

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: NORTH DAKOTA DEPARTMENT OF COMMERCE

Report Name: CSBG State Plan Revision # 1

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

Report Status: Submission Accepted by CO (Revision #1)

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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: 08/31/2027	
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: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update State Use Only: 5. Date Received By State: 6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: NORTH DAKOTA DEPARTMENT OF COMMERCE			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1450309764A6		* c. Organizational UEI: KPCQM5JFZBJ3	
* d. Address:			
* Street 1:	1600 EAST CENTURY AVENUE, SUITE 2	Street 2:	POST OFFICE BOX 2057
* City:	BISMARCK	County:	Burleigh
* State:	ND	Province:	
* Country:	United States	* Zip / Postal Code:	58502 -
e. Organizational Unit:			
Department Name: Department of Commerce		Division Name: Division of Community Services	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Marie	Middle Name:	* Last Name: Effertz
Suffix:	Title: DCS Director	Organizational Affiliation: ND Department of Commerce	
* Telephone Number: (701) 328-5319	Fax Number	* Email: meffertz@nd.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 North Dakota Community Services Block Grants Program			
12. Areas Affected by Funding:			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant ND		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD: a. Start Date: 10/01/2025		15. ESTIMATED FUNDING: b. End Date: 09/30/2026	
		* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

c. Program is not covered by E.O. 12372.

* 17. Is The Applicant Delinquent On Any Federal Debt?

☐ YES

☒ NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

****I Agree** ☒

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official
Maria Effertz Hanson

18c. Telephone (area code, number and extension)

18d. Email Address
meffertz@nd.gov

18b. Signature of Authorized Certifying Official



18e. Date Report Submitted (Month, Day, Year)
09/17/2025

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:08/31/2027	
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 checked="" type="radio"/> Yes <input 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"/>	Authorized Official	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	Zip Code	<input type="checkbox"/>	Office Number
<input type="checkbox"/>	Email Address	<input checked="" type="checkbox"/>	Website
1.2a. Lead agency		North Dakota Department of Commerce	
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 checked="" type="radio"/> Community Services Department			
<input type="radio"/> Governors Office			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input 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		Division of Community Services	
1.2d. Authorized Official of the Lead Agency			
Name: Maria Effertz		Title: Director, Division of Community Services	
1.2e. Street Address		1600 E. Century Ave., Suite 6	
1.2f. City		Bismarck	1.2g. State ND
		1.2h. Zip 58503	
1.2i. Telephone number 701 328 - 5300 ext. 5319		1.2j. Fax number 701 328 - 5320	
1.2k. Email address meffertz@nd.gov		1.2l. Lead agency website https://www.commerce.nd.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 checked="" type="radio"/> Yes <input type="radio"/> No			

If yes, select the fields that have changed [check all the apply]					
<input type="checkbox"/>	Agency Name	<input checked="" type="checkbox"/>	Point of Contact	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code	<input type="checkbox"/>	Office Number
<input checked="" type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address	<input checked="" type="checkbox"/>	Website
1.4a. Agency Name North Dakota Department of Commerce					
1.4b Point of Contact Name					
Name: Ben Faul			Title: CSBG Program Administrator		
1.4c. Street Address			1600 E. Century Ave., Suite 6		
1.4d. City			Bismarck	1.4e. StateND	1.4f. Zip 58503
1.4g. Telephone Number 701 328 - 5316 ext.			1.4h. Fax Number 701 328 - 5320		
1.4i. Email Address bfaul@nd.gov			1.4j. Agency Website https://www.commerce.nd.gov/community-services/low-income-programs/community-services-block-grant-csbg		
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"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	State	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead		
1.5a. Agency Name Community Action Partership of North Dakota					
1.5b. Executive Director or Point of Contact					
Name: Andrea Olson			Title: Executive Director		
1.5c. Street Address			3233 South University Drive		
1.5d. City			Fargo	1.5e. StateND	1.5f. Zip 58104
1.5g. Telephone number 701 232 - 2452 ext.			1.5h. Fax number 701 298 - 3115		
1.5i. Email Address andreaol@capnd.org			1.5j. State Association Website https://www.capnd.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)

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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.*

<https://video.ndlegis.gov/en/PowerBrowser/PowerBrowserV2/20250804/-1/32238?startposition=20250115141633> https://ndlegis.gov/assembly/69-2025/regular/bill-overview/bo2018.html?bill_year=2025&bill_number=2018

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

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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.

North Dakotas CSBG program continues the traditional of supporting community based anti-poverty programs. The CAAs funded under CSBG are organized as non-profit corporations under North Dakotas legal definition. Each agency's board of directors is responsible for planning and implementing the CSBG activities and private resources based upon an assessment of local community needs, which the state agency oversees in coordination with the state association. In 2020 & 2023, we took a new approach and developed a statewide needs assessment that broke down the data for each CAA service are. In 2026 we are doing the statewide needs assessment again. The responsibility of the states lead agency is to deliver, within established regulations and guidelines, support and training to the CAAs so that they may serve our states diverse population. The states agency is responsible for evaluating the reporting on the National Performance Indicators and outcome measures to evaluate the agencies successes in promoting self-sufficiency, family stability and community revitalization. It also assists with program development, training, and technical assistance.

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.)

1. Fund Distribution We will make sure 100% of annual CSBG funds get to North Dakotas seven Community Action Agencies within 30 days of receiving them from HHS, while following all federal and state requirements. We will track the timeliness and accuracy of these disbursements, aiming for full distribution on schedule every year. 2. Reporting and Data Collection We will collect and submit the CSBG Annual Report and State Plan data on time and with high quality. Our goal is for North Dakotas data to clearly reflect the states top needs, like housing and rental assistance. We aim to submit everything on schedule with fewer errors, making the review process smoother for everyone. 3. Monitoring and Compliance We will monitor all seven Community Action Agencies on a two-year cycle, with annual desk reviews to make sure theyre meeting Organizational Standards, fiscal requirements, and ROMA performance targets. Our goal is to have 100% of agencies reviewed as scheduled and all corrective action plans addressed within 90 days. 4. Training and Technical Assistance We will provide statewide training each year on ROMA, Organizational Standards, fiscal compliance, the needs assessment survey, and data collection. Trainings will focus on the states highest priority needs identified in our previous assessment. We plan to deliver at least two statewide sessions each year and aim for at least half of agency staff to report that their capacity to meet CSBG objectives has improved.

