



COMMUNITY SERVICES BLOCK GRANT

POLICIES & PROCEDURES

& APPLICATION PROGRAM GUIDE

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A. INTRODUCTION

The State of North Dakota has applied to the Federal Department of Health and Human Services for funding under the FY2022 and FY2023 Community Services Block Grant. The Community Services Block Grant is authorized by the Omnibus Budget Reconciliation Act of 1981, (OBRA) Subtitle B - Community Services Block Grant program, as amended.

The North Dakota Department of Commerce, Division of Community Services has been delegated the responsibility to administer several block grants received by the State of North Dakota, including the Community Services Block Grant.

The CSBG Act was reauthorized in 1998, with the overall goals and objectives of the program being revised. Congress has not yet reauthorized the CSBG Act, although each year since 2003 some work has been done on the reauthorization process. It is not known if any further work on this will be done this year. Until a new reauthorization is completed, we will continue to follow the requirements of the 1998 reauthorization. That version of the law addresses that the CSBG funds are to be used for:

The reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act [42 U.S.C. 601 et. seq.].

To accomplish those goals, the following objectives were developed:

- the strengthening of community capabilities for planning and coordinating the use of a broad range of Federal, State, local, and other assistance, including private resources, related to the elimination of poverty, so that this assistance can be used in a manner that is responsive to local needs and conditions.
- the organization of a range of services related to the needs of low-income families and individuals, so that these services may have a measurable and potentially major impact on the causes of poverty in the community and may help the families and individuals to achieve self-sufficiency.
- the greater use of innovative and effective community-based approaches to attack the causes and effects of poverty and of community breakdown.
- the maximum participation of residents of the low-income communities and members of the groups served by programs assisted through the block grants made under this subtitle to empower those residents and members to respond to the unique problems and needs within their communities.
- the broadening of the resource base of programs directed to the elimination of poverty to secure a more active role in the provision of services for private, religious, charitable, and neighborhood-based organizations, as well as individual

citizens, and business, labor, and professional groups who are able to influence the quantity and quality of opportunities and services for the poor.

The State's CSBG allocation represents only one half of one percent of the total national CSBG allocation when that allocation exceeds \$345,000,000. North Dakota's CSBG funds, alone, cannot materially alter the extent of poverty within the state. Consequently, North Dakota's CSBG program focuses on the coordination of public and private resources to help individuals or families attain the highest possible level of economic and social self-sufficiency.

B. ALLOWABLE ACTIVITIES

The Division of Community Services supports the concept of locally developed plans for addressing the needs of low-income people. Consequently, community action agencies are allowed considerable discretion in developing and implementing CSBG programs, so long as the proposed activities are clearly eligible under the provisions of the CSBG Act. CSBG activities are broadly defined in Section 676(b) of the CSBG Act as being directed toward support of low-income individuals and families in becoming self-sufficient, addressing the needs of youth in low income communities and making more effective use of and coordinating with other programs serving low income, including State welfare reform efforts. Self-sufficiency efforts include assistance with removing obstacles and solving problems that block self-sufficiency efforts; securing and maintaining meaningful employment; attaining an adequate education particularly through improving literacy skills; making better use of available income; obtaining and maintaining adequate housing and a suitable living environment; obtaining emergency assistance; and achieving greater participation in the affairs of the community including public and private partnerships with local law enforcement agencies, local housing authorities, private foundations and other public and private partners. Addressing the needs of youth in low income communities includes 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 the establishment of violence-free zones involving youth development and intervention models such as youth mediation, youth mentoring, life skills training, job creation and entrepreneurship programs, and after-school child care programs.

CSBG activities can also be broken down by functional categories. The following functions are allowable within North Dakota's CSBG program.

1. Administration: CSBG funds may be applied toward the costs incurred in the administration of the CSBG award. These costs may include, but are not limited to, personnel and non-personnel costs incurred in CSBG workplan development, financial management, fiscal and programmatic reporting, clerical services, audit costs, supervision of

program administrators and board operations, when supported by appropriate source documentation.

