

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: DEPARTMENT OF STATE NEW YORK

Report Name: CSBG State Plan

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


Report Status: Submission Accepted by CO

Report Sections

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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: New York State Department of State									
* b. Employer/Taxpayer Identification Number (EIN/TIN): 146013200		* c. Organizational UEI: EKPHCP8DUMT7							
* d. Address:									
* Street 1:	One Commerce Plaza Suite 1540	Street 2:	99 Washington Avenue						
* City:	Albany	County:	ALBANY						
* State:	NY	Province:							
* Country:	United States	* Zip / Postal Code:	12231 - 0001						
e. Organizational Unit:									
Department Name: New York State Department of State		Division Name: Division of Community Services							
f. Name and contact information of person to be contacted on matters involving this application:									
Prefix:	* First Name: Jacqueline	Middle Name:	* Last Name: Orr						
Suffix:	Title: Division Director	Organizational Affiliation: NYS Department of State							
* Telephone Number: (518) 486-4446	Fax Number	* Email: Jacqueline.Orr@dos.ny.gov							
* 8a. TYPE OF APPLICANT: A: State Government									
b. Additional Description:									
* 9. Name of Federal Agency:									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;"></td> <td style="width: 33%; text-align: center;">Catalog of Federal Domestic Assistance Number:</td> <td style="width: 34%; text-align: center;">CFDA Title:</td> </tr> <tr> <td style="padding: 5px;">10. CFDA Numbers and Titles</td> <td style="padding: 5px;">93569</td> <td style="padding: 5px;">Community Services Block Grant</td> </tr> </table>					Catalog of Federal Domestic Assistance Number:	CFDA Title:	10. CFDA Numbers and Titles	93569	Community Services Block Grant
	Catalog of Federal Domestic Assistance Number:	CFDA Title:							
10. CFDA Numbers and Titles	93569	Community Services Block Grant							
11. Descriptive Title of Applicant's Project Community Services Block Grant									
12. Areas Affected by Funding: State of New York									
13. CONGRESSIONAL DISTRICTS OF:									
* a. Applicant NY		b. Program/Project: New York							
Attach an additional list of Program/Project Congressional Districts if needed.									
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:							
a. Start Date: 10/01/2025	b. End Date: 09/30/2026	* a. Federal (\$): \$0	b. Match (\$): \$0						
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?									
a. This submission was made available to the State under the Executive Order 12372									
Process for Review on :									
b. Program is subject to E.O. 12372 but has not been selected by State for review.									

c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official Jacqueline Orr	18c. Telephone (area code, number and extension) 18d. Email Address jacqueline.orr@dos.ny.gov
18b. Signature of Authorized Certifying Official 	18e. Date Report Submitted (Month, Day, Year) 09/29/2025
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 the apply]			
<input type="checkbox"/>	Lead Agency	<input type="checkbox"/>	Department Type
<input type="checkbox"/>		<input type="checkbox"/>	Department Name
<input checked="" type="checkbox"/>	Authorized Official	<input checked="" type="checkbox"/>	Street Address
<input type="checkbox"/>		<input type="checkbox"/>	City
<input type="checkbox"/>	Zip Code	<input type="checkbox"/>	Office Number
<input type="checkbox"/>		<input type="checkbox"/>	Fax Number
<input type="checkbox"/>	Email Address	<input type="checkbox"/>	Website
<input type="checkbox"/>		<input type="checkbox"/>	
1.2a. Lead agency		New York State Department of State	
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		Secretary of State	
1.2d. Authorized Official of the Lead Agency			
Name: Jacqueline Orr		Title: Director, Division of Community Services	
1.2e. Street Address		One Commerce Plaza, 99 Washington Avenue, Suite 1540	
1.2f. City		Albany	1.2g. State NY
		1.2h. Zip 12231	
1.2i. Telephone number 518 486 - 4446 ext.		1.2j. Fax number 518 486 - 5016	
1.2k. Email address Jacqueline.Orr@doh.ny.gov		1.2l. Lead agency website http://www.doh.ny.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 checked="" type="checkbox"/> Street Address	
<input type="checkbox"/> City	<input type="checkbox"/> Zip Code	<input type="checkbox"/> Office Number	
<input type="checkbox"/> Fax Number	<input type="checkbox"/> Email Address	<input type="checkbox"/> Website	

1.4a. Agency Name New York State Department of State, Division of Community Services			
1.4b Point of Contact Name			
Name: Jacqueline Orr		Title: Director, Division of Community Services	
1.4c. Street Address		One Commerce Plaza, 99 Washington Avenue Suite 1540	
1.4d. City	Albany	1.4e. State NY	1.4f. Zip 12231
1.4g. Telephone Number 518 486 - 4446 ext.		1.4h. Fax Number -	
1.4i. Email Address Jacqueline.Orr@dos.ny.gov		1.4j. Agency Website http://www.dos.ny.gov	

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

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? ☒ Yes ☐ No

If yes, select the fields that have been changed [Check all the apply]

<input type="checkbox"/> Agency Name	<input checked="" 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 New York State Community Action Association			
1.5b. Executive Director or Point of Contact			
Name: Tim Nichols		Title: Chief Executive Director	
1.5c. Street Address		2 Charles Blvd. #2	
1.5d. City	Guilderland	1.5e. State NY	1.5f. Zip 12084
1.5g. Telephone number 518 690 - 0491 ext. 024		1.5h. Fax number 518 690 - 0498	
1.5i. Email Address tnichols@nyscommunityaction.org		1.5j. State Association Website www.nyscommunityaction.org	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input checked="" type="radio"/> Yes <input type="radio"/> No			

Section 2: State Legislation and Regulation

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

Form Approved
OMB No: 0970-0382
Expires:08/31/2027

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG ☒ Yes ☐ No

2.2. CSBG State Regulation:

State has regulations for CSBG ☒ Yes ☐ No

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

2.4. State Authority:

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

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

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

Section 3: State Plan Development and Statewide Goals

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

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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

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

3.2. State Plan Goals:

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

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

New York State envisions that programs will be administered in accordance with the CSBG statutory purposes and goals, and in compliance with all applicable state and federal statutes, rules, regulations, policies, and procedures. The following goals will guide operations: Goal 1: A comprehensive onsite review of each eligible entity will be conducted at least once every three years in accordance with § 678B of the CSBG Act. The reviews will be based in part on the national CSBG Organizational Standards, in accordance with IM 138. Goal 2: Training and technical assistance will be provided to ensure eligible entities can achieve compliance with the national CSBG Organizational Standards, and all contracting and legislative requirements (Federal and State). Goal 3: A commitment to coordinate CSBG funds with governmental and other social services programs to assure effective delivery of services and to avoid duplication. Goal 4: Reports will be prepared and shared, documenting the use and outcomes of the CSBG funds and will be submitted to the U.S. Department of Health and Human Services (HHS) and the New York State Annual Report to the Governor and Legislature, annually as prescribed by federal and state statutes. Goal 5: Funds will be distributed in a manner and in accordance with applicable federal and state statutes. Goal 6: DOS will continue to implement technology-based solutions aimed at streamlining administrative documents and processes to reduce redundancies for CSBG State staff and CSBG eligible entities.

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)