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)

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

☒ Eligible Entity Community Needs Assessments

☒ Eligible Entity Community Action Plans

☐ Public Hearings/Workshops

☐ Tools Not Identified Above (e.g., State required reports)[specify]

3.3c. Consultation with *[Check all that applies applies and provide additional information where applicable]*

☒ Eligible Entities (e.g., meetings, conferences, webinars; not including the public hearing)

☒ State Association

☒ National Association for State Community Services Programs (NASCSPP)

☐ Community Action Partnership (NCAP)

☐ Community Action Program Legal Services (CAPLAW)

☐ CSBG Tribal Training and Technical Assistance (T/TA) provider

☒ Regional Performance Innovation Consortium (RPIC)

☒ Association for Nationally Certified ROMA Trainers (ANCRT)

<input checked="checked" 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>Before the State Plan is submitted, all eligible entities are required to complete a pre-application. This pre-application serves as each agency's full application for CSBG funding and includes detailed budgets, linkages to community partners, workplan goals, expected outcomes, and comprehensive program plans. This process gives the State a clear understanding of how each agency plans to use its CSBG allocation over the next two fiscal years. The State reviews each pre-application and incorporates that input along with its own feedback into the draft State Plan. In addition, the State considers results from the ACSI (American Customer Satisfaction Index) survey, which gathers feedback from agencies on how the State is performing in its role. Executive Directors also participate in monthly CAPND meetings, where they regularly engage with the State Association on planning and program matters. Once the draft State Plan is developed, it is shared with Executive Directors for final review and additional input before the final version is submitted.</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:			
1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities?			
<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>For this State Plan cycle, the North Dakota CSBG Office did not implement formal procedural changes compared to previous cycles. However, feedback from eligible entities particularly through the ACSI survey indicates that the current approach is functioning effectively and is viewed as collaborative and inclusive. When asked how the process of developing the State Plan could be improved, eligible entities had immediate suggestions and shared that they feel included, noting that the Plan is developed with direct participation from local CAAs and the State Association. While the foundational process remained consistent including the collection and integration of local each agency's Community Action Plans brought into the State Plan we believe continued improvements in communication, responsiveness, and a partnership-based approach have contributed to increased engagement and trust. These small changes likely played a role in the improved ACSI score and stronger perception of the planning process.</p>			
3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period:			
Year One	93	Year Two	93
<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

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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 Legislative Public Hearing on the FY 2026-2027 Community Services Block Grant Proposed Use and Distribution Plan, as required by state legislation was held on January 15, 2025. The state Legislative Council published ads in the Bismarck Tribune (Bismarck, ND) and the Fargo Forum (Fargo, ND) December 31st to notify the public that a hearing would be held at 1:30 PM in the Red River Room of the State Capitol Building in Bismarck, ND. The State CSBG office was available for comment during this time. The hearing was before the Senate Appropriations Committee and was part of the House Bill 2018 regarding the budget and appropriations for the ND Department of Commerce. Interested individuals were informed that information as to the proposed use and distribution plan for the block grant and a summary of the plan for FY2026-2027 was available at the Legislative Council, State Capitol Building, 600 East Boulevard Avenue, Bismarck, ND 58505, prior to the hearing. The state plan was also sent directly via email to all agency directors who were encouraged to share the plan with any interested parties. Comments could be made via email to the CSBG program manager or through the public hearing scheduled held on August 26, 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.

Public hearing notices were distributed to 10 daily newspapers covering all regions of the state the week of August 11-15, the seven Community Action Agencies, and the Executive Director of the Community Action Partnership of North Dakota (the state association). The State CSBG offices were open for comment from the public; no comments were provided. Copies of the DRAFT State Plan were made available at the Division of Community Services (DCS) offices and on the DCS website. Through these notices, the public was informed of the opportunity to review and provide feedback on the DRAFT State Plan for FY2026-2027, either in advance of or during the public hearing held on August 26, 2025. The notices also included details on where to access the DRAFT Plan and how to submit comments for those unable to attend the 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	01/15/2025	Red River Room, ND State Capitol Building	Legislative	<input type="checkbox"/>
2	08/26/2025	ND Department of Commerce, Conference Room	Public	<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.

<https://video.ndlegis.gov/en/PowerBrowser/PowerBrowserV2/20250722/-1/32238?startposition=20250115141633>

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	Community Action Partnership Region I & VIII	Divide County, Williams County, McKenzie County, Golden Valley County, Billings County, Dunn County, Stark County, Slope County, Hettinger County, Bowman County, Adams County	Non-Profit	Community Action Agency
2	Community Action Partnership Minot Region	Burke County, Renville County, Bottineau County, Mountrail County, Ward County, McHenry County, Pierce County	Non-Profit	Community Action Agency
3	Dakota Prairie Community Action	Rolette County, Towner County, Cavalier County, Ramsey County, Benson County, Eddy County	Non-Profit	Community Action Agency
4	Red River Valley Community Action Agency	Pembina County, Walsh County, Nelson County, Grand Forks County	Non-Profit	Community Action Agency
5	Southeastern ND Community Action Agency	Steel County, Traill County, Cass County, Ransom County, Sargent County, Richland County	Non-Profit	Community Action Agency
6	Community Action Region VI, Inc.	Wells County, Foster County, Griggs County, Stutsman County, Barnes County, Logan County, Lamoure County, McIntosh County, Dickey County	Non-Profit	Community Action Agency
7	Community Action Program Region VII, Inc.	Mercer County, McLean County, Sheridan County, Oliver County, Burleigh County, Kidder County, Morton County, Grant County, Sioux County, Emmons County	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

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SECTION 6 Organizational Standards for Eligible Entities

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

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

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

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

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

6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards:

- 1) provide any changes from the last set provided during the previous State Plan submission;
- 2) describe the reasons for using alternative standards; and
- 3) describe how they are at least as rigorous as the COE- developed standards