2. Program Planning, Development, and Coordination: CSBG funds may be used in combination with other Federal, State, private or local funds to implement the various low-income assistance programs administered by the CSBG subgrantees. Such expenditures must be supported by appropriate source documentation to assure that the costs are allocated properly among the funding sources. CSBG funds may be applied toward program planning and development costs in support of low income assistance projects, whether funded with public or private resources.
3. Emergency Assistance: CSBG funds may be applied toward the cost of organizing and/or operating emergency assistance services or facilities, such as food pantries or food banks, temporary housing and abuse shelters, energy emergency loan or grant funds and general emergency loan and grant funds.
4. Client Services: CSBG funds may be used to provide outreach, referral, direct counseling or advocacy services on behalf of low-income clients relating to the activities outlined in the first paragraph of Section B. Allowable Activities in this guide.
5. Self-Reliance and Other Self-Sufficiency Services: CSBG funds are to be used to assist low income persons in becoming self-sufficient. DCS continues to support the Self Reliance Program and the program's case management approach, and we encourage agencies to maintain as least a 1.5 FTE for Self-Reliance Case Management. However, since a number of the CAAs provide additional self-sufficiency services, staff time for all self-sufficiency programs can be considered in meeting the State's requirement of a minimum of 1.5 FTE level within the CSBG budget for staff supporting self-sufficiency efforts. In addition to personnel costs, other allowable costs are training expenses for the SRCM's or other self-sufficiency program staff, office space, materials, travel and supplies.

Per Section 678F of the CSBG Act, the following uses are not allowable for CSBG funds:

- o CSBG funds may not be used for the purchase or improvement of land, or the purchase, construction or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility.
- o Leasing of space, buildings, and/or other assets not associated with a CSBG purpose or allowable activity; and
- o Political activity such as:
 - o Any partisan or nonpartisan activity or any political activity associated with a candidate or contending faction or group, in an election for public or party office,

- o Any activities to provide voters and prospective voters with transportation to the poll or provide similar assistance in connection with an election, or
- o Any voter registration activity.

C. ELIGIBILITY

Client eligibility for direct CSBG services is based upon income level. The State of North Dakota, as permitted by Section 673(2) of the CSBG Act, has always established the eligible income level for CSBG services at 125% of the official poverty line as defined by the Secretary of the Department of Health and Human Services based on information provided by the Office of Management and Budget.

The [current CSBG income guidelines](#) (U.S. Department of Health and Human Services, Federal Register, January 26, 2021) are as follows for poverty and 125% of poverty:

PERSONS IN HOUSEHOLD	POVERTY GUIDELINE	CSBG INCOME GUIDELINES (125% of poverty)
1	\$12,880	\$16,100
2	\$17,420	\$21,775
3	\$21,960	\$27,450
4	\$26,500	\$33,125
5	\$31,040	\$38,800
6	\$35,580	\$44,475
7	\$40,120	\$50,150
8	\$44,660	\$55,825
For each additional person add:	\$4,540	\$5,675

Normally, these income guidelines are revised each year and at the time, the updated information to CSBG eligibility limits is provided to each CAA by DCS and published on the ND CSBG website. CAAs should use the June 2021 Revised Eligibility for Services document developed by DCS in determining a client’s eligibility for CSBG services.

D. ELIGIBLE ENTITIES & DISTRIBUTION OF FUNDS

Section 675C(a)(1) of the CSBG Act, as amended, requires the State to award not less than 90% of the CSBG funds allocated to the State, through grants to eligible entities. Eligible entities are defined in Section 673(1)(A) of the Act through a reference to the previous reauthorization amendment (1994) which defines eligible as organizations designated as community action agencies or community action programs under the provisions of Section 210 of the Economic Opportunity Act of 1964 or is designated under

the requirements of Section 676A if a served area ceases to be served and has the required tripartite board. Consequently, participation in North Dakota's CSBG program is restricted to seven (7) community action agencies that have received CSBG funds since the inception of the program. The eligible organizations are:

Region II Community Action Partnership - Minot Region
2020 8th Avenue SE
Minot, ND 58701-5035

Serving the counties of Bottineau, Burke, McHenry, Mountrail,
Pierce, Renville and Ward