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

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

☒ Eligible Entity Community Needs Assessments

☒ Eligible Entity Community Action Plans

☒ Public Hearings/Workshops

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

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="" type="checkbox"/> Federal CSBG Office			
<input checked="" type="checkbox"/> Organizations not identified above [Specify] NYS CSBG Advisory Council			
3.4. Eligible Entity Involvement			
3.4a. State Plan Development Describe the specific steps the State took in developing the State Plan to involve the eligible entities.			
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>			
<p>DOS engaged the CSBG eligible entities throughout the entire development of the 2026-2027 NYS CSBG State Plan. During the months of February, March, and April 2025, DOS partnered with the New York State Community Action Association (NYSCAA) to co-facilitate a State Plan Workgroup consisting of staff from various eligible entities. The workgroup met (February 20, March 4, April 2, and May 12, 2025) to provide a review of the current 2024-2025 State Plan and made recommendations for the draft 2026-2027 NYS CSBG State Plan. On July 22, 2025, a follow-up meeting was held with the workgroup for a final review of the drafted 2026-2027 NYS CSBG State Plan, which incorporated the comments and feedback received during the public hearing and public comment period. The CSBG Advisory Council met on June 12, 2025, where DOS provided an update on the development of the State Plan, and a reminder of the related events (public comment period and public hearing), and encouraged feedback from Council members as well as the entire CSBG network during the drafting process. DOS and NYSCAA convened five regional meetings (May 8, May 15, May 20, May 29, and June 5) to solicit ideas and encourage discussion of the draft 2026-2027 NYS CSBG State Plan. The regional meeting schedule was distributed on March 26, 2025, to allow eligible entities to plan their attendance in advance. During the regional meetings, DOS encouraged the eligible entities to review the 2026-2027 NYS CSBG State Plan during the public comment period and the public hearing and provide comments/feedback. DOS acknowledged NYSCAA for coordinating the State Plan Workgroup and reviewed the workgroups recommendations regarding the following sections: state goals, monitoring framework, the use of the discretionary funds, performance management (referencing training and technical assistance), continued linkages and communication. On August 21, 2025, DOS followed up with Executive Directors, to review comments and feedback received during the public hearing and public comment period. DOS encouraged stakeholder input for development of the 2026-2027 NYS CSBG State Plan through newsletters, website posts, and weekly email reminders to the CSBG network. Throughout this process, NYSCAA acted as a liaison to encourage further stakeholder participation in State Plan development. A drafted plan was developed based on the input and suggestions received from the NYSCAA Workgroup. A draft of the 2026-2027 NYS CSBG State Plan was publicly posted on the public DOS website for public comment on June 2, 2025 (providing a 30-day public comment period from June 2, 2025, through July 3, 2025); DOS held a public hearing for comment on the 2026-2027 NYS CSBG State Plan on June 12, 2025. DOS sent weekly (June 2, June 13, June 16, June 25, June 30, and July 2) reminder emails to the entire CAA network, encouraging participation in the public comment period and the public hearing. DOS received public comments from five Community Action Agencies (CAA) and the state-wide Community Action Association. Comments focused on the need for the eligible entities to review the new STAR monitoring tool, which will be implemented in 2027; the need for DOS to develop and enhance linkages with other State departments to facilitate the work of the CAAs; and the need for the continued flexibility of CSBG funds. The comments were reviewed and considered by DOS. Areas of opportunity and recommendations have been thoughtfully incorporated into the remaining sections of the 2026-2027 NYS CSBG State Plan. By soliciting comments on the drafted 2026-2027 NYS CSBG State Plan, DOS was able to fully gather and carefully consider input from the eligible entities during the entire development process of the State Plan.</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?			
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.			
<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>With ongoing efforts to improve performance in the state plan development process, DOS began the planning process for the 2026-2027 NYS CSBG State Plan in February 2025. DOS considered comments received from the eligible entities, provided on the previous American Customer Satisfaction Index (ACSI), to initiate an earlier, more timely planning process for the drafting of the CSBG State Plan. On April 4, 2025, DOS received the results from the 2025 ACSI, indicating an increased score regarding the satisfaction with the development of the CSBG State Plan. Overall, the comments received from the ACSI supported the approach DOS has taken to develop the CSBG State Plan. By starting the planning process in February 2025, DOS was able to plan its approach to drafting the 2026-2027 NYS CSBG State Plan. DOS welcomed feedback and comments from the eligible entities regarding the development of the state plan, monitoring of CSBG-funded programs and services, and use of the Discretionary funds. In addition, DOS engaged and solicited discussion, comments, and feedback from the eligible entities and other stakeholders through the following opportunities: the public hearing and comment period, the regional meetings, meetings with Executive Directors, and the CSBG Advisory Council. DOS has been able to provide a more targeted approach to drafting the CSBG State Plan. Additionally, DOS acknowledged comments and feedback during the development of the 2026-2027 NYS CSBG State Plan. DOS continues to evaluate the effectiveness of its development of the state plan and monitoring guide. In response to the feedback received, DOS will provide individualized enhanced technical assistance and training to those agencies with greater need while continuing to engage those agencies that consistently and successfully meet Organizational Standards and other CSBG requirements.</p>			
3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period:			
Year One	50	Year Two	55
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. <i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i>			

Section 4: CSBG Hearing Requirements

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

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

Pursuant to the requirement of § 676(e)(2) of the federal CSBG Act, the draft 2026-2027 NYS CSBG State Plan was posted on the DOS official website (<https://dos.ny.gov/reports-state-plans-and-guides>), with notice posted in the New York State Register on May 14, 2025, May 21, 2025, and May 28, 2025. Eligible entities and stakeholders were informed of opportunities to provide comments through weekly emails (June 2, 2025, through July 3, 2025), monthly newsletters (May through August 2025), and five Regional Meetings (held in May and June 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.

In February 2025, DOS started the planning process for drafting the 2026-2027 NYS CSBG State Plan. DOS partnered with NYSCAA to form a workgroup consisting of staff throughout the network, including Executive Directors. The Workgroup drafted an action plan to include sufficient time and statewide distribution of notice for the public comment period and public hearing. The workgroups action plan included the following activities: In the April 2025 DOS CSBG Newsletter, highlighted registration and participation for the five regional meetings (held in May and June) and the CSBG Advisory Council meeting scheduled for June 12, 2025. During these meetings, DOS encouraged and solicited participation during the public comment period and the public hearing. The May and June 2025 DOS CSBG newsletters highlighted and reminded the network of the opportunities (public comment and public hearing) to participate in the planning and drafting of the 2026-2027 NYS CSBG State Plan. In May and June 2025, during the five regional meetings, DOS referenced a timeline of events, including the public comment period (June 2, 2025, through July 3, 2025), public hearing (June 18, 2025), and CSBG Advisory Council meeting (June 12, 2025). DOS encouraged the attendees to provide feedback and comments on the drafted 2026-2027 NY CSBG State Plan. The public comment period and public hearing notice were published in the New York State Register on May 14, 2025, May 21, 2025, and May 28, 2025. During June and July 2025, DOS sent weekly reminder emails to the CAA Network encouraging participation during the public comment and public hearing to provide feedback on the drafted 2026-2027 NYS CSBG State Plan.

4.3. Public and Legislative Hearings:

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

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	09/17/2024	Legislative Office Building, 198 State St., Hearing Room B Albany, NY 12210	Legislative	<input type="checkbox"/>
2	06/18/2025	(1) Albany One Commerce Plaza, 99 Washington Ave, 5th Floor, Room 1510, Albany, NY	Public	<input type="checkbox"/>
3	06/18/2025	(2) Buffalo 295 Main Street, 8th Floor, Room 803, Buffalo, NY 14203	Public	<input type="checkbox"/>
4	06/18/2025	(3) New York City 123 William Street, 2nd Floor, Room 231, New York, NY 10038	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.

Link for Legislative hearing <https://www.nysenate.gov/calendar/public-hearings/september-17-2024/jointpublic-hearing-community-services-block-grant-csbg> Link for Public Hearing <https://youtu.be/-ounc1xEFsQsi=2dMesn7htqkBUtkr>

Section 5: CSBG Eligible Entities

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

**Form Approved
OMB No:0970-0382
Expires:08/31/2027**

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	Albany County Opportunity, Inc.	Albany County	Non-Profit	Community Action Agency
2	Allegany County Community Opportunities and Rural Development, Inc.	Allegany County	Non-Profit	Community Action Agency
3	Cattaraugus Community Action, Inc.	Cattaraugus County	Non-Profit	Community Action Agency
4	Cayuga/Seneca Community Action Agency, Inc.	Cayuga and Seneca Counties	Non-Profit	Community Action Agency
5	Chautauqua Opportunities, Inc.	Chautauqua County	Non-Profit	Community Action Agency
6	Economic Opportunity Program, Inc. of Chemung County	Chemung and Schuyler Counties	Non-Profit	Community Action Agency
7	Greater Opportunities for Broome and Chenango, Inc.	Broome and Chenango Counties	Non-Profit	Community Action Agency
8	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton and Franklin Counties	Non-Profit	Community Action Agency
9	Columbia Opportunities, Inc.	Columbia County	Non-Profit	Community Action Agency
10	Cortland County Community Action Program, Inc.	Cortland County	Non-Profit	Community Action Agency
11	Delaware Opportunities, Inc.	Delaware County	Non-Profit	Community Action Agency
12	Community Action Partnership for Dutchess County, Inc.	Dutchess County	Non-Profit	Community Action Agency
13	Community Action Organization of Western New York, Inc.	Erie County	Non-Profit	Community Action Agency
14	Adirondack Community Action Programs, Inc.	Essex County	Non-Profit	Community Action Agency
15	Fulmont Community Action Agency, Inc.	Fulton and Montgomery Counties	Non-Profit	Community Action Agency
16	Community Action of Greene County, Inc.	Greene County	Non-Profit	Community Action Agency
17	Community Action Planning Council of Jefferson County, Inc.	Jefferson County	Non-Profit	Community Action Agency
18	Lewis County Opportunities, Inc.	Lewis County	Non-Profit	Community Action Agency
19	Livingston County Board of Supervisors (Community Initiatives Council)	Livingston County	Public	Community Action Agency
20	Community Action Program for Madison County, Inc.	Madison County	Non-Profit	Community Action Agency
21	Action for a Better Community, Inc.	Monroe and Ontario Counties	Non-Profit	Community Action Agency
22	Economic Opportunity Commission of Nassau County, Inc.	Nassau County	Non-Profit	Community Action Agency
23	Niagara Community Action Program, Inc.	Niagara County	Non-Profit	Community Action Agency
24	New York City Department of Youth and Community Development	New York City	Public	Community Action Agency
25	Mohawk Valley Community Action Agency, Inc.	Oneida and Herkimer Counties	Non-Profit	Community Action Agency
26	People's Equal Action and Community Effort, Inc.	Onondaga County	Non-Profit	Community Action Agency