☒ There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

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

☐ Regulation

☒ Policy

☐ Contracts with eligible entities

☐ Other, describe:

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

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

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

☐ Self-assessment/peer review with state risk analysis

☐ State-authorized third party validation

☒ Regular, on-site CSBG monitoring

☐ Other

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

Agencies submit the Self-Assessment Tool for Private CAAs created by the National Community Action Partnership along with all required documentation. This is then reviewed by the State office using the State Assessment Tool for Private CAAs provided by NASCSP. If there are any discrepancies or clarifications needed, the state will request additional information or additional documentation from the agencies. The review captures each agency's progress toward meeting all 58 Organizational Standards. When the review is completed, the State office provides a summary of standards that have not been met to the agencies and requests that they provide information about their progress to date, the next action steps, anticipated timelines and completion dates. The state offers assistance if any of the agencies would like additional help in meeting a standard(s). All agencies have the option of submitting their organizational standards and documentation via CAP60, the database used to track all client information.

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

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	75%	Year Two	75%	
<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
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SECTION 7 State Use of Funds

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

7.1. Formula:

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

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

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

In 2022, the state adopted a new funding formula using 2020 Census data. Starting in FY2023 and continuing through FY2026/2027, each of the eight regions receives a base allocation of \$165,000. Remaining funds are distributed to eligible entities based on the low-income population in each service area, as reflected in the 2020 Census and 2022 ACS poverty estimates.

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

7.2. Planned Allocation:

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

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

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

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

Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Community Action Partnership Region I & VIII	\$545,029	
Community Action Partnership Minot Region	\$403,860	
Dakota Prairie Community Action	\$398,127	
Red River Valley Community Action Agency	\$482,664	
Southeastern ND Community Action Agency	\$738,053	
Community Action Region VI, Inc.	\$303,919	
Community Action Program Region VII, Inc.	\$514,147	
Total	\$3,385,799	

CSBG Eligible Entity Year Two

CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Community Action Partnership Region I & VIII	\$545,029	
Community Action Partnership Minot Region	\$403,860	
Dakota Prairie Community Action	\$398,127	
Red River Valley Community Action Agency	\$482,664	
Southeastern ND Community Action Agency	\$738,053	
Community Action Region VI, Inc.	\$303,919	
Community Action Program Region VII, Inc.	\$514,147	
Total	\$3,385,799	

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).

Distribution of CSBG pass-through funds to eligible entities in North Dakota relies heavily on these funds to provide services within their respective regions. The Community Action Agencies (CAAs) operate in multi-county jurisdictions that vary in size and population. In FY2023, DCS and the seven

<p>CAAs revised the formula for distributing pass-through funds to better reflect the distribution of the low-income population (based on the 2020 U.S. Census), the relative size of service areas, and a minimum base funding level for each agency. The revised formula allocates approximately one-third of the total pass-through funds as base funding, divided equally among the eight regions of the state. Although there are eight regions, only seven CAAs exist, as the Community Action Partnership serves both Region I and Region VIII. The remaining two-thirds of the pass-through funds are distributed in direct proportion to each CAA's share of the states low-income population, using 2020 Census data. This updated formula went into effect in 2023 and is now scheduled to be reviewed by the Executive Directors every five years, instead of every ten. Under the new formula, a minimum pass-through level of \$1,320,000 is required to support base funding. To meet this threshold, a total state allotment of at least \$1,466,667 is necessary. If the state's FY2026 or FY2027 allocations fall below this amount, DCS will reduce or eliminate the 5% Discretionary Funds to offset impacts on the CAAs especially those related to reduced CSBG funding, shifts in population, and decreased funding from other sources. Eligibility for supplemental funding is contingent on two factors: (1) the availability of adequate state administrative and/or discretionary CSBG funds, and (2) the agency's CSBG carryover being 20% or less from the previous grant year. Supplemental funding will be considered based on any unused administrative or discretionary funds. Projected CSBG distributions to the seven CAAs for FY2026/2027, based on the funding formula and the states FY2025 allocation, are shown below. This reflects each region's share of the CSBG pass-through funds (excluding the base allocation), based on the proportion of low-income individuals residing in the service area: CSBG DISTRIBUTIONS FOR FY2026 & FY2027 Region II: 11.56% Region III: 11.29% Region IV: 15.38% Region V: 27.74% Region VI: 6.72% Region VII: 16.90% Region I & VIII: 10.41% The State distributes funds within 30 days of receiving the federal award letter. Upon receipt, the State office records the allocation in an Excel spreadsheet, which calculates each agency's share based on the established percentages. Contracts are then prepared and sent by Commerce fiscal staff to each agency, where the board chair signs and returns them for execution. On a monthly basis, agencies submit reimbursement requests to the State, which are processed and fulfilled by Commerce fiscal staff. A public Legislative Hearing on the States proposed use and distribution of CSBG funds was held on January 15, 2025.</p>			
<p>7.3a Distribution Method: Select the option below that best describes the distribution method the state uses to issue CSBG funds to eligible entities:</p>			
<p><input checked="" type="radio"/> Reimbursement</p>			
<p><input type="radio"/> Advance</p>			
<p><input type="radio"/> Hybrid</p>			
<p><input type="radio"/> Other</p>			
<p>7.4. Distribution Timeframe:</p>			
<p>Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>			
<p>7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.</p>			
<p><i>Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.</i></p>			
<p>7.5. Distribution of Funds Performance Management Adjustment:</p>			
<p>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.</p>			
<p><i>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</i></p>			
<p>The State maintains ongoing collaboration with all seven Community Action Agencies (CAAs) through regular communication, technical assistance, and support. In addition, the state office has strengthened coordination between the CSBG program and the fiscal office to improve the efficiency and clarity of contract-related communications. These efforts have resulted in streamlined processes and more direct communication channels with agency fiscal staff, ensuring a clearer understanding of fiscal expectations, reporting requirements, and timelines for all new CSBG contracts.</p>			
<p style="text-align: center;">Administrative Funds [Section 675C(b)(2) of the CSBG Act]</p>			
<p><i>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</i></p>			
<p>7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.</p>			
Year One (0.00%)	5.00	Year Two (0.00%)	5.00
<p>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</p>			
Year One	1.00	Year Two	1.00
<p>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</p>			
Year One	1.00	Year Two	1.00
<p>7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>			
<p>If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.</p>			
Year One (0.00%)	5.00%	Year Two (0.00%)	5.00%
<p style="text-align: center;">Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)</p>			
<p><i>Note: This response will link to the corresponding assurance, Item 14.2.</i></p>			

