-1-1 referral system that would enlist provision of services where there are gaps identified. Additionally eligible entities are required to evaluate service gaps and identify new or existing linkages that can be used to fill those gaps as part of the annual Community Action Plan/application for funding, which is the first step in the process of allocating CSBG funds.			
9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? <input checked="" type="radio"/> Yes <input type="radio"/> 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.			
RI DHS links with the WIOA system through TANF and SNAP activities. Participation in WIOA by eligible entities takes place through local workforce boards that are, in turn, part of the Governor's Workforce Board.			
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.			
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>			
As part of its administration of the Low-Income Home Energy Assistance Program (LIHEAP) and the Low-Income Household Water Assistance Program (LIHWAP), RI DHS partners with eligible entities throughout the state to deliver emergency energy crisis intervention. RI DHS contracts with eligible entities to do eligibility verification and enrollment for LIHEAP and LIHWAP for all communities in the state.			
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>			
RI DHS and the CSBG eligible entities will continue, to the maximum extent possible, to coordinate and form partnerships with other organizations serving low-income residents and communities, including faith-based organizations, charitable groups, and community organizations. Eligible entities report their collaborations with these other organizations to RI DHS on a yearly basis as part of the annual Community Action Plan/application for CSBG funding.			
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>			
Many of the Community Action Agencies in RI use a portion of their CSBG funds to support central operational/administrative costs in addition to management costs of their direct service programs. The ability to deploy CSBG funds in this flexible manner is vital in allowing eligible entities to focus efforts on the coordination of public and private resources while continuing to administer a wide variety of direct service programs. Eligible entities coordinate the vast majority of their programs with public and private resources and have both formal and informal agreements concerning coordination, referrals, exchange of information, specific services to be provided, funding, volunteers, etc. Examples of public resources include health care providers; housing development authorities; public utilities; One Stop centers; Federal grantors; etc. Examples of private resources include volunteers, mentoring and literacy coalitions; child and senior care providers; churches, food pantries, United Way, and local foundations.			
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>			
The State Community Action Association (RICAA) meets monthly with all eligible entities in the state. RICAA coordinates advocacy and legislative efforts, training, common projects, such as the development of a system of data warehouses in the eligible entities, and shared concerns. The state CSBG Administrator meets regularly with the group, which includes executives from each of the eligible entities, and also with the director of RICAA. Information and coordination of services and programs are shared at these meetings.			
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	As needed	Meetings/Presentation	
State Plan Development	Annually	Meetings/Presentation Email	
Organizational Standards Progress	As needed	Meetings/Presentation 1:1	
State Accountability Measures Progress	Annually	Other	Contract application
Community Needs Assessments/ Community Action Plans	Semi-Annually	Meetings/Presentation Email	
State Monitoring Plans and Policies	Annually	Meetings/Presentation Email 1:1	
Training and Technical Assistance (T/TA) Plans	Semi-Annually	Meetings/Presentation	
ROMA and Performance Management	As needed	Meetings/Presentation 1:1	
State Interagency Coordination	As needed	Meetings/Presentation Email	
CSBG Legislative/Programmatic Updates	As needed	Meetings/Presentation Email	
Tripartite Board Requirements	Annually	Other	Contract application

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.

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

The CSBG Administrator will provide feedback the eligible entities and the State Association regarding performance on State Accountability Measures, as necessary, through a variety of formal and informal communication channels. Such communication may include verbal updates from the CSBG Administrator during monthly State Association or other meetings, or more formal communication channels (i.e. formal letter), when necessary.

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.

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

With the size of the state, it is possible for all eligible entities to meet in person with the CSBG Administrator and the statewide Association on a regular basis, making effective, direct communication the norm. In FFY25, the State restructured its management of the RI DHS Community Programs portfolio and has placed the CSBG under the responsibility of a new CSBG Administrator with a more focused program portfolio than in prior years. With this restructuring, the State's communication plan will not change in regard to communication methods and minimum points of contact, however, eligible entities can expect an even higher level of engagement from the CSBG Administrator than in previous years, which will include participation in CAA meetings and events, as well as site visits and other formal and informal communications, as necessary.