27	Regional Economic Community Action Program, Inc.	Orange County	Non-Profit	Community Action Agency
28	Community Action of Orleans and Genesee, Inc.	Orleans and Genesee Counties	Non-Profit	Community Action Agency
29	Oswego County Opportunities, Inc.	Oswego County	Non-Profit	Community Action Agency
30	Opportunities for Otsego, Inc.	Otsego County	Non-Profit	Community Action Agency
31	PathStone Corporation	Statewide	Non-Profit	Limited Purpose Agency
32	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer County	Non-Profit	Community Action Agency
33	LifeWorks Community Action, Inc.	Saratoga County	Non-Profit	Community Action Agency
34	Schenectady County	Schenectady County	Non-Profit	Community Action Agency
35	Schoharie County Community Action Program, Inc.	Schoharie County	Non-Profit	Community Action Agency
36	Pro Action of Steuben and Yates, Inc.	Steuben and Yates Counties	Non-Profit	Community Action Agency
37	St. Lawrence County Community Development Program, Inc.	St. Lawrence County	Non-Profit	Community Action Agency
38	Economic Opportunity Council of Suffolk, Inc.	Suffolk County	Non-Profit	Community Action Agency
39	Tioga Opportunities, Inc.	Tioga County	Non-Profit	Community Action Agency
40	Tompkins Community Action, Inc.	Tompkins County	Non-Profit	Community Action Agency
41	Ulster County Community Action Committee, Inc.	Ulster County and Sullivan County	Non-Profit	Community Action Agency
42	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren and Hamilton Counties	Non-Profit	Community Action Agency
43	Washington County Economic Opportunity Council, Inc.	Washington County	Non-Profit	Community Action Agency
44	Wayne County Action Program, Inc.	Wayne County	Non-Profit	Community Action Agency
45	Westchester Community Opportunity Program, Inc.	Westchester, Putnam and Rockland Counties	Non-Profit	Community Action Agency
46	Yonkers Community Action Program, Inc.	City of Yonkers	Non-Profit	Community Action Agency
47	Wyoming County Community Action, Inc.	Wyoming County	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities 47

5.3. Changes to Eligible Entities List:

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

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

- ☐ Designation and/or Re-Designation
☐ De-Designations and/or Voluntary Relinquishments
☐ Mergers
☒ No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have beendesignated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year.Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

5.3b. Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)

CSBG Eligible Entity	Reason	Delete

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

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete

Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 08/31/2027						
SECTION 6 Organizational Standards for Eligible Entities							
Note: Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , for more information on Organizational Standards. Click HERE for IM 138.							
6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period <input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards							
6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.							
6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.							
6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards							
<input checked="" type="radio"/> There were no changes from the previous State Plan submission							
Provide reason for using alternative standards							
Describe rigor compared to COE-developed Standards							
6.2. Implementation: Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. <i>[Check all that apply and narrative where applicable]</i>							
<input type="checkbox"/> Regulation							
<input checked="" type="checkbox"/> Policy							
<input checked="" type="checkbox"/> Contracts with eligible entities							
<input type="checkbox"/> Other, describe:							
6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). <i>[Check all that apply.]</i>							
<input type="checkbox"/> Peer-to-peer review (<i>with validation by the State or state-authorized third party</i>)							
<input checked="" type="checkbox"/> Self-assessment (<i>with validation by the State or state-authorized third party</i>)							
<input type="checkbox"/> Self-assessment/peer review with state risk analysis							
<input type="checkbox"/> State-authorized third party validation							
<input checked="" type="checkbox"/> Regular, on-site CSBG monitoring							
<input checked="" type="checkbox"/> Other Compliance with Standards (TRACS), State Triennial Assessment Review (STAR), and Annual Compliance Review of Organizational Standards (ACROS)							
6.3a. Assessment Process: Describe the planned assessment process.							
See attachment 6.3a Assessment Process							
6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? <input checked="" type="radio"/> Yes <input type="radio"/> No							
6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption							
Total Number of Exempt Entities: 1							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 5px;">CSBG Eligible Entity</th> <th style="text-align: left; padding: 5px;">Description / Justification</th> <th style="text-align: left; padding: 5px;">Delete</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">PathStone Corporation</td> <td style="padding: 5px;">Based upon guidance provided by the Office of Community Service (on 4/20/2023), DOS has identified PathStone Corporation as a Limited</td> <td style="padding: 5px;"></td> </tr> </tbody> </table>	CSBG Eligible Entity	Description / Justification	Delete	PathStone Corporation	Based upon guidance provided by the Office of Community Service (on 4/20/2023), DOS has identified PathStone Corporation as a Limited		
CSBG Eligible Entity	Description / Justification	Delete					
PathStone Corporation	Based upon guidance provided by the Office of Community Service (on 4/20/2023), DOS has identified PathStone Corporation as a Limited						

		Purpose Agency (LPA), a private nonprofit organization that has a statewide impact. PathStone Corporation provides workforce development, education and health services, community development, and housing state-wide to migrant and seasonal farmworkers. As encouraged by IM 138, PathStone has been monitored based on their contract deliverables and applicable Organizational Standards. DOS has deemed PathStone exempt from Organizational Standard 5.1. Due to the nature of the organization's board, PathStone is exempt from the tripartite structure. However, based on their bylaws, the boards structure does include maximum participation of low-income representatives (of the migrant population).	
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	60%	Year Two	60%
Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.			

Section 7: State Use of Funds

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

Form Approved
OMB No: 0970-0382
Expires:08/31/2027

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.

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

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

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%
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Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Albany County Opportunity, Inc.	\$275,106	
Allegany County Community Opportunities and Rural Development, Inc.	\$247,231	
Cattaraugus Community Action, Inc.	\$252,253	
Cayuga/Seneca Community Action Agency, Inc.	\$437,675	
Chautauqua Opportunities, Inc.	\$252,253	
Economic Opportunity Program, Inc. of Chemung County	\$437,675	
Greater Opportunities for Broome and Chenango, Inc.	\$624,590	
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	\$544,510	
Columbia Opportunities, Inc.	\$252,253	
Cortland County Community Action Program, Inc.	\$252,253	
Delaware Opportunities, Inc.	\$252,253	
Community Action Partnership for Dutchess County, Inc.	\$481,023	
Community Action Organization of Western New York, Inc.	\$2,185,529	
Adirondack Community Action Programs, Inc.	\$252,253	
Fulmont Community Action Agency, Inc.	\$379,299	
Community Action of Greene County, Inc.	\$252,253	
Community Action Planning Council of Jefferson County, Inc.	\$252,253	
Lewis County Opportunities, Inc.	\$252,253	
Livingston County Board of Supervisors (Community Initiatives Council)	\$247,231	
Community Action Program for Madison County, Inc.	\$247,231	
Action for a Better Community, Inc.	\$1,856,171	