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	\$76,099.95	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$102,000.00	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	\$10,000.00	Backpack for kids' program in region 7.
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$0.00	
Total	\$188,100.00	
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$76,099.95	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$102,000.00	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	\$10,000.00	Backpack for kids' program in region 7.
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$0.00	
Total	\$188,100.00	

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 checked="" 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> 7
<input 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 checked="" 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.*

During FY25, the state did not distribute discretionary funds to the eligible entities but instead awarded all remaining discretionary funds to the State Community Action Association, Community Action Partnership of North Dakota (CAPND). The state intends to continue awarding discretionary funds in future years and has no plans to change the current approach to their use. Discretionary funds support CAPND and are also available for new and innovative projects that address the needs of individuals and families experiencing poverty. If any discretionary funds remain at the end of a fiscal year and are not allocated to CAPND or a specific project, they are distributed to the seven eligible entities using the same poverty-based allocation formula applied to non-discretionary CSBG funds, excluding a base allocation. This method of distribution has been in place for many years, has worked well, and has not received any negative feedback. As such, the state does not foresee a need for any changes.

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)

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SECTION 8

State Training and Technical Assistance

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

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

Training and Technical Assistance - Year One

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

Training and Technical Assistance - Year Two

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

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

Year One	\$76,100	Year Two	\$76,100
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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.

The State CSBG Office works closely with the State Association (CAPND) and other partners to plan and deliver training and technical assistance (T/TA) that meets the needs of community action agencies. Through a contract with CAPND, we make sure trainings are timely, targeted, and useful. Together, we provide opportunities like the Family Development Specialist Training and quarterly board sessions that are co-facilitated by the State Office and CAPND. At the request of Executive and Fiscal Directors, we've also teamed up with WIPFLI to provide on-site trainings that strengthen board and staff understanding of federal grant management. We plan to expand these WIPFLI sessions in FY26 and FY27 to continue building agency capacity and governance across the network. CAPND also participates in the Regional Performance and Innovation Consortium (RPIC) for region 8, which includes North Dakota. Through RPIC, CAPND helps deliver regional training on priorities like the CSBG Annual Report, Strategic Planning, Community Needs Assessment, Risk Assessment, and Tripartite Board Governance. These efforts complement the state-level training and help keep our work aligned with national standards and best practices.

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. After conducting the Organizational Standard review, the state office sends a follow-up letter to the eligible entity detailing the unmet standards. The eligible entities then provide the state with a timeline for those standards that are unmet or in progress as well as any actions taken to meet the standard. In the event that the state determines an eligible entity fails to comply with the terms of an agreement or the state plan, to provide services under the CSBG program, or meet appropriate standards, goals, and other requirements established by the state (including performance standards), the state will comply with the requirements outlined in Section 678C of the Act, to: a. inform the entity of the deficiency to be corrected; b. require the entity to correct the deficiency; c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate; d. at the discretion of the state, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency.

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*) 7

☒ Other community-based organizations

☒ State Community Action association

☒ Regional CSBG technical assistance provider(s)

☒ National technical assistance provider(s)

☐ Individual consultant(s)

☐ Tribes and Tribal Organizations

☐ Other

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

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

Based on feedback from eligible entities and internal performance reviews, the State CSBG Office has made targeted adjustments to the training and technical assistance plan under this State Plan. A key area of focus is increasing support for current and new board members across the Community Action network. In response, the State and State Association (CAPND) are prioritizing board training opportunities, including continued collaboration with WIPFLI and expanded offerings on board governance and responsibilities. Additionally, eligible entities have expressed strong interest in ongoing support for CSBG Annual Report training particularly as the network prepares for the rollout of Annual Report 3.0. As a result, the State and CAPND will offer training specifically focused on navigating the transition to 3.0, ensuring agencies are well-prepared and confident in meeting updated reporting requirements.

Section 9: State Linkages and Communication

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

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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 andand 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

The CSBG State Office partners with the LIHEAP, Weatherization, and Educational State Offices to support a whole-family approach to services. Ongoing communication between offices helps avoid duplication and ensures individuals and families receive the full range of assistance as effectively and efficiently as possible. Looking ahead, the State Office will explore opportunities to strengthen coordination with the WIOA system. This may include establishing formal referral processes, supporting cross-training between CSBG and WIOA providers, and identifying specific areas for partnership in future iterations of the Combined Plan.

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 Division of Community Services and the Community Action Agencies (CAAs) work collaboratively to coordinate and strengthen linkages with local, regional, and statewide partners to improve service delivery to low-income populations. Both the state and the agencies continuously seek opportunities to address service gaps and reduce duplication by developing new partnerships across each region. CAA staff support individuals and families through information and referral services, case management, and follow-up activities in coordination with other providers to ensure access to needed resources. Each agency submits updated information on its linkages and partnerships to the state with every budget cycle. Over time, all agencies have demonstrated progress in establishing new collaborations to better serve low-income clients.

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.

Each CAA and the State coordinate and establish linkages between governmental and other social services programs to ensure the effective delivery of such services to low-income individuals and to avoid duplication of such services. Each agency developed its own list of linkages, which is a part of their annual community action plan or application. These linkages are also verified during on-site or virtual monitoring. Each CSBG eligible entity is required to sign a CSBG certification with their work plan and application submission.

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.

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

Each Community Action Agency (CAA), in coordination with the Division of Community Services (DCS), establishes and maintains linkages with governmental and social service programs to ensure the effective delivery of services to low-income individuals and to prevent duplication of efforts. Through ongoing use of case management, referrals, information sharing, and follow-up consultations, CAAs work to identify and address service gaps within their regions. Each agency maintains a current list of partnerships and linkages, which is submitted to the State with each budget cycle. Additionally, compliance with Section 676(b)(3)(B) of the CSBG Act is documented through the CSBG Certification Form, which is attached to the grant agreement between DCS and each subgrantee. This Certification, signed by each CAA's Board Chair, affirms the agency's commitment to coordinating services and developing linkages to meet community needs.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? ☐ Yes

☒ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

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

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.