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.							
<i>Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.</i>							
	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	Blackstone Valley Community Action Program Inc.	Full On-site	Onsite Review	FY1 Q4	09/08/2023	09/08/2023	
2	Tri-County Community Action Agency	Full On-site	Onsite Review	FY1 Q3	05/31/2023	05/31/2023	
3	Westbay Community Action, Inc.	Full On-site	Onsite Review	FY1 Q2	05/02/2023	05/02/2023	
1	Comprehensive Community Action, Inc.	Full On-site	Onsite Review	FY2 Q1	09/14/2023	09/14/2023	
2	East Bay Community Action Program	Full On-site	Onsite Review	FY2 Q2	09/01/2023	09/01/2023	
10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.							
see attached							
10.3. Initial Monitoring Reports: According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?							
<i>Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.</i>							
30							
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? <input checked="" type="radio"/> Yes <input type="radio"/> 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>							
0							
10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP							
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>							
The State will maintain a list of eligible entities on QIPs at any given time and will update that list as changes occur. A copy of the States QIP tracking log will be shared with OCS upon update.							
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). <input checked="" type="radio"/> Yes <input type="radio"/> No
Note: This response will link with the corresponding assurance under item 14.8.
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input type="radio"/> Yes <input checked="" type="radio"/> 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
If any area of the State ceases to be served by an eligible entity, the State may solicit applications and designate a private, nonprofit organization as a new eligible entity to meet the identified need. Any organization seeking designation as an eligible entity must be capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency and must meet the requirements of a CSBG eligible entity, which include, but are not limited to, the tripartite board. To be designated as an eligible entity an organization must demonstrate effectiveness in meeting the goals and purpose of the CSBG. Priority in granting designation will be giving to organizations that meet the previously stated requirements and are providing related services in the area.
10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities <input type="radio"/> Yes <input checked="" type="radio"/> 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
If the State determines, based on a final decision in a review, that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide eligible services under this subtitle, or to meet appropriate standards, goals, and other requirements established by the State or Federal government (including performance objectives), the State shall: 1. Inform the entity of the deficiency to be corrected. 2. Require the entity to correct the deficiency. 3. If appropriate, offer training and technical assistance to help correct the deficiency and prepare and submit to OCS a report stating what was determined and why. 4. The State, taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency, can allow the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period, as determined by the State. The State has no more than 30 days after receiving an eligible entity's proposed quality improvement plan to either approve the proposed plan or specify the reasons why the proposed plan cannot be approved. 5. After providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding of the eligible entity unless the entity corrects the deficiency. 6. Any eligible entity having their funding suspended, terminated, or reduced will be informed in writing of their right to an appeal. The following procedures will be implemented: The State will notify the eligible entity in writing of the pending action. The eligible entity will have 30 working days to request a hearing. The State will conduct a hearing within 20 working days of the request to determine that cause existed. The State will make a decision within 10 working days of the hearing. The hearing will be conducted on the record and follow CSBG procedures. Any determination made by the State shall be subject to review by OCS.
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? <input type="radio"/> Yes <input checked="" type="radio"/> 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.
For voluntary or involuntary relinquishment and re-designation of existing eligible entities, corrective action(s) would be requested by the CSBG Administrator prior to considering re-designation. The State will collaborate with the statewide Community Action Agency network to facilitate the best solution for the betterment of the program and the network.
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).
RI DHS will review each eligible entity's fiscal control and fund accounting procedures to ensure the proper use of and accounting of CSBG funds. The State, through the contracting process, establishes that the CAAs are subject to the following: 1. cost and accounting standards of the Office of Management and Budget; 2. an annual independent audit; and 3. maintaining appropriate books, documents, papers, and records, which are available for review by State and/or Federal representatives. In accordance with Section 678D of the CSBG Act, fiscal control and fund accounting procedures have been established which ensure the proper disbursement of and accounting for Federal funds paid to the State under this subtitle, including procedures for monitoring the assistance provided under this subtitle. Monthly financial reports with attendant expenditure documentation are required of all CSBG Sub-recipients and are a condition of payment under the contract. All Sub-recipients are also required to have an annual agency audit conducted by independent auditing entity; the audits must be constructed in accordance with accepted accounting principles. DHS, as a state agency is subject to annual audits by the Office of the Auditor General, in accordance with the 2 CFR 200 and generally accepted government auditing standards. On-site program and fiscal monitoring will be conducted by DHS for all CSBG Sub-recipients at least every three years. The purpose of CSBG monitoring is to provide a comprehensive review of each CAA that considers financial/administrative management, programs and services, strategic planning, evaluation and results, human resource management, linkages and collaborations, leadership and governance. In accordance with Subsection 678D, an audit of its expenditures of amounts received under this subtitle and amount transferred to carry out the purposes of this subtitle will be submitted to eligible entities, at no charge, to the legislature of the State, and to the secretary upon request. Also, contracts with CSBG Sub-recipients contain provisions regarding required fiscal procedures and addenda to the contract, which detail additional fiscal requirements. If, in the monitoring process, expenditure is found not to comply with a Federal and/or State regulation or statute, that expenditure will be disallowed and will have to be repaid to the State.
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.
All Sub-recipients are required to have an annual agency audit conducted by independent auditing entity; these audits must be constructed in accordance with accepted accounting principles. RI DHS, as a state agency is subject to annual audits by the Office of the Auditor General, in accordance with the 2 CFR 200 Subpart F. If eligible entities have findings in their annual audits, the State requires a statement of corrective action.
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.