Economic Opportunity Commission of Nassau County, Inc.	\$2,454,380	
Niagara Community Action Program, Inc.	\$366,618	
New York City Department of Youth and Community Development	\$35,200,713	
Mohawk Valley Community Action Agency, Inc.	\$689,927	
People's Equal Action and Community Effort, Inc.	\$1,636,436	
Regional Economic Community Action Program, Inc.	\$578,849	
Community Action of Orleans and Genesee, Inc.	\$437,675	
Oswego County Opportunities, Inc.	\$247,231	
Opportunities for Otsego, Inc.	\$252,253	
PathStone Corporation	\$372,393	
Commission on Economic Opportunity for the Greater Capital Region, Inc.	\$252,253	
LifeWorks Community Action, Inc.	\$252,253	
Schenectady County	\$252,253	
Schoharie County Community Action Program, Inc.	\$252,253	
Pro Action of Steuben and Yates, Inc.	\$437,675	
St. Lawrence County Community Development Program, Inc.	\$252,253	
Economic Opportunity Council of Suffolk, Inc.	\$1,373,322	
Tioga Opportunities, Inc.	\$252,253	
Tompkins Community Action, Inc.	\$252,253	
Ulster County Community Action Committee, Inc.	\$504,506	
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$379,299	
Washington County Economic Opportunity Council, Inc.	\$252,253	
Wayne County Action Program, Inc.	\$252,253	
Westchester Community Opportunity Program, Inc.	\$1,725,196	
Yonkers Community Action Program, Inc.	\$498,179	
Wyoming County Community Action, Inc.	\$247,231	
Total	\$59,905,708	
CSBG Eligible Entity Year Two		
CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Albany County Opportunity, Inc.	\$275,106	
Allegany County Community Opportunities and Rural Development, Inc.	\$247,231	
Cattaraugus Community Action, Inc.	\$252,253	
Cayuga/Seneca Community Action Agency, Inc.	\$437,675	
Chautauqua Opportunities, Inc.	\$252,253	
Economic Opportunity Program, Inc. of Chemung County	\$437,675	
Greater Opportunities for Broome and Chenango, Inc.	\$624,590	
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	\$544,510	
Columbia Opportunities, Inc.	\$252,253	
Cortland County Community Action Program, Inc.	\$252,253	
Delaware Opportunities, Inc.	\$252,253	
Community Action Partnership for Dutchess County, Inc.	\$481,023	
Community Action Organization of Western New York, Inc.	\$2,185,529	
Adirondack Community Action Programs, Inc.	\$252,253	
Fulmont Community Action Agency, Inc.	\$379,299	
Community Action of Greene County, Inc.	\$252,253	
Community Action Planning Council of Jefferson County, Inc.	\$252,253	
Lewis County Opportunities, Inc.	\$252,253	
Livingston County Board of Supervisors (Community Initiatives Council)	\$247,231	
Community Action Program for Madison County, Inc.	\$247,231	
Action for a Better Community, Inc.	\$1,856,171	
Economic Opportunity Commission of Nassau County, Inc.	\$2,454,380	

Niagara Community Action Program, Inc.	\$366,618
New York City Department of Youth and Community Development	\$35,200,713
Mohawk Valley Community Action Agency, Inc.	\$689,927
People's Equal Action and Community Effort, Inc.	\$1,636,436
Regional Economic Community Action Program, Inc.	\$578,849
Community Action of Orleans and Genesee, Inc.	\$437,675
Oswego County Opportunities, Inc.	\$247,231
Opportunities for Otsego, Inc.	\$252,253
PathStone Corporation	\$372,393
Commission on Economic Opportunity for the Greater Capital Region, Inc.	\$252,253
LifeWorks Community Action, Inc.	\$252,253
Schenectady County	\$252,253
Schoharie County Community Action Program, Inc.	\$252,253
Pro Action of Steuben and Yates, Inc.	\$437,675
St. Lawrence County Community Development Program, Inc.	\$252,253
Economic Opportunity Council of Suffolk, Inc.	\$1,373,322
Tioga Opportunities, Inc.	\$252,253
Tompkins Community Action, Inc.	\$252,253
Ulster County Community Action Committee, Inc.	\$504,506
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$379,299
Washington County Economic Opportunity Council, Inc.	\$252,253
Wayne County Action Program, Inc.	\$252,253
Westchester Community Opportunity Program, Inc.	\$1,725,196
Yonkers Community Action Program, Inc.	\$498,179
Wyoming County Community Action, Inc.	\$247,231
Total	\$59,905,708

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).

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). (1) Contract Development Process: The State uses a multi-year contract as a mechanism to provide funding to each CSBG eligible entity. Prior to the beginning of each multi-year contract cycle, the Community Action Plan and budget forms are distributed to all CSBG eligible entities to begin development of the contract package (60 days). At the start of quarter four (of the Federal Fiscal Year), the remaining documents comprising the contract package are sent to the CSBG eligible entities to complete. The full package of contracting documents is due three weeks later (21 days). When contracts are received by the Department of State, they are distributed to the assigned DOS staff (CSBG Program Analysts and Fiscal Representatives) for review. NOTE: The review of contract documents may be delayed while DOS works with CSBG eligible entities to develop a contract that is approvable. (2) Approval Process: State Legislative approval for the distribution of CSBG funding to be received by the State during the upcoming federal fiscal year is generally granted by the passage of the State Budget in April. CSBG funding to eligible entities is distributed pursuant to contracts entered into between DOS and each individual CSBG eligible entity. The contracting process requires approval from the DOS, the New York State Office of the Attorney General, and the New York State Office of the State Comptroller. The DOS Division of Community Services provides contract documents, including budgets and Community Action Plans, to all CSBG eligible entities for negotiation and accurate completion. Once a completed contract is received by DOS, the contract package is reviewed for approval and processing by the Departments Bureau of Fiscal Management (5-10 days). In some cases, DOS Legal will review issues with a Vendor Responsibility Questionnaire (1 day). Once approved by DOS, the contract package is provided to the New York State Office of the Attorney General for approval (15 days), and the New York State Office of the State Comptroller for final approval (15 days). (3) Making Funds Available Process: Funding availability is based on the level of CSBG funding provided in the Federal Notice of Grant Award (NGA) to the State. Initial payments of CSBG funds are generally made available to eligible entities within one month of the October 1st contract start date or upon receipt of federal funding. Upon receipt of the NGA and completion of the contracting and approval process described in the States response above, CSBG funding is generally made available to eligible entities using an advance payment methodology, which provides four payments per year to each eligible entity in 25 percent increments. The first 25 percent payment is made upon final contract approval and the States receipt of Federal CSBG funding. Subsequent payments of 25 percent are processed throughout the contract year when the eligible entity has submitted financial reports documenting expenditures at specific minimum levels (20%, 45%, and 70%), along with Performance Progress Reports (PPR) and narratives showing measurable progress toward achieving contractually established service provision goals and other compliance requirements.

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

☐ Reimbursement

☐ Advance

☐ Hybrid

☒ Other

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

7.4. Distribution Timeframe:

Does the state 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		
7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.		
<i>Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.</i>		
7.5. Distribution of Funds Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.		
<i>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</i>		
The State will continue to research methods to further modernize the contracting process. Currently, the State is utilizing Microsoft SharePoint to internally review contract documents to expedite the finalization of corrections and/or revisions as needed to move the contract forward. DOS has also incorporated the use of video collaboration software (Cisco WebEx and Microsoft Teams) to improve the transparency of the review process with eligible entities. The State continues to explore methods to make this a fully electronically integrated process for both the eligible entity and the State. It should be noted that payments to eligible entities are dependent upon the receipt and processing of a Notice of Grant Award from the federal government, and that establishing the final budget for all new contracts requires receiving a final allocation from the federal government. These variables, including the satisfaction of contractual requirements, can impact contract and grant administration timeframes.		
Administrative Funds [Section 675C(b)(2) of the CSBG Act]		
<i>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</i>		
7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.		
Year One (0.00%)	5.00	Year Two (0.00%) 5.00
7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan		
Year One	47.00	Year Two 47.00
7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan		
Year One	21.00	Year Two 21.00
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		
If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.		
Year One (0.00%)	5.00%	Year Two (0.00%) 5.00%
Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)		
<i>Note: This response will link to the corresponding assurance, Item 14.2.</i>		
<i>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i>		
<i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i>		
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	\$412,500.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$37,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$2,545,285.00	Activities and programs to address the following: low-income support services, affordable housing, mental health, substance abuse, workforce development, reentry, Fatherhood Initiative, family

		enrichment, community engagement and development, professional development, and achieving organizational standards
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$332,809.00	Native American Tribes: Are funded up to .5% of total funds. Disaster funding in accordance with IM #154
Total	\$3,328,094.00	

Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$412,500.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$37,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$2,545,285.00	Activities and programs to address the following: low-income support services, affordable housing, mental health, substance abuse, workforce development, reentry, Fatherhood Initiative, family enrichment, community engagement and development, professional development, and achieving organizational standards
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$332,809.00	Native American Tribes: Are funded up to .5% of total funds. Disaster funding in accordance with IM #154
Total	\$3,328,094.00	

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

<input type="checkbox"/> The state directly carries out all activities (No Partnerships)
<input type="checkbox"/> The state partially carries out some activities
<input checked="" type="checkbox"/> CSBG eligible entities (<i>if checked, include the expected number of CSBG eligible entities to receive funds</i>) 47
<input checked="" type="checkbox"/> Other community-based organizations
<input checked="" type="checkbox"/> State Community Action association
<input checked="" type="checkbox"/> Regional CSBG technical assistance provider(s)
<input checked="" type="checkbox"/> National technical assistance provider(s)
<input checked="" type="checkbox"/> Individual consultant(s)
<input checked="" type="checkbox"/> Tribes and Tribal Organizations
<input checked="" type="checkbox"/> Other Neighborhood and Faith-based community organizations

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.