At this time, the CSBG State Office and Community Action Agencies (CAAs) in North Dakota have not formally contributed to the WIOA Combined State Plan. However, the state recognizes the importance of aligning CSBG-funded antipoverty strategies with broader workforce development efforts, especially those that improve access to employment and training opportunities for low-income individuals. Although no formal coordination mechanism is in place, eligible entities routinely assist clients with workforce-related needs through referrals, case management, and supportive services that help reduce barriers to employment. CAAs also maintain relationships with local workforce development agencies, including Job Service North Dakota and other WIOA-funded partners, to ensure that clients are aware of available training and employment programs. Looking ahead, the State Office will explore opportunities to strengthen coordination with the WIOA system. This may include establishing formal referral processes, supporting cross-training between CSBG and WIOA providers, and identifying specific areas for partnership in future iterations of the Combined Plan.

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.

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

All expenditures of emergency energy assistance are coordinated with county social service boards, which administer emergency energy assistance under the Low-Income Home Energy Assistance Program (LIHEAP). LIHEAP referrals are made to the CAAs for energy services as well as for case management services and other self-sufficiency services under the Self Reliance Program. DCS staff maintain contact with staff of the ND Department of Human Services to maintain open communication between DHS and DCS programs. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to 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.

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

The agencies present their partnerships and linkages as a part of their Community Action Plan (CAP), many of which are faith-based, charitable, and community-based organizations. These linkages play into how the agencies are able to deliver services and they work together to avoid duplication of services. On-site monitoring is used to verify partnerships and agreements, or other documentation are collected during the annual Organizational Standard review.

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.

Note: this response will link to the corresponding assurance, item 14.3c.

Through ongoing collaboration, North Dakota's Community Action Agencies (CAAs), Community Action Partnership of North Dakota (CAPND), and the Division of Community Services (DCS) continue to strengthen coordination with public and private service providers at the local, regional, and state levels. Regular communication is maintained with partners such as the North Dakota Department of Human Services and other state agencies to align service delivery and improve outcomes for low-income individuals and families. CSBG 90 percent funds are used strategically to leverage other federal, state, local, and private resources. This includes coordinating with programs such as LIHEAP, housing assistance, and workforce development programs. CAAs also build partnerships with religious organizations, charitable groups, and local nonprofits to create comprehensive service networks. These efforts aim to increase referrals, reduce duplication, and maximize available funding. The ultimate goal of this coordination is to help individuals and families become more self-sufficient through stable employment, improved education, financial stability, and stronger community involvement. For FY 2026/2027, the State and eligible entities will continue to strengthen these partnerships and encourage greater familiarity with the CAA mission among local organizations to collectively address poverty-related needs more effectively.

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.

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

The State CSBG Office, the State Community Action Association (CAPND), and the eligible Community Action Agencies (CAAs) maintain consistent and open communication to support coordination and alignment of services. A key goal of the State is to strengthen relationships and collaboration among these entities, and this goal is regularly met. The State CSBG Office actively participates in CAPND meetings, providing updates, technical assistance, and policy guidance related to CSBG requirements. DCS and CAPND staff maintain regular communication typically meeting at least monthly to discuss emerging needs, upcoming training opportunities, and statewide activities impacting low-income communities. This ongoing coordination ensures that the State, the association, and local agencies remain aligned in their efforts to meet the needs of low-income individuals and families across North Dakota.

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 Email Website Public Notice	
State Plan Development	Biannual	Meetings/Presentation Email Website 1:1 Public Notice	
Organizational Standards Progress	Annually	Meetings/Presentation Email Webinar 1:1 Phone Calls	
State Accountability Measures Progress	Annually	Meetings/Presentation Email	
Community Needs Assessments/ Community Action Plans	Annually	Newsletters Mailing Meetings/Presentation Email Website Social Media 1:1 Phone Calls Public Notice Letters/Hard Copies	
State Monitoring Plans and Policies	Annually	Meetings/Presentation Email 1:1 Phone Calls	
Training and Technical Assistance (T/TA) Plans	Annually	Meetings/Presentation Email Webinar 1:1	
ROMA and Performance Management	Annually	Meetings/Presentation Email Webinar	
State Interagency Coordination	As needed	Meetings/Presentation Email 1:1 Phone Calls	
CSBG Legislative/Programmatic Updates	Quarterly	Meetings/Presentation Email Website 1:1 Phone Calls Public Notice	
Tripartite Board Requirements	Quarterly	Meetings/Presentation Email Webinar 1:1 Phone Calls	

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

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

The State will provide any OCS feedback to the State Community Action Association and eligible entities within 60 calendar days of the State getting feedback from OCS. The agencies receive regular updates on all pertinent state processes like the annual plan or state plan. State performance regarding

the State Accountability Measures will be provided through an email and then in-person at the next scheduled Executive Director meeting.
9.11. Communication Plan Performance Management Adjustment: Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
<i>Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.</i>
No adjustments as compared to previous plans.

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
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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

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

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

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

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Community Action Partnership Region I & VIII	Full On-site	Onsite Review	FY1 Q3	09/05/2024	09/05/2024	
2	Community Action Partnership Minot Region	Full On-site	Onsite Review	FY1 Q3	08/27/2024	08/27/2024	
3	Dakota Prairie Community Action	No review					
4	Red River Valley Community Action Agency	Full On-site	Onsite Review	FY1 Q3	06/17/2025	06/18/2025	
5	Southeastern ND Community Action Agency	Full On-site	Onsite Review	FY1 Q3	09/12/2024	09/12/2024	
6	Community Action Region VI, Inc.	No review					
7	Community Action Program Region VII, Inc.	Full On-site	Onsite Review	FY1 Q3	08/29/2024	08/29/2024	

	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	Community Action Partnership Region I & VIII	No review					
2	Community Action Partnership Minot Region	Full On-site	Onsite Review	FY2 Q3	08/27/2024	08/27/2024	
3	Dakota Prairie Community Action	Full On-site	Onsite Review	FY2 Q3	09/10/2024	09/10/2024	
4	Red River Valley Community Action Agency	Full On-site	Onsite Review	FY2 Q3	06/17/2025	06/18/2025	
5	Southeastern ND Community Action Agency	No review					
6	Community Action Region VI, Inc.	Full On-site	Onsite Review	FY2 Q3	08/28/2024	08/28/2024	
7	Community Action Program Region VII, Inc.	No review					

10.2. Monitoring Policies:

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

Policies and procedures and monitoring report attached for review.