No adjustments have been made to previously established monitoring policies and procedures. The frequent and regular communication between the CSBG Administrator and the directors of all eligible entities enables timely knowledge of and response to any concerns.

Section 11: Eligible Entity Tripartite Board

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Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 11 Eligible Entity Tripartite Board

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

- ☐ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☐ Track Board vacancies/composition
- ☐ Other

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., [*Select one and narrative where applicable*]

- ☒ 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

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

Bylaws, board minutes, and lists of board members of all eligible entities are required annually as part of the funding application/contract process. Documentation is also reviewed as part of the annual self-assessment of organizational standards and through routine monitoring activities.

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.

Section 12: Individual and Community Eligibility Requirements

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Administration for Children and Families
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SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

[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]*

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.

The income and asset eligibility for services and the definition of family/household composition depends on the specific program and funding source. For example, for the LIHEAP, LIHWAP, and Weatherization eligibility determination, the income standard is 60% of state median income. For services and programs for which there is no prescribed federal or state income, asset, or household composition standard, the eligible entities use the 125% FPL standard.

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.

Intake case records are required and are kept in client tracking systems that can be examined by the State.

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).

The annual Community Action Plans submitted by the eligible entities are reviewed to ensure that location, access, and enrollment requirements are directed to low-income people.

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

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Administration for Children and Families
Community Services Block Grant (CSBG)

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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 I, 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.

Through the application and contracting process, the State requires eligible entities to provide assurance of participation in the Results Oriented Management and Accountability System for measuring performance and results of CSBG services/interventions, and to provide information describing how these assurances will be carried out. As part of this process, eligible entities must describe the outcome measures that will be used to measure their performance in promoting self-sufficiency, family stability, and community revitalization.

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

We use the current NPIs.

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.

RI DHS focuses the work of the eligible entities on the anti-poverty goals of CSBG, against which they can measure their organizations and the impact their services are having. The annual application for funding/contracting process requires eligible entities to submit a work plan tied to CSBG goals and National Performance Indicators. Regular needs assessments and strategic planning processes are also required, which help to define how the eligible entities will implement strategies to address poverty, in line with each of their respective missions.

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.

The State, along with the Community Action Association and the eligible entities, has created a data warehouse, which collects data from disparate databases to yield unduplicated counts that guide assessment and planning as part of the ROMA process. The State has also supported, and will continue to support, ROMA training and certification for association and eligible entity staff.

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.