DOS did not make any adjustments to 7.11 from the FY24/25 State Plan. DOS remains flexible when making the discretionary funds available for innovative pilots, best practices, and evidence-based programming. Discretionary funds are made available to support the mission of CSBG and help agencies enhance their capacity to deliver these services. DOS continues to consider feedback from the eligible entities as well as the CSBG Advisory Council members during the year through regular meetings.

Section 8: State Training and Technical Assistance

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

Form Approved
OMB No: 0970-0382
Expires: 08/31/2027

SECTION 8 State Training and Technical Assistance

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

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

Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Fiscal	
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
5	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
6	Ongoing / Multiple Quarters	Both	Reporting	
7	Ongoing / Multiple Quarters	Both	ROMA	
8	Ongoing / Multiple Quarters	Both	Community Assessment	
9	Ongoing / Multiple Quarters	Both	Strategic Planning	
10	Ongoing / Multiple Quarters	Both	Monitoring	
11	Ongoing / Multiple Quarters	Both	Communication	
12	Ongoing / Multiple Quarters	Both	Technology	
13	Ongoing / Multiple Quarters	Both	Other	Community Action Communication and Coordination, Volunteer Coordination, Shared services, CAA Mentoring, Risk Assessment, Trauma informed care, Uniform Guidance Consumer Protection, financial literacy, mental and behavioral health, anti-poverty initiatives

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Fiscal	
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
5	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
6	Ongoing / Multiple Quarters	Both	Reporting	
7	Ongoing / Multiple Quarters	Both	ROMA	
8	Ongoing / Multiple Quarters	Both	Community Assessment	
9	Ongoing / Multiple Quarters	Both	Strategic Planning	
10	Ongoing / Multiple Quarters	Both	Monitoring	
11	Ongoing / Multiple Quarters	Both	Communication	
12	Ongoing / Multiple Quarters	Both	Technology	
13	Ongoing / Multiple Quarters	Both	Other	Community Action Communication and Coordination, Volunteer Coordination,

				Shared services, CAA Mentoring, Risk Assessment, Trauma informed care Uniform Guidance Consumer Protection, financial literacy, mental and behavioral health, anti-poverty initiatives
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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	\$412,500	Year Two	\$412,500
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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.

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

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

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. In accordance with IM138, DOS partners with the eligible entity to address not met organizational standards through the creation of a Technical Assistance Plan (TAP) during routine monitoring visits. DOS and the eligible entity identify recommended action(s) and a reasonable timeframe for completion in addressing the not met organizational standards. DOS works with the eligible entity to verify progress made and identify any further TTA needs. If appropriate, the State may initiate action in accordance with section 678C of the CSBG Act, including issuance of a Notice of Deficiency and the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress. The failure of an eligible entity to meet multiple standards, or in cases where one or more deficiencies (including but not limited to contractual non-compliance, financial irresponsibility, failure to adequately provide services, conversion, fraud, corruption, or abuse) may reflect deeper organizational challenges and risk. In those cases, DOS will determine whether it may be necessary to take additional actions, including initiating action to reduce or terminate funding, in accordance with section 678C of the CSBG Act (see also CSBG IM 116).

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

<input type="checkbox"/>	All T/TA is conducted by the state
<input type="checkbox"/>	CSBG eligible entities (<i>if checked, provide the expected number of CSBG eligible entities to receive funds</i>)
<input type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input checked="" type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input checked="" 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

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

DOS did not make any adjustments to 8.1 from the FY24/25 State Plan. DOS makes a concerted effort to address the TTA needs of the network. DOS partners with the State Association (NYSCAA) to assess and evaluate needs. Feedback from the eligible entities was received during the public comment period that supported DOS continuing to partner with the State Association. Based on 2025 ACSI results, scores in the TTA category increased, and overall comments supported the TTA provided by DOS and the State Association.

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 and pre-populates the Annual Report, Module 1, Item G.1.

☐ State Low Income Home Energy Assistance Program (LIHEAP) office

☒ State Weatherization office

☐ State Temporary Assistance for Needy Families (TANF) office

☒ Head Start State Collaboration offices

☐ State public health office

☐ State education department

☒ State Workforce Innovation and Opportunity Act (WIOA) agency

☒ State budget office

☐ Supplemental Nutrition Assistance Program (SNAP)

☐ State child welfare office

☐ State housing office

☒ Other

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

9.2. State Linkages and Coordination at the Local Level:

Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under 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.

DOS seeks to expand regularly scheduled meetings with the State government stakeholder agencies that also provide program funding to CAAs. DOS will also continue to work with the CSBG Advisory Council, NYSCAA, and members of the CSBG network to provide presentations and opportunities for continued collaboration with other state agencies.

9.3. Eligible Entity Linkages and Coordination

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

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

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

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

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

The CSBG Community Action Plan requires eligible entities to identify partnerships that address specific needs and results to be achieved between the

eligible entity and the partner entity. Many eligible entities establish formal and informal agreements with organizations in their area to share information, coordinate referrals, and meet on a regular basis to organize local and countywide services.

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

Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (*as required by the assurance under Section 676(b)(5) of the CSBG Act*)? ☐ Yes ☒ No

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.

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

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.

The LIHEAP program is administered through the NYS Office of Temporary and Disability Assistance (OTDA). Twelve Community Action Agencies are considered "alternate certifiers". All of the remaining CAAs make referrals for their customers to their local DSS offices and community partners to receive emergency crisis intervention. DOS assures this requirement is met through ongoing monitoring to ensure that CAAs are making referrals and establishing partnerships with other community-based organizations.

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.

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

9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

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

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

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe state activities for supporting coordination among the eligible entities and the state community action association.

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

DOS provides funding to NYSCAA to carry out this function. NYSCAA organizes conferences, round table discussions, workgroups, surveys, webinars, and other educational forums on matters of concern(s) to eligible entities throughout the State. Representatives of the DOS and NYSCAA meet regularly to review areas of concern, to assess and evaluate eligible entity needs, and improve coordination among entities cross regions.

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	Other	Public Notice Newsletters Meeting/presentations Email Website
State Plan Development	As needed	Other	Meetings/Presentations Email Newsletters
Organizational Standards Progress	Semi-Annually	Other	Meetings/Presentations Newsletters
State Accountability Measures Progress	Annually	Other	Meetings/Presentations Newsletters - this is part of

			the State Plan
Community Needs Assessments/ Community Action Plans	Annually	Other	Contracting process (Community Action Plans)
State Monitoring Plans and Policies	Biannual	Other	Website Newsletter Email
Training and Technical Assistance (T/TA) Plans	Annually	Other	Individual Monitoring Plan
ROMA and Performance Management	Annually	Other	Annual & Triennial assessments
State Interagency Coordination	As needed	Other	Meetings/Presentations
CSBG Legislative/Programmatic Updates	As needed	Other	Meetings/Presentations Newsletter Email Public notice Website
Tripartite Board Requirements	As needed	Other	Ongoing Monitoring

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

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

9.11. Communication Plan Performance Management Adjustment:

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

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

DOS did not make any adjustments to 9.9 from the FY24/25 State Plan. DOS had a substantial increase in the ACSI communication score between 2021 and 2025 (18 points), and determined that no changes were necessary for the communications plan.

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)

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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	Albany County Opportunity, Inc.	Other	Desk Review	FY1 Q2	10/23/2023	10/25/2023	Annual Compliance Review of Organizational Standards (ACROS)
2	Allegany County Community Opportunities and Rural Development, Inc.	Other	Desk Review	FY1 Q2	05/29/2024	05/31/2024	Annual Compliance Review of Organizational Standards (ACROS)
3	Cattaraugus Community Action, Inc.	Other	Desk Review	FY1 Q2	06/25/2024	06/27/2024	Annual Compliance Review of Organizational Standards (ACROS)
4	Cayuga/Seneca Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	11/20/2024	11/22/2024	Annual Compliance Review of Organizational Standards (ACROS)
5	Chautauqua Opportunities, Inc.	Other	Desk Review	FY1 Q2	05/21/2024	05/23/2024	Annual Compliance Review of Organizational Standards (ACROS)
6	Economic Opportunity Program, Inc. of Chemung County	Full On-site	Onsite Review	FY1 Q1	11/15/2022	11/22/2022	
7	Greater Opportunities for Broome and Chenango, Inc.	Full On-site	Onsite Review	FY1 Q1	10/18/2022	10/20/2022	
8	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Other	Desk Review	FY1 Q2	06/10/2025	06/12/2025	Annual Compliance Review of Organizational Standards (ACROS)
9	Columbia Opportunities, Inc.	Other	Desk Review	FY1 Q2	01/07/2025	01/09/2025	Annual Compliance Review of Organizational Standards (ACROS)
10	Cortland County Community Action Program, Inc.	Other	Desk Review	FY1 Q2	07/07/2025	07/09/2025	Annual Compliance Review of Organizational Standards (ACROS)