10.3. Initial Monitoring Reports:

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

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

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

10.4. Closing Findings:

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

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

10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable.
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
1
10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
The State Office maintains ongoing communication with the Office of Community Services (OCS) regarding program performance, compliance matters, and any emerging challenges. In accordance with Section 678C of the CSBG Act, when a Quality Improvement Plan (QIP) is required, the State follows a structured process. Once a QIP is developed and approved by the State, the State Office notifies OCS within 30 calendar days of that approval. For the one QIP issued during the most recent reporting period, the State Office identified the necessary improvements during a monitoring visit, developed a plan in coordination with the eligible entity, and scheduled a meeting with the assigned OCS regional program specialist. During that meeting, the State provided details on the monitoring findings and the improvement plan submitted to the agency. This process ensures timely and transparent communication with OCS and compliance with federal requirements for QIP reporting.
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
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? <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
The State CSBG office follows IM 116 and the CSBG Act in all designation's new and old for any unserved area or region throughout the State. Under Section 676A of the Community Services Block Grant (CSBG) Act, the State of North Dakota may designate or redesignate eligible entities to serve geographic areas not currently served (unserved areas), or to replace existing eligible entities that are de-designated or have relinquished their status. If an entity is failing to meet State or Federal requirements (e.g., performance, fiscal, or administrative standards), the State CSBG Office would follow the corrective process under CSBG Information Memorandum 116 (Corrective Action, Termination, or Reduction of Funding) to identify deficiencies and to provide notice to the entity. The entity must be given an opportunity to correct the deficiencies, including through a Quality Improvement Plan (QIP) or other remedial measures. If after the correction period (and after any hearing, if the State determines one is needed), the entity still fails to come into compliance, the State may de-designate the entity or reduce its funding proportionally. Upon de-designation, or voluntary relinquishment, North Dakota may solicit applications for a new eligible entity in the affected area. The new entity must meet the tripartite board requirements, demonstrate capacity to deliver the full range of CSBG-eligible services, and otherwise satisfy eligibility criteria under the Act. Any redesignation must be consistent with procedural requirements in Section 676A (public notice, application, geographic coverage, etc.), and the State must notify the U.S. Office of Community Services and allow for any required Federal review.
10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities <input checked="" type="radio"/> Yes <input type="radio"/> No
10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation. A determination to terminate the designation or reduce the funding of an eligible entity can be reviewed by the Secretary of the Department of Health and Human Services. The entity will be informed that they can request that the State notify the Secretary of the entities request for a review of the States decision to terminate or reduce the award, no later than 5 days prior to the effective date of termination. If a review by the Secretary has been requested, the State will not terminate the award until the review has been completed. The Secretary shall complete the review no later than 90 days after receiving the documentation from the State regarding the termination or reduction of funding. If the Secretary does not complete the review within the 90 days, the States determination will become final at the end of the 90th day. In the grant attachments to CSBG awards to eligible entities, reference is made to termination of funding. Those citations are in Part II, I and J General Assistance Terms & Conditions and Part III, S Programmatic Terms & Conditions for the Community Services Block Grant.
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
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. In the event that an existing eligible entity fails to meet programmatic, fiscal, or governance requirements, the State CSBG Office will follow the corrective action process established under Section 678C of the CSBG Act and Information Memorandum (IM) 116. This process includes written notification of deficiencies, provision of training and technical assistance, and the opportunity to develop and implement a Quality Improvement Plan (QIP). If deficiencies are not corrected within the prescribed timeframe, the entity will be offered a State-level hearing prior to any reduction or termination of funding. Should the entity ultimately be de-designated, the State will initiate a redesignation process consistent with Section 676A of the CSBG Act. This includes issuing public notice, soliciting applications from interested organizations, and ensuring that any redesignated entity meets all statutory requirements, including tripartite board governance and the capacity to deliver a broad range of CSBG services. The State will notify the U.S. Office of Community Services of any redesignation and comply with all applicable federal review requirements.
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).

The State utilizes an accrual form of accounting which applies a breakdown of funds, projects, and activity numbers specific to each grant. It also identifies expenditures for each subrecipient, administrative costs and discretionary funds. Monthly reports are run and verified to make sure that the funds have been disbursed appropriately. The SF-425 is prepared on a semi-annual and annual basis. Report and spreadsheet documentation are kept on file during the records retention time period. The subrecipients are financially monitored every year to make sure that they are following their approved budget, have the appropriate internal control system in place, and expenditures are allowable. Our state agency is also audited by our State Auditor's office on a biennial basis for the state Single Audit.

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.

Assurance 678D(a)1 and 678D(a)(2): The DCS, as administering agency of the CSBG on behalf of the State of North Dakota, has established fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the CSBG Act. The DCS is responsible for fiscal control, accountability and proper disbursement of CSBG funds. The DCS requires all CSBG subgrantee accounting systems to meet the requirements established by OMB Super Circular CFR Part 200. Each subgrantee is required to submit an annual audit of its operations to the DCS, prepared in accordance with the audit standards in CFR Part 200.

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.