Region III Dakota Prairie Community Action Agency
223 4th Street NE
Devils Lake, ND 58301-2409

Serving the counties of Benson, Cavalier, Eddy, Ramsey, Rolette
and Towner

Region IV Red River Valley Community Action
1013 North 5th Street
Grand Forks, ND 58203

Serving the counties of Grand Forks, Nelson, Pembina and Walsh

Region V Southeastern ND Community Action Agency
3233 South University
Fargo, ND 58104-6221

Serving the counties of Cass, Ransom, Richland, Sargent, Steele
and Traill

Region VI Community Action Region VI
1311 12th Avenue NE
PO Box 507
Jamestown, ND 58402-0507

Serving the counties of Barnes, Dickey, Foster, Griggs, LaMoure,
Logan, McIntosh, Stutsman and Wells

Region VII

Community Action Program Region VII
2105 Lee Avenue
Bismarck, ND 58504

Serving the counties of Burleigh, Emmons, Grant, Kidder, McLean, Mercer, Morton, Oliver, Sheridan and Sioux

Regions VIII & 1

Community Action Partnership
202 East Villard
Dickinson, ND 58601

Region I Branch Office:
120 Washington Avenue
Williston, ND 58801

Serving the Region VIII counties of Adams, Billings, Bowman, Dunn, Golden Valley, Hettinger, Slope and Stark; and the Region I counties of Divide, McKenzie and Williams

The CSBG distribution formula contained in the CSBG State Plan for FY2022 and FY2023 is based on the FY2021 CSBG State allocation and the CSBG funding formula that was developed in 2012. The formula incorporates Census Data from 2010. The State elected in this funding formula to utilize only 5% of the State allocation, or \$55,000, whichever is greater, for State Administration costs, and 5% of the allocation for State Discretionary projects. The remaining 90% of the allocation will be passed through to the Community Action Agencies. The CSBG State Plan for FY2022 and FY2023 assumes that the State will receive enough funds to pass through \$3,033,666.90 each year of the plan. The funding formula will be reviewed by DCS following the decennial census.

The funding formula that was developed in 2012 provides a total base allocation minimum of \$140,000 per region, or 38.78% of the pass-through funds, whichever is greater, divided equally for the eight regions. The balance of the pass-through would be distributed to the Community Action Agencies in direct proportion to their respective shares of North Dakota's low-income population as reported in the 2010 Census. This formula will be utilized for the FY2022 & FY2023 CSBG pass-through awards to the Community Action Agencies. The 2022 proportional share of that pass-through that each agency received will continue to be the percentage used each year in determining the amount of the pass-through funds each Community Action Agency will receive, as required in Section 676(b)(8) of the CSBG Act.

Table 1 on page 5 illustrates the distribution of CSBG funds to the Community Action Agencies for FY 2022 and 2023 based on the FY2021 funding level since the FY2022 and 2023 appropriations have not yet been finalized.

Agencies should use the tentative distribution guidelines provided in Table 1, plus any projected FY2021 carryover for the FY2022 grant year and FY2022 carryover for the FY2023 grant year, in developing the agency's FY2022 and FY2023 CSBG application if the 2023 appropriation has not been finalized by the deadline established for submission of final application packets.

TABLE 1 CSBG FUNDING FORMULA DISTRIBUTION FOR FY2022 AND FY2023 BASED ON FY2021 FUNDING LEVEL		
Region/CAA	Percent of Pass- Through	Tentative Award
Region II - Community Action Partnership - Minot Region	13.4130	417,869.11
Region III - Dakota Prairie Community Action	10.5821	359,223.05
Region IV - Red River Valley Community Action	15.0046	450,841.34
Region V - Southeastern ND Community Action Agency	25.6729	671,850.14
Region VI - Community Action Program	7.7351	300,243.45
Region VII - Community Action Program	18.9221	531,997.85
Regions I & VIII - Community Action Partnership	8.67	459,615.36
TOTAL PASS THROUGH		3,191,640.30