11	Delaware Opportunities, Inc.	Other	Desk Review	FY1 Q2	04/22/2025	04/24/2025	Annual Compliance Review of Organizational Standards (ACROS)
12	Community Action Partnership for Dutchess County, Inc.	Full On-site	Onsite Review	FY1 Q1	12/06/2022	12/08/2022	
13	Community Action Organization of Western New York, Inc.	Full On-site	Onsite Review	FY1 Q2	01/24/2023	01/26/2023	
14	Adirondack Community Action Programs, Inc.	Other	Desk Review	FY1 Q2	02/27/2024	02/29/2024	Annual Compliance Review of Organizational Standards (ACROS)
15	Fulmont Community Action Agency, Inc.	Other	Desk Review	FY1 Q2	03/12/2024	03/14/2024	Annual Compliance Review of Organizational Standards (ACROS)
16	Community Action of Greene County, Inc.	Other	Desk Review	FY1 Q2	10/01/2024	10/03/2024	Annual Compliance Review of Organizational Standards (ACROS)
17	Community Action Planning Council of Jefferson County, Inc.	Other	Desk Review	FY1 Q2	04/29/2025	05/01/2025	Annual Compliance Review of Organizational Standards (ACROS)
18	Lewis County Opportunities, Inc.	Other	Desk Review	FY1 Q2	02/06/2024	02/08/2024	Annual Compliance Review of Organizational Standards (ACROS)
19	Livingston County Board of Supervisors (Community Initiatives Council)	Other	Desk Review	FY1 Q2	07/22/2025	07/24/2025	Annual Compliance Review of Organizational Standards (ACROS)
20	Community Action Program for Madison County, Inc.	Other	Desk Review	FY1 Q2	10/03/2023	10/05/2023	Annual Compliance Review of Organizational Standards (ACROS)
21	Action for a Better Community, Inc.	Full On-site	Onsite Review	FY1 Q3	05/09/2023	05/11/2023	
22	Economic Opportunity Commission of Nassau County, Inc.	Full On-site	Onsite Review	FY1 Q4	08/28/2023	08/31/2023	
23	Niagara Community Action Program, Inc.	Other	Desk Review	FY1 Q2	03/25/2025	03/27/2025	Annual Compliance Review of Organizational Standards (ACROS)
24	New York City Department of Youth and Community Development	Full On-site	Onsite Review	FY1 Q4	09/12/2023	09/14/2023	
25	Mohawk Valley Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q1	10/24/2022	10/26/2022	
26	People's Equal Action and Community Effort, Inc.	Full On-site	Onsite Review	FY1 Q4	07/25/2023	07/27/2023	
27	Regional Economic Community Action Program, Inc.	Full On-site	Onsite Review	FY1 Q4	07/11/2023	07/13/2023	
28	Community Action of Orleans and Genesee, Inc.	Other	Desk Review	FY1 Q2	04/01/2025	04/03/2025	Annual Compliance Review of Organizational Standards (ACROS)

29	Oswego County Opportunities, Inc.	Other	Desk Review	FY1 Q2	06/24/2025	06/26/2025	Annual Compliance Review of Organizational Standards (ACROS)
30	Opportunities for Otsego, Inc.	Other	Desk Review	FY1 Q2	02/14/2024	02/16/2024	Annual Compliance Review of Organizational Standards (ACROS)
31	PathStone Corporation	Other	Desk Review	FY1 Q2	01/21/2025	01/23/2025	Annual Compliance Review of Organizational Standards (ACROS)
32	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Full On-site	Onsite Review	FY1 Q1	11/07/2022	11/09/2022	
33	LifeWorks Community Action, Inc.	Other	Desk Review	FY1 Q2	07/09/2024	07/11/2024	Annual Compliance Review of Organizational Standards (ACROS)
34	Schenectady County	Full On-site	Onsite Review	FY1 Q3	06/13/2023	06/15/2023	
35	Schoharie County Community Action Program, Inc.	Other	Desk Review	FY1 Q2	02/06/2025	02/08/2025	Annual Compliance Review of Organizational Standards (ACROS)
36	Pro Action of Steuben and Yates, Inc.	Other	Desk Review	FY1 Q2	05/07/2024	05/09/2024	Annual Compliance Review of Organizational Standards (ACROS)
37	St. Lawrence County Community Development Program, Inc.	Other	Desk Review	FY1 Q2	03/05/2024	03/07/2024	Annual Compliance Review of Organizational Standards (ACROS)
38	Economic Opportunity Council of Suffolk, Inc.	Other	Desk Review	FY1 Q2	04/02/2024	04/04/2024	Annual Compliance Review of Organizational Standards (ACROS)
39	Tioga Opportunities, Inc.	Full On-site	Onsite Review	FY1 Q2	03/21/2023	03/23/2023	
40	Tompkins Community Action, Inc.	Other	Desk Review	FY1 Q2	07/15/2025	07/17/2025	Annual Compliance Review of Organizational Standards (ACROS)
41	Ulster County Community Action Committee, Inc.	Other	Desk Review	FY1 Q2	10/04/2022	10/06/2022	Annual Compliance Review of Organizational Standards (ACROS)
42	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Other	Desk Review	FY1 Q2	04/01/2025	04/03/2025	Annual Compliance Review of Organizational Standards (ACROS)
43	Washington County Economic Opportunity Council, Inc.	Other	Desk Review	FY1 Q2	04/16/2024	04/18/2024	Annual Compliance Review of Organizational Standards (ACROS)
	Wayne County Action Program,	Other	Desk Review	FY1 Q2	08/19/2025	08/21/2025	Annual

44	Inc.						Compliance Review of Organizational Standards (ACROS)
45	Westchester Community Opportunity Program, Inc.	Full On-site	Onsite Review	FY1 Q2	01/24/2023	01/26/2023	
46	Yonkers Community Action Program, Inc.	Full On-site	Onsite Review	FY1 Q3	05/23/2023	05/25/2023	
47	Wyoming County Community Action, Inc.	Other	Desk Review	FY1 Q2	03/05/2024	03/07/2024	Annual Compliance Review of Organizational Standards (ACROS)
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Albany County Opportunity, Inc.	Full On-site	Onsite Review	FY2 Q1	10/23/2023	10/25/2023	
2	Allegany County Community Opportunities and Rural Development, Inc.	Full On-site	Onsite Review	FY2 Q3	05/29/2024	05/31/2024	
3	Cattaraugus Community Action, Inc.	Full On-site	Onsite Review	FY2 Q3	06/25/2024	06/27/2024	
4	Cayuga/Seneca Community Action Agency, Inc.	Other	Desk Review	FY2 Q2	11/20/2024	11/22/2024	Annual Compliance Review of Organizational Standards (ACROS)
5	Chautauqua Opportunities, Inc.	Full On-site	Onsite Review	FY2 Q3	05/21/2024	05/23/2024	
6	Economic Opportunity Program, Inc. of Chemung County	Other	Desk Review	FY2 Q2	11/15/2022	11/22/2022	Annual Compliance Review of Organizational Standards (ACROS)
7	Greater Opportunities for Broome and Chenango, Inc.	Other	Desk Review	FY2 Q2	10/18/2022	10/20/2022	Annual Compliance Review of Organizational Standards (ACROS)
8	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Other	Desk Review	FY2 Q2	06/10/2025	06/12/2025	Annual Compliance Review of Organizational Standards (ACROS)
9	Columbia Opportunities, Inc.	Other	Desk Review	FY2 Q2	01/07/2025	01/09/2025	Annual Compliance Review of Organizational Standards (ACROS)
10	Cortland County Community Action Program, Inc.	Other	Desk Review	FY2 Q2	07/07/2025	07/09/2025	Annual Compliance Review of Organizational Standards (ACROS)
11	Delaware Opportunities, Inc.	Other	Desk Review	FY2 Q2	04/22/2025	04/24/2025	Annual Compliance Review of Organizational Standards (ACROS)
12	Community Action Partnership for Dutchess County, Inc.	Other	Desk Review	FY2 Q2	12/06/2022	12/08/2022	Annual Compliance Review of Organizational Standards (ACROS)
13	Community Action Organization of Western New York, Inc.	Other	Desk Review	FY2 Q2	01/24/2023	01/26/2023	Annual Compliance Review of Organizational