The State has made adjustments to its monitoring procedures based on feedback from eligible entities received in previous years. The State Office continues to coordinate with other state programs operating within the Community Action Agencies to support joint monitoring efforts. Conducting these reviews simultaneously has improved efficiency, reduced administrative burden on agencies, and strengthened collaboration across state program areas. These changes have contributed to a recent high ACSI score and positive feedback from eligible entities. The State remains committed to improving communication and transparency throughout the monitoring process and will continue to gather input from CAAs, the Office of Community Services (OCS), and other stakeholders to guide any future procedural refinements.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 08/31/2027
SECTION 11 Eligible Entity Tripartite Board	
11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act <i>[Check all that applies and narrative where applicable]</i>	
<input checked="" type="checkbox"/> Attend Board meetings	
<input checked="" type="checkbox"/> Organizational Standards Assessment	
<input checked="" type="checkbox"/> Monitoring	
<input checked="" type="checkbox"/> Review copies of Board meeting minutes	
<input checked="" type="checkbox"/> Track Board vacancies/composition	
<input type="checkbox"/> Other	
11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., <i>[Select one and narrative where applicable]</i>	
<input type="radio"/> Annually	
<input type="radio"/> Semiannually	
<input checked="" type="radio"/> Quarterly	
<input type="radio"/> Monthly	
<input type="radio"/> As it Occurs	
<input type="radio"/> Other	
11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
<p>To ensure compliance with the CSBG Act, the State requires that each CAA, as part of the CSBG application process, provide a description of the procedures the agency has in place to ensure that 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 agency board, can petition for adequate representation on the Board. Each CAA has reviewed agency bylaws, revising them as necessary, to ensure compliance with this provision. A copy of the bylaws section addressing this requirement is provided to DCS with the organizational standard submissions and during on-site monitoring. The CSBG Certification attached to the grant agreement between the DCS and CSBG subgrantees similarly addresses this compliance issue in that document. The Certification form is signed by the Board Chair of each CAA board. Additionally, agencies will submit quarterly reports indicating any board vacancies. Those that are not filled within 90 days require an action plan and steps for filling the vacancy to be submitted to DCS.</p>	
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. <input type="radio"/> Yes <input checked="" type="radio"/> 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

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:08/31/2027
SECTION 12 Individual and Community Income Eligibility Requirements	
12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. <i>[Check one item below.]</i>	
<input type="radio"/> 125% of the HHS poverty line <input checked="" type="radio"/> X% of the HHS poverty line (fill in the threshold) <input type="radio"/> Varies by eligible entity	
200%	% <i>[Response Option: numeric field]</i>
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.	
<p>A clients income must be verified by the caseworker at the time of application and/or review. Verification must document the clients income and source(s) of income, the date of verification, the caseworkers signature, and acknowledgment that the clients income is at or below 200% of the federal poverty level (or another rate mandated by the CSBG Act or applicable policy). This information must be documented in the case file. Agencies may record income verification on the intake form or another designated section of the file, but staff must be consistent in the location of documentation across all applicable case files. The documentation should be readily accessible for individuals using the file. Clients with no income at the time of application must complete a self-declaration form, signed and dated by both the client and the caseworker. For ongoing CSBG clients, income verification must be updated one month from the date of application and monthly thereafter if there is no change in the clients income.</p>	
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.	
<p>Client eligibility for CSBG direct services is generally limited to individuals or families with income at or below 125% of the federal poverty level (or another rate mandated in the CSBG Act). Income must be verified at the time of application and, for ongoing cases, at the time of the annual income review. Clients with no income must complete a self-declaration form, signed and dated by both the client and the caseworker, which is documented in the clients file and monitored by the State during on-site visits. Exceptions to these eligibility criteria may apply for donated goods or services, such as food pantries, donation centers, or assistive equipment. Individuals who exceed the 125% poverty threshold may still access these items if the agency determines they are low-income for the purpose of agency services. These provisions ensure that donated resources are available to those in need, even if they fall above the standard CSBG income threshold.</p>	
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).	
<p>The State reviews the eligible entities statewide needs assessment, which includes information specific to regions and counties, to ensure that services are directed towards communities with demonstrated needs. In addition to the needs assessment, the State may request additional data to support it. This additional data may include regional planning data, notes from city and county commission meetings, minutes from board of directors' meetings, and feedback from clients and community groups if available.</p>	

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

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

Form Approved
OMB No: 0970-0382
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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 1, Item I.1.

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

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

In meeting the required Assurance contained in Section 676(b) (12) of the CSBG reauthorization, the law states that State and community action compliance is required with the Results Oriented Management and Accountability (ROMA) System, or another performance system approved by the Secretary of Health and Human Services. The State has required CAA participation in ROMA since 1997 when the Office of Community Services (OCS) initially began requiring State and CAA participation in ROMA. Beginning in 2005, OCS has required reporting on the National Indicators which document CAA efforts in the areas of self-sufficiency, family stability, and community revitalization. The State Plan and Annual CSBG Report are required to reports on the outcome/National Indicator information that will be collected and the results of the data.

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

Each agency is required to review the National Indicators that they are currently tracking through their workplan goals to reflect what will be tracked for the 2026 and 2027 grant years. The updated document is to be submitted as part of the community action plan for the FY2026 and FY2027 grant years. If any changes are made in the National Indicators at the Federal level, DCS will provide that information to you as soon as it is received. Agencies are also encouraged to develop additional appropriate outcomes which would provide a better picture of their service area and what is being accomplished through the efforts of and partnerships with the CAA. Those additional outcomes should also be submitted to DCS with the workplan.

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.

The State Office collaborates with the State Association (CAPND) to provide ongoing education and comprehensive training on Results Oriented Management and Accountability (ROMA) for eligible entities. In addition, the State partnered with regional state offices, including the State of Colorado, which develops and expands access the ROMA training opportunities. These partnerships allow eligible entities to not only receive training but also engage in peer learning, share best practices, and strengthen local processes. Feedback on ROMA implementation and reporting compliance is provided to each eligible entity during the annual review of Organizational Standards.

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 reviews the quarterly data submitted by eligible entities to compare the progress of activities submitted in their work plans. This data is obtained directly from the CAP60 state kiosk. When applications and work plans are submitted, the State reviews data such as local planning documents, needs assessments, board minutes, census data, past outcome data, and client satisfaction surveys (if conducted) to ensure that service delivery is efficient and effective.

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.

The State requires eligible entities to submit an application packet prior to awarding funds to the entity. The application requires, among many other documents, the submission of a CSBG work-plan and a budget.

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.