Since FY 2003, the State has utilized a portion of State CSBG Administrative and Discretionary funds to alleviate some of the impacts on the Community Action Agencies for the decrease in CSBG funding, the shift in population within the state, and the decrease in funds the CAAs have also had from other funding sources. The State is committed to try to continue this supplemental funding outside of the funding formula. The supplemental funding will be contingent upon adequate administrative and discretionary funding at the State level. The Community Action Agencies that have carryover from the previous grant year that is 20% or less of the CSBG grant they received that year will be eligible to participate. Any remaining State CSBG Administrative and Discretionary funds available at the end of in April of the calendar year will be dispersed to the eligible entities based on the poverty percentages of their funding formula, which may be adjusted proportionately when any agencies are ineligible to receive the supplemental funding due to carryover that exceeds 20% from the previous year. These funds will usually be included in the amendments that contain the CSBG regular quarter 2 funds.

E. APPLICATION INSTRUCTIONS

To receive CSBG funds, each CAA must submit to the ND Department of Commerce, Division of Community Services, a two-year community action plan. The plan is to be submitted in odd-numbered years for the following two years (i.e. in 2021 for the FY2022 and FY2023 grant years). In the even-numbered years, the CAA must submit a budget and any portions of the community action plan that have changed significantly, such as outcomes/national indicators, work plan summary, etc., from the two-year plan that was submitted. Correspondence will be sent to CAA Directors each year outlining what needs to be submitted for the application for the coming year.

The plan consists of a pre-application packet and the final application packet. DCS will notify the CAAs as to the date that the pre-application and final application packet must be submitted. The following elements must be included in the final application that is submitted in December:

1. Applicant Information Sheet
2. Community Needs Assessment
3. CSBG Compliance Issues
4. Activity Descriptions
5. Work Plan Summary
6. Budget Section
7. Certification of Compliance
8. Update of Linkages/Private Sector Participation

The pre-application packet is usually due in June and includes the following:

1. An overview of planned services/programs and activities the agency intends to provide in the next two grant years. Agencies must provide information on new services that will be provided, any expansion of existing services, and current services that will be continued and/or discontinued in the upcoming two grant years.
2. An update of linkages/private sector participation.

The following information outlines the specifics regarding the required application items:

1. **Applicant Information Sheet** - The Applicant Information Sheet (SFN 52907) is the cover sheet for the grant application. It is to be completed by the agency and submitted to DCS with the agency's community action plan, a grant revision, a request for amendment or a request for a CSBG waiver. The form can be found on-line at <https://www.communityservices.nd.gov/uploads/24/CSBGApplicantInformationSheetPDFSFN52907.pdf>.

1. **Community Needs Assessment**

Section 676(b)(11) of the 1998 CSBG reauthorization requires that each eligible entity submit, as part of the agency's community action plan, a community needs assessment

for the community served. The needs assessment may be coordinated with community needs assessments conducted for other programs.

Copies of needs assessment data from the most recent NDCAP needs assessment plus information gleaned from other needs assessments or other data used in the formulation of the plan should be included in the FY2022-FY2023 plan submitted to DCS.

The workplan should address how needs assessment data has been used by the agency in developing the agency community action plan and determining the services that will be provided. ROMA principles should be incorporated in the workplan based on the data from the Community Needs Assessment.

2. CSBG Compliance Issues

Each agency must address Compliance Issues that are required by Section 676(b) of the 1998 CSBG Reauthorization. The agency should use the format that is outlined below. A copy of the document may also be found here:

CSBG COMPLIANCE ISSUES

FY2022 AND FY2023

Agency: _____

The following information is to address how the eligible entity will meet specific requirements of the CSBG Act. Additional pages, as needed, may be attached to provide the requested descriptive information:

Section 676(b)(3) of the 1998 CSBG Reauthorization:

- A description of the service delivery system that the agency will use for services provided or coordinated through the CSBG funding received by the agency, which is targeted to low income individuals and families in the agency's service area.
- A description of how linkages will be developed to fill identified gaps in services through the provision of information, referrals, case management and follow-up consultations.
- A description of how the CSBG funds will be coordinated with other public and private resources.
- A description of how the agency will use the CSBG funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG Act, which may include fatherhood initiatives and other initiatives with the goal of

strengthening families and encouraging effective parenting.