							Standards (ACROS)
14	Adirondack Community Action Programs, Inc.	Full On-site	Onsite Review	FY2 Q2	02/27/2024	02/29/2024	
15	Fulmont Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q2	03/12/2024	03/14/2024	
16	Community Action of Greene County, Inc.	Other	Desk Review	FY2 Q2	10/01/2024	10/03/2024	Annual Compliance Review of Organizational Standards (ACROS)
17	Community Action Planning Council of Jefferson County, Inc.	Other	Desk Review	FY2 Q2	04/29/2025	05/01/2025	Annual Compliance Review of Organizational Standards (ACROS)
18	Lewis County Opportunities, Inc.	Full On-site	Onsite Review	FY2 Q2	02/06/2024	02/08/2024	
19	Livingston County Board of Supervisors (Community Initiatives Council)	Other	Desk Review	FY2 Q2	07/22/2025	07/24/2025	Annual Compliance Review of Organizational Standards (ACROS)
20	Community Action Program for Madison County, Inc.	Full On-site	Onsite Review	FY2 Q1	10/03/2023	10/05/2023	
21	Action for a Better Community, Inc.	Other	Desk Review	FY2 Q2	05/09/2023	05/11/2023	Annual Compliance Review of Organizational Standards (ACROS)
22	Economic Opportunity Commission of Nassau County, Inc.	Other	Desk Review	FY2 Q2	08/28/2023	08/31/2023	Annual Compliance Review of Organizational Standards (ACROS)
23	Niagara Community Action Program, Inc.	Other	Desk Review	FY2 Q2	03/25/2025	03/27/2025	Annual Compliance Review of Organizational Standards (ACROS)
24	New York City Department of Youth and Community Development	Other	Desk Review	FY2 Q2	09/12/2023	09/14/2023	Annual Compliance Review of Organizational Standards (ACROS)
25	Mohawk Valley Community Action Agency, Inc.	Other	Desk Review	FY2 Q2	10/24/2022	10/26/2022	Annual Compliance Review of Organizational Standards (ACROS)
26	People's Equal Action and Community Effort, Inc.	Other	Desk Review	FY2 Q2	07/25/2023	07/27/2023	Annual Compliance Review of Organizational Standards (ACROS)
27	Regional Economic Community Action Program, Inc.	Other	Desk Review	FY2 Q2	07/11/2023	07/13/2023	Annual Compliance Review of Organizational Standards (ACROS)
28	Community Action of Orleans and Genesee, Inc.	Other	Desk Review	FY2 Q2	04/01/2025	04/03/2025	Annual Compliance Review of Organizational Standards (ACROS)
29	Oswego County Opportunities, Inc.	Other	Desk Review	FY2 Q2	06/24/2025	06/26/2025	Annual Compliance Review of

							Organizational Standards (ACROS)
30	Opportunities for Otsego, Inc.	Full On-site	Onsite Review	FY2 Q2	02/14/2024	02/16/2024	
31	PathStone Corporation	Other	Desk Review	FY2 Q2	01/21/2025	01/23/2025	Annual Compliance Review of Organizational Standards (ACROS)
32	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Other	Desk Review	FY2 Q2	11/07/2022	11/09/2022	Annual Compliance Review of Organizational Standards (ACROS)
33	LifeWorks Community Action, Inc.	Full On-site	Onsite Review	FY2 Q4	07/09/2024	07/11/2024	
34	Schenectady County	Other	Desk Review	FY2 Q2	06/13/2023	06/15/2023	Annual Compliance Review of Organizational Standards (ACROS)
35	Schoharie County Community Action Program, Inc.	Other	Desk Review	FY2 Q2	02/06/2025	02/08/2025	Annual Compliance Review of Organizational Standards (ACROS)
36	Pro Action of Steuben and Yates, Inc.	Full On-site	Onsite Review	FY2 Q3	05/07/2024	05/09/2024	
37	St. Lawrence County Community Development Program, Inc.	Full On-site	Onsite Review	FY2 Q2	03/05/2024	03/07/2024	
38	Economic Opportunity Council of Suffolk, Inc.	Full On-site	Onsite Review	FY2 Q3	04/02/2024	04/04/2024	
39	Tioga Opportunities, Inc.	Other	Desk Review	FY2 Q2	03/21/2023	03/23/2023	Annual Compliance Review of Organizational Standards (ACROS)
40	Tompkins Community Action, Inc.	Other	Desk Review	FY2 Q2	07/15/2025	07/17/2025	Annual Compliance Review of Organizational Standards (ACROS)
41	Ulster County Community Action Committee, Inc.	Other	Desk Review	FY2 Q2	10/04/2022	10/06/2022	Annual Compliance Review of Organizational Standards (ACROS)
42	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Other	Desk Review	FY2 Q2	04/01/2025	04/03/2025	Annual Compliance Review of Organizational Standards (ACROS)
43	Washington County Economic Opportunity Council, Inc.	Full On-site	Onsite Review	FY2 Q3	04/16/2024	04/18/2024	
44	Wayne County Action Program, Inc.	Other	Desk Review	FY2 Q2	08/19/2025	08/21/2025	Annual Compliance Review of Organizational Standards (ACROS)
45	Westchester Community Opportunity Program, Inc.	Other	Desk Review	FY2 Q2	01/24/2023	01/26/2023	Annual Compliance Review of Organizational Standards (ACROS)
46	Yonkers Community Action Program, Inc.	Other	Desk Review	FY2 Q2	05/23/2023	05/25/2023	Annual Compliance Review of

							Organizational Standards (ACROS)
47	Wyoming County Community Action, Inc.	Full On-site	Onsite Review	FY2 Q2	03/05/2024	03/07/2024	

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

DOS Monitoring Guide attached.

10.3. Initial Monitoring Reports:
According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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.

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

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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

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

The Community Services Division Director provides notice to NY State's assigned OCS Program Specialist via email notification within 30 days of accepting a proposed QIP from an eligible entity. DOS includes the OCS Program Specialist on all formal letters sent to the eligible entity regarding issues identified in the QIP. Additionally, the State provides any updates on QIPs during scheduled bi-monthly check-ins with its assigned OCS Program Specialist and will send updates (via email notification) when necessary.

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

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

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

10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

https://newyork.public.law/laws/n.y._executive_law_section_159-m

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

10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities ☒ Yes ☐ No

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

https://newyork.public.law/laws/n.y._executive_law_section_159-l

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? ☒ Yes ☐ No

10.10a. If Yes, provide the citation(s) of the law and/or regulation.

https://newyork.public.law/laws/n.y._executive_law_section_159-m

10.10b. If No, describe State procedures for re-designation of existing eligible entities.

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

10.12. Single Audit Management Decisions:

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

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

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

10.13. Assurance on Federal Investigations:

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

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.

DOS is moving toward developing a more comprehensive triennial assessment tool, with a focus on providing training and technical assistance for unmet areas of federal and state compliance, and to mitigate risk. The transition to this tool is planned for FY2027. DOS intends to receive feedback and comments from the network prior to implementation, during FY2026. DOS has analyzed the past performance of the eligible entities, received feedback from eligible entity workgroups, during the public comment period, and assessed the 2025 ACSI scores and comments regarding how we can reduce the redundancy of monitoring.

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11 Eligible Entity Tripartite Board

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

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

11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., [*Select one and narrative where applicable*]

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☒ As it Occurs
- ☐ Other

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

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

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

11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. ☐ Yes ☒ No

11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

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

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SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

[Check one item below.]

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

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

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

Subrecipients possess flexibility to devise their own process and implementation methods. Subrecipients must document their policy and procedures for using the federal poverty guidelines for CSBG as a criterion of eligibility. DOS's policy for determining income eligibility based on family/household composition is the following: For purposes of determining income eligibility, the subrecipient should determine how many people are within the customers household. A household includes any individual or group of individuals who are living together as one economic unit. The income of everyone in the household who is 18 years or older must be included in determining income eligibility. In determining whether an individual is part of a household, the subrecipient may consider factors such as whether individuals have legal obligations to support one another, like a parent or guardian and minor child, and whether the individuals communally purchase food or share other expenses. DOS routinely monitors that subrecipients are following their policies and procedures when determining eligibility for CSBG activities and programs. See attached Memo regarding Determining Income Eligibility for CSBG Funded Activities and Programs (dated April 17, 2023).

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.

While an eligible entity possesses flexibility in devising its own processes and implementation methods, such processes and methods must be reasonable and appropriate. DOS has provided guidance through a document titled DOS Information Memorandum on Determining Income Eligibility for CSBG Funded Activities and Programs (DOS Memo). A9 of the DOS Memo assists the eligible entity in carrying out its responsibilities by addressing various questions related to the CSBG income eligibility requirement. In addition to the guidance provided in A9 of the DOS Memo, sample forms were attached for the eligible entities to reference when outreach services are being provided. DOS makes certain that the income policy put in place on 4/14/2023 is being carried out by the eligible entities by sampling consumer files during routine monitoring visits. In cases where CSBG services are rendered during a storm or natural disaster, or other like event, eligible entities may adopt streamlined eligibility determination procedures consistent with CSBG IM# 154.