Submission of a Community Action Plan is a required part of the annual application for funding/contracting process for CSBG. Documentation is collected from each eligible entity, reviewed by the CSBG Administrator, and incorporated into each entity's contractual agreement as part of this annual process. Required Community Action Plan elements include: a. An application narrative, including the following sections i. Introduction and Agency Mission ii. Summary of Needs Assessment iii. Description of Gaps and Linkages b. A Workplan which describes the services/strategies to be implemented and the indicators that will be tracked as well as a description of the Service Delivery System and Coordination of Resources c. A detailed Budget and narrative Budget Justification d. Identification of Authorized Individuals e. Organizational Structure and Staff (Organizational Chart) f. Board of Directors with Addresses, phone numbers, organized by tri-partite groupings with start dates, end dates, and vacancy information g. Current By-laws with board approval date h. Current personnel policies with board approval date

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.

A community needs assessment is a required component of each eligible entity's annual application for funding, as described above. As part of this process, entities are asked to: Summarize on one or two pages an analysis of the critical and major community needs based on a Community Needs Assessment. Your summary should include a description of the qualitative and quantitative data used to support the identified needs, a description on how data was collected and analyzed, and a summary of how your community's needs have changed/evolved from prior assessments.

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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SECTION 14 CSBG Programmatic 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;

In order to receive funding, each eligible entity must submit, among other things, an annual work plan. Each work plan describes how the agency will meet the needs identified in its community needs assessment summary by offering services and measuring outcomes aligned to the service and indicator domains included in the OCS Annual Report 3.0. All activities must significantly contribute toward the goals and the purposes of the CSBG Act. Special program activities supported directly or indirectly by CSBG funds may include, but are not limited to, the following: 1. Employment services including vocational/career counseling, training, placement, youth and senior employment programs. 2. Education programs including Head Start, day care, other preschool programs, tutorial programs, and adult education programs. 3. Consumer education and information projects including nutritional education and counseling, energy conservation training program, consumer counseling and education programs, and consumer program for senior citizens. 4. Housing assistance programs including supportive activities for low-income energy assistance and weatherization programs, crisis intervention, and emergency shelter. 5. Emergency services including loans and grants to meet immediate and urgent individual and family needs such as health services, food, housing, and employment related assistance. 6. Nutrition services including senior meals and childcare feeding programs, emergency food programs, surplus commodity projects, and community food and nutrition programs. 7. Projects that promote self-sufficiency, which may include vocational counseling and training programs, health and mental health services, alcohol and substance abuse, day care, and geriatric day care. 8. Projects that promote community involvement and participation including coordination and training mechanisms designed to increase the skills and abilities of eligible programs participants. 9. Projects that promote more effective use of programs and services including public safety, improving relationships with law enforcement, information and referral, community outreach, and transportation services. 10. Health center services including general medical and dental clinics as well as testing and laboratory services. 11. Services to older Americans including senior meals programs, geriatric day care, employment and recreational projects, consumer education, assistance to homebound older persons, low-income energy assistance, and nutritional programs including direct commodity distribution.

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;

In order to receive funding, the eligible entity must submit a Work Plan that describes how the agency will meet the needs identified in its needs assessment summary, categorized by the following areas: employment, education, income & assets, housing, health & nutrition, civic engagement, transportation, and emergency management. The Work Plan must address how the CAA will address the needs of youth through the selection of CSBG strategies/services, as appropriate, in each section of the work plan.