CSBG COMPLIANCE ISSUES

FY2022 AND FY2023

Section 676(b)(4) of the 1998 CSBG Reauthorization:

- A description of how the agency 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.

Section 676(b)(5) of the 1998 CSBG Reauthorization:

- A description of how the agency will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

If an agency has a Memorandum of Understanding (MOU) that has been signed between the agency and any other partners for the purpose of coordinating activities under the Workforce Investment Act of 1998, please attach a copy of the MOU to the agency workplan that you submit to the Division of Community Services.

Section 676(b)(10) of the 1998 CSBG Reauthorization:

- A description of the procedures the agency has in place for ensuring that a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the agency board can petition for adequate representation on the board. A copy of the policy, procedures, or bylaws of the agency that addresses this issue should be sent to the Division of Community Services with the FY2014 and FY2015 community action plan.

Non-Personnel Cost Budget Narrative Instructions

The following instructions are to be used in completing the non-personnel costs form (Form 2). The budget narrative is to serve as support for the items and dollar amounts being requested. Complete the narrative and Form 2 using the categories below. Indicate the OMB Circular A-122 reference for each expenditure item. The references have been provided for the first five categories. These references should be included in narrative submitted. The OMB Circular A-122 references used below are from the Revised A-122 dated June 1, 1998. If using a more recent copy of A-122, please indicate this in the budget narrative. Please provide as much information as possible for the requested items in the narrative.

3. ACTIVITY DESCRIPTIONS

An activity description should be prepared for each major CSBG work element. Each activity should be described as an independent project within the CSBG program. The activities, and services provided and/or coordinated, should relate to Section 676(b)(1) which outlines how CSBG funds should be used:

- a. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency 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 communities involved, which may include carrying out 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 family and individual needs; and
 - (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
 - (a) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (b) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

- 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; and
- 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).

The activity description should include four (4) separate parts:

- A statement explaining the need for the activity;
- A description of the approach or strategy to be used and the services that will be provided or coordinated by the agency within this activity;
- An explanation of the resources required (CSBG and Non-CSBG funds) to carry out the activity;
- The expected results that will be used to monitor success in promoting self-sufficiency, family stability and community revitalization.

Please follow the format provided below for each element of the activity descriptions.

a. Statement of Need

Explain how the need for the activity was defined and describe the significance of the problem, whether local, regional or statewide. Discuss the need for CSBG funding of the activity and why other resources within the region are inadequate or do not address the need as defined. Provide any available documentation to substantiate the need including needs assessment data, input from clients, other providers, community response etc. If CSBG funding for this activity was utilized in the FY2022-FY2023 workplan, reference that and address why additional or ongoing funding is still needed for the activity. Address accomplishments in meeting the need due to previous CSBG funding of the activity.

b. Approach/Strategy

Describe the proposed strategy to address the need or to achieve the objectives of the activity. Then describe the methods and steps that will be used to implement the strategy, including the specific services that will be offered by the agency within this activity.

c. Resources Required

Describe the staff, the amount of CSBG funds and the amounts and sources of other funds that will be utilized to carry out each activity. If applicable, provide a time table indicating the major milestones for the activity. Please indicate if the activity will end within the time frame of the grant application or if the agency plans to continue the activity into future years.

d. Expected Results/Outcome Measurements/National Performance Indicators

It will be necessary for the agency to define and report on performance results as well as outcomes/National Indicators:

The CAA should address the anticipated results and benefits under each activity that will be used to monitor success in promoting self-sufficiency, family stability and community revitalization. The description should indicate the impact of the proposed activity on the identified need, including the likely impact that the activity will have on the individual client/household or, if applicable, on the extent of the problem in the community or service area. For example, "Will the project reduce or greatly eliminate a specific problem in a community?" It will be necessary for the agency to define and report on performance results as well as outcomes/National Indicators.

The performance results for direct service activities should provide an unduplicated count of the number of households served each fiscal year.