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

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

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

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

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SECTION 13 Results Oriented Management and Accountability (ROMA) System

13.1. Performance Measurement System:

Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 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 accordance with PL. 105-285, Section 678E, all eligible entities are required to participate in a performance measurement system in a form and manner as directed by the DOS. All CSBG eligible entities in New York State participate in the Result-Oriented Management and Accountability (ROMA) system approved by the US Department of Health and Human Services, Office of Community Services. Annually, DOS assesses the eligible entities' approvable contract deliverables. This review is based on the outcomes and results of the prior year. During the contract year, the eligible entities prepare and submit quarterly Performance Progress Reports (PPRs) to document the implementation and progress toward achieving results presented in the approved Community Action Plan. DOS evaluates those PPRs submitted throughout the contract year to identify challenges and successes the eligible entities undergo. Additionally, concluding the contract year, each eligible entity is to submit an Annual Report. DOS reviews and discusses those results with the eligible entity to summarize the outcomes achieved in accordance with the purpose and goals of CSBG and ROMA. These discussions influence and inform the planning of activities, programs, and services for the following year.

13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

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

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

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.

DOS recognizes the value of utilizing and encourages the ROMA framework across the NYS CSBG network of eligible entities. DOS's Nationally Certified ROMA Trainers (NCRT) work closely with the New York State Community Action Association (NYSCAA) to provide support to eligible entities and the State office in implementing ROMA. Annually, DOS staff are provided with an opportunity to access ROMA training. Eligible entities, without an NCRT on staff, have an opportunity for agency staff to be trained in ROMA practices and principles. The ROMA Alliance, formed in 2018, is comprised of ROMA Professionals, Nationally Certified ROMA Trainers (NCRT) and Nationally Certified ROMA Implementers (NCRI), and ROMA candidates. Members of the ROMA Alliance commit to supporting and applying results-based orientation and management accountability across the NYS CSBG network. The NYS ROMA Alliance meets bi-monthly, discussing the core components of the ROMA Cycle, key foundational concepts, embraced by eligible entities as best practices. As a result of the ROMA Alliance meetings, ROMA initiatives have been created and implemented across the NYS CSBG network. DOS and NYSCAA partnered to develop training on how to utilize ROMA concepts when creating Community Action Plans. NYS DOS continues to be an active participant at alliance bi-monthly meetings. A natural extension of the ROMA Alliance has been the development of two Communities of Practice (CoP) workgroups. These workgroups, coordinated by NYSCAA, are designed to create larger supportive connections among ROMA Professionals. The Data CoP focuses on aligning the work of the eligible entity with the phases of the ROMA Cycle.

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.

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

Community Action Plans and Needs Assessments

13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of

CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>
The contract work plan is an aggregate document consisting of the eligible entity's CSBG Community Action Plan, a summary of priorities contained in the community needs assessment, and a summary of goals and objectives from the entity's strategic plan. It is submitted to the State annually by each eligible entity as part of the contract refunding package.
13.6. Community Needs Assessment: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>
Eligible entities are contractually required to conduct a community needs assessment every three years. The methodology and priorities are included in the annual refunding package.

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;

i. Self-Sufficiency: 47 eligible entities have embraced various service approach models (primarily the family development and two-generation approach) to assist individuals and families to establish personal goals and timelines to address the barriers that have prevented them from becoming self-sufficient. In 2023, approximately \$15,908,381 in CSBG funding was used for this purpose. ii. Employment: 35 eligible entities are providing services ranging from on-the-job training, job skills training, job development and placement, as well as support services to ensure successful employment outcomes. These include, but are not limited to, providing childcare, transportation, and work supplies/equipment. Over \$11,222,880 in CSBG funds were allocated to this domain in 2023. iii. Education: 28 eligible entities provide a variety of educational programs for customers of all ages. This includes Head Start, Early Head Start, Afterschool tutoring, GED, Adult Basic Literacy, ESOL, and Financial Literacy. Nearly \$7,393,131 in 2023 CSBG funds were allocated by eligible entities to this specific domain. iv. Use of income: As part of utilizing the family development model and/or two-generation approach, 27 eligible entities are working with individuals and families to make better use of available income to achieve greater self-sufficiency. Approximately \$996,903 in CSBG funds were used for this purpose. v. Housing: 36 eligible entities offer housing assistance, including but not limited to shelter for targeted populations (DV, homeless, runaway teens), rehabilitation of existing units, development of new housing, rental subsidies, and weatherization. In 2023, over \$2,228,323 in CSBG funds was allocated for these purposes. vi. Emergency assistance: 35 eligible entities offer emergency assistance, most notably food and clothing, but also assistance with medication or health care, utility payments, first month rent and security deposit, temporary shelter, and disaster recovery. Over \$4,401,807 in 2023 CSBG funds were allocated for these purposes. vii. Community participation, including documenting best practices and engaging law enforcement agencies: DOS program analysts identify best practices during routine monitoring and during the comprehensive triennial assessment of eligible entities and share this information with their colleagues during staff meetings and with other eligible entities during site visits. NYSCAA hosts sessions at its annual conference that focus on promising practices, through both CAA peer sharing and outside experts. To encourage eligible entities to achieve greater participation in the affairs of the community (including engaging law enforcement agencies), DOS has provided specific areas within the CSBG Community Action Plan where eligible entities may choose to identify and utilize funds. In FFY 2023-2024, approximately \$914,427 was allocated for CSBG-funded activities related to Civic Engagement and Community Involvement, along with the Agency Capacity Building.

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;

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

achievements in the area of youth services.
Coordination of Other Programs
14.1c. 676(b)(1)(C) Describe how the state will assure "that funds made available through grant or allotment will be used -
(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)
Eligible entities work with a number of local and statewide organizations in pursuit of expanding and enhancing services to the low-income population. This could include organizations such as food banks, faith-based entities, and local governments, to name a few. The New York State CSBG Community Action Plan includes a section on partnerships. Eligible entities must identify the name of the organization, describe their involvement, and list the intended outcome for each partnership. DOS verifies that these partnerships are carried out through the routine monitoring of eligible entities and through the negotiation of the Community Action Plan.
State Use of Discretionary Funds
14.2 676(b)(2) Describe "how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."
<i>Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10</i>
Eligible Entity Service Delivery, Coordination, and Innovation
14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;
All areas of the State are presently served by the CSBG network. Eligible entities within the State of New York serve all 62 counties. The specific geographic areas served by each eligible entity are defined by each agency's terms of its CSBG designation.
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The state describes this assurance in the state linkages and communication section, item 9.3b.</i>
The CSBG Community Action Plan requires eligible entities to identify partnerships that address specific needs and results to be achieved between the eligible entity and the partner entity. Many eligible entities establish formal and informal agreements with organizations in their area to share information, coordinate referrals, and meet on a regular basis to organize local and countywide services.
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The state describes this assurance in the state linkages and communication section, item 9.7.</i>
At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities boards of directors and often include members and officials of law enforcement, faith-based organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual Community Action Plan, and Performance Program Report (PPR) outline the scope of these partnerships.
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
At the suggestion of eligible entities, on the CSBG Annual Community Action Plan, eligible entities can identify Innovative Community and Neighborhood Initiatives they either currently provide or are planning to provide. The CSBG Community Action Plan development process for eligible entities allows the opportunity to initiate new pilot programs with a portion of their CSBG funds. Once other resources are identified and the pilots no longer require CSBG support, new pilots can be initiated.
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the state will assure "that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among

low-income individuals."
CSBG eligible entities operate food pantries and soup kitchens across the state and have increased availability and hours of operation to meet expanding needs. Nearly all eligible entities operate nutrition or nutrition-related programs using CSBG funding along with, or in concert with, other public and private resources.
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the state will assure "that the state and eligible entities in the state will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the state and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>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.</i>
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."
<i>Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.</i>
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
<i>Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
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
<i>Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>
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."
<i>Note: The state describes this assurance in the state Linkages and Communication section, item 9.6.</i>
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, a 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."
<i>Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.</i>
DOS Program Analysts conduct a review of the eligible entity bylaws to ensure this provision is included. Analysts receive board packets from their assigned entities, which identify any changes in representation or petition for representation throughout the federal fiscal year. DOS staff attend board meetings to observe board function and share information.
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."
<i>Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.</i>
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."
<i>Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.</i>

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."
<i>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.</i>
<input checked="checked" type="checkbox"/> 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.