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)
Through the funding applications, the contracting process, regular meetings with all eligible entities RIDHS will ensure that grant funds will be used in ways that maximize the effectiveness of programs and services related to the purposes of the CSBG Act. The RI Department of Human Services is well-positioned to evaluate the coordination and effectiveness of government and non-government public welfare programs because of the programs for which it is responsible. RI DHS is also part of a larger state secretariat that coordinates the work of the RI DHS, the RI Department of Health, the RI Department of Children, Youth & Families, and the RI Department of Behavioral Healthcare, Developmental Disabilities, and Hospitals. RI DHS also has working relationships with the RI Department of Labor & Training, the RI Department of Education, and the RI Office of Housing and Community Resources. All eligible entity activity can be aligned with the initiatives of these agencies.
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;
Given the size of our state and local resources, all eligible entities actively participate in local networking and planning organizations, including multi-purpose collaborative bodies, human service coordinating bodies, workforce development boards, etc. As participants, they take an active role in identifying gaps in services and join with community leaders and service providers in planning and developing methods of getting services where they are needed. This is articulated in their annual CSBG funding application/Community Action Plan. Depending on the menu of services and programming at each eligible entity, low-income individuals and families have many portals through which to access services including health centers, food pantries, education sessions, childcare elder care, community meetings, etc. Additionally, the field offices of the RI DHS act as portals and referral points to eligible entity services. Eligible entities engage in community outreach and maintain a strong network of partnerships with social service, healthcare, government, and civic organizations through which they engage low-income families and individuals. Coordinated and structured assessments are done by all eligible entities for those who seek assistance in any way so that an informed referral can be made, or a suitable service provided. A description of the service delivery systems of the eligible entities is included in the annual funding application/Community Action Plan that is submitted to the State. Regular needs assessment, both by the individual eligible entities and statewide, consistently prompt the eligible entities to recognize and respond to emergent needs with new programming. Discussion between the state and the eligible entities about what assessments reveal builds the foundation for the establishment of appropriate
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 seven Community Action Agencies operating in RI collectively service the entire state. Each eligible entity has developed a service delivery system unique to its community's needs and financial resources. However, common to all agencies is: their networking, coordination, and collaboration with local public and private emergency service providers in meeting clients emergency needs; their assessment of client non-emergency needs and the effective coordination of eligible entity and local area services for maximum benefit to the client; and the delivery of services in such a way as to foster self-sufficiency rather than dependency. All eligible entities work closely with each other, local service providers, and a statewide 2-1-1 referral system that would enlist provision of services where there are gaps identified. Additionally eligible entities are required to evaluate service gaps and identify new or existing linkages that can be used to fill those gaps as part of the annual Community Action Plan/application for funding, which is the first step in the process of allocating CSBG funds.
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>
Many of the Community Action Agencies in RI use a portion of their CSBG funds to support central operational/administrative costs in addition to management costs of their direct service programs. The ability to deploy CSBG funds in this flexible manner is vital in allowing eligible entities to focus efforts on the coordination of public and private resources while continuing to administer a wide variety of direct service programs. Eligible entities coordinate the vast majority of their programs with public and private resources and have both formal and informal agreements concerning coordination, referrals, exchange of information, specific services to be provided, funding, volunteers, etc. Examples of public resources include health care providers; housing development authorities; public utilities; One Stop centers; Federal grantors; etc. Examples of private resources include volunteers, mentoring and literacy coalitions; child and senior care providers; churches, food pantries, United Way, and local foundations.
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

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

Regular needs assessment, both by the individual eligible entities and statewide, consistently prompts the eligible entities to recognize and respond to emergent needs with new programming. Discussion between the state and the eligible entities about what assessments reveal will call for appropriate initiatives. Current examples of this are new programs addressing behavioral health issues, re-entry programs for released prisoners, and wealth building programs to address disparities. These are shared and encouraged through the Community Action Association. Funds from this grant have been and can be used together with other revenue streams to make new initiatives possible.

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."

In order to receive funding, the eligible entity must submit a Work Plan that describes how the agency will meet the needs identified in its needs assessment summary, categorized by the following areas: employment, education, income & assets, housing, health & nutrition, civic engagement, transportation, and emergency management. The Work Plan must address how the CAA will address the need related to health and nutrition through the selection of CSBG strategies/services, as appropriate, in each section of the work plan. Additionally, RI DHS coordinates the Emergency Food Assistance Program with all the eligible entities and with the statewide Rhode Island Food Bank and the federal commodities program. Each Community Action Agency participates in the Emergency Food Assistance Program for the distribution of food commodities.

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.

Bylaws, board minutes, and lists of board members of all eligible entities are required annually as part of the funding application/contract process. Documentation is also reviewed as part of the annual self-assessment of organizational standards and through routine monitoring activities.

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.