The State Office, in collaboration with CAPND and North Dakota State University, conducted a statewide needs assessment in 2023, which included detailed regional breakdowns to ensure each Community Action Agency had targeted insight into their community's top needs. These regional assessments are essential tools for improving current programs, designing new services, and are incorporated into each agency's Community Action Plan submission. Looking ahead to 2026, the State Office and CAPND will initiate efforts to conduct a new statewide needs assessment. This upcoming survey and analysis will support updated Community Action Plans and help refine program strategies to meet evolving local needs.

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;

Each agency determines the supportive activities based upon the most recent Community Needs Assessment. This information is used to develop a Community Action Plan that discusses the proposed activities. The plan is reviewed before funding is allocated. The state ensures these activities are supported during on-site monitoring.

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;

Agencies determine their youth supportive services based on the results of the regional needs assessment. With this information, each agency develops their Community Action Plan (CAP) that discusses their proposed youth development activities. This plan is reviewed before funds are administered and the State ensures these activities are supported during on-site monitoring.

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)

Eligible entities coordinate with many other types of agencies, such as other non-profits, faith-based organizations, governmental agencies, service providers and volunteers. Linkages and other coordination efforts are addressed in the Community Action Plan (CAP), which outlines the partnerships that the agency has engaged in. The CAP plan is reviewed by the State and linkages are updated during the on-site monitoring visit. Linkages and partnerships are also documented during the Organizational Standards review process.

State Use of Discretionary Funds

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

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

Eligible Entity Service Delivery, Coordination, and Innovation

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

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

The CAAs and CAPND continue to strengthen their coordination with other service providers serving low-income individuals and families on local, regional and state levels. CAPND, CAA, and DCS staff continue to maintain open communication with staff from the ND Department of Human Services and other state entities. The goal is to increase referrals between all levels of the programs, strengthen the relationships between programs and staff, and maximize the funding available to the State. These linkages enhance the activities of the state and the CAAs in helping low-income people in becoming more self-sufficient and enhance their efforts to become employed or maintain their employment, better educated, financially solvent, and more involved in their communities. For FY2026-2027 the State and eligible entities will continue to 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. CAAs continue to refer clients to other related programs as appropriate, and have continued their efforts to have other organizations, including religious organizations, charitable groups and community organizations, become more familiar with the CAA mission and how they can all work together to more effectively address low-income issues and needs. CAAs work with local, public, private, religious, charitable and community groups to develop more efficient and effective services for low-income persons.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The state describes this assurance in the state linkages and communication section, item 9.3b.

Each Community Action Agency (CAA), in coordination with the Division of Community Services (DCS), establishes and maintains linkages with governmental and social service programs to ensure the effective delivery of services to low-income individuals and to prevent duplication of efforts. Through ongoing use of case management, referrals, information sharing, and follow-up consultations, CAAs work to identify and address service gaps within their regions. Each agency maintains a current list of partnerships and linkages, which is submitted to the State with each budget cycle. Additionally, compliance with Section 676(b)(3)(B) of the CSBG Act is documented through the CSBG Certification Form, which is attached to the grant agreement between DCS and each subgrantee. This Certification, signed by each CAA's Board Chair, affirms the agency's commitment to coordinating services and developing linkages to meet community needs.

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

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

Note: The state describes this assurance in the state linkages and communication section, item 9.7.

Through ongoing collaboration, North Dakota's Community Action Agencies (CAAs), Community Action Partnership of North Dakota (CAPND), and the Division of Community Services (DCS) continue to strengthen coordination with public and private service providers at the local, regional, and state levels. Regular communication is maintained with partners such as the North Dakota Department of Human Services and other state agencies to align service delivery and improve outcomes for low-income individuals and families. CSBG 90 percent funds are used strategically to leverage other federal, state, local, and private resources. This includes coordinating with programs such as LIHEAP, housing assistance, and workforce development programs. CAAs also build partnerships with religious organizations, charitable groups, and local nonprofits to create comprehensive service networks. These efforts aim to increase referrals, reduce duplication, and maximize available funding. The ultimate goal of this coordination is to help individuals and families become more self-sufficient through stable employment, improved education, financial stability, and stronger community involvement. For FY 2026/2027, the State and eligible entities will continue to strengthen these partnerships and encourage greater familiarity with the CAA mission among local organizations to collectively address poverty-related needs more effectively.

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).

Each CAA develops a community action plan that they submit to the State for their request for CSBG funding. That plan addresses the determined needs of the service area, the services they will provide and coordinate through their CSBG award, a description of how services will be delivered and how the agency will coordinate services with other service providers in their service areas. The plans also address how the programs will be targeted to low-income individuals and families. Since North Dakota has the statewide provision of community action services, the services delivered and coordinated in each region will be addressed through the CAA community action plans.

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."

The State CSBG Office ensures that community action agencies provide emergency services to low-income individuals through the review and approval of each agency's Community Action Plan (CAP). Each CAA develops a CAP as part of their CSBG funding request, which outlines the identified needs in their service area, the services they will provide or coordinate through their CSBG award, and the methods for service delivery. The plan also details how the agency will coordinate with other local service providers, including food pantries and other emergency assistance programs, to meet community needs. Additionally, each CAP demonstrates how programs and services will be targeted to low-income individuals and families. Because North Dakota has statewide coverage of community action services, the delivery and coordination of emergency services in each region are addressed and monitored through these CAPs.

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.

To ensure compliance with the CSBG Act, the State requires that each CAA, as part of the CSBG application process, provide a description of the procedures the agency has in place to ensure that 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 agency board, can petition for adequate representation on the Board. Each CAA has reviewed agency bylaws, revising them as necessary, to ensure compliance with this provision. A copy of the bylaws section addressing this requirement is provided to DCS with the organizational standard submissions and during on-site monitoring. The CSBG Certification attached to the grant agreement between the DCS and CSBG subgrantees similarly addresses this compliance issue in that document. The Certification form is signed by the Board Chair of each CAA board. Additionally, agencies will submit quarterly reports indicating any board vacancies. Those that are not filled within 90 days require an action plan and steps for filling the vacancy to be submitted to DCS.

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:08/31/2027

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.