Unduplicated means that an individual or household is counted only once during the reporting period (the grant year) for the service, regardless of the number of times the individual or household receives that service. For reporting purposes, a household may refer to a group of people sharing a single housing unit or a person living alone. Other measures may be included to provide a more detailed record of performance. For example, reporting on the frequency of contacts per client for each activity might be useful in program management.

In meeting the required Assurance contained in Section 676(b) (12) of the CSBG reauthorization, the law states that State and community action compliance is required with the Results Oriented Management and Accountability (ROMA)

System, or another performance system approved by the Secretary of Health and Human Services. North Dakota began requiring CAA participation in ROMA in 1997 when the Office of Community Services (OCS) initially began requiring State and CAA participation in ROMA. Beginning in 2005, OCS has required reporting on the National Indicators which document CAA efforts in the areas of self-sufficiency, family stability, and community revitalization. The State Plan and Annual CSBG Report are required to report on the outcome/National Indicator information that will be collected and the results of the data.

Each agency is required to review the enclosed 2018 National Indicators that they are currently tracking, and revise the document, if necessary, to reflect what will be tracked for the 2022 and 2023 grant years. The updated document is to be submitted as part of the community action plan for the FY2022 and FY2023 grant years. If any changes are made in the National Indicators at the Federal level, DCS will provide that information to you as soon as it is received. Agencies are also encouraged to develop additional appropriate outcomes which would provide a better picture of their service area and what is being accomplished through the efforts of and partnerships with the CAA. Those additional outcomes should also be submitted to DCS with the workplan.

5. The Work Plan Summary is intended as a quick reference to each CSBG service within the agency's CSBG program, and as the format for each agency quarterly and final progress reports.

The Work Plan Summary form should be filled out as follows:

- a. **CSBG IS Code:** Use the assigned code number from the Glossary of CSBG Service Categories (See page). If this is a new service that will be tracked, contact the CSBG Program Manager at DCS for the code that should be used.
- b. **Activity:** Assign a one or two-word title to the activity.
- c. **Projected CSBG Cost:** Indicate the amount of CSBG to be applied to the activity. The figure used in c. should correspond with the CSBG cost indicated in subsection c. of the Activity Description.
- d. **Other Funds:** Indicate the amount and source of funds from other federal, state or non-federal sources that will be used in conjunction with CSBG to perform the activity.
- e. **Annual Objective/Performance Measurement:** Indicate the number of unduplicated households that are expected to be served by/through the activity under the column heading "Planned". All direct service activities must have a performance objective expressed in terms of households to be served.

Additional performance measure(s) may be used to track the progress of CSBG activity. Other appropriate measures may be assigned to document progress in non-service activities, or as a source of additional program management information for your agency. The final quarterly report submitted should provide an unduplicated count of households for the year for each service on which you are reporting.

- g. **Lead Staff Assignment:** Identify, by name, one staff member primarily responsible for implementing each activity.

6. **Budget Section** - A two-year community action plan is to be submitted in odd numbered years for the next two years. Four documents, the Budget Summary form, the Non-Personnel Costs Support form, the Salary Support form, and the Non-Personnel Costs Budget Narrative must be completed and submitted as part of the CSBG application package for the first year of the two-year grant cycle. Before the end of the first year of the grant cycle, the agency must submit another projected budget for the second year of the grant cycle. DCS will notify the CAAs as to the dates for submitting the materials and the materials that need to be submitted.

The initial agency budget for each year should be based on the figures provided by DCS plus the agency's projected carryover from the current grant. If actual allocation figures are not available from OCS at the time the CAAs are developing the budget, the initial budget should be based on the previous year's allocation. Once the carryover figures are final and the allocation figures for the new year are provided by DCS, the agency must submit revised budget materials and any other requested supplementary grant materials to DCS.

- a. The Budget Summary form summarizes the planned line items for CSBG.
 - b. Salary Support and Non-Personnel Cost Support forms are to be completed based on how funds are allocated to the budget.
 - c. Each CSBG application should include a Budget Narrative which addresses the non-personnel costs that will be allocated to the CSBG budget. Instructions for the Budget Narrative are located in Appendix E.
7. **Certification of Compliance** - Each agency is to review the Community Services Block Grant Certification form which is located in Appendix C. The form is to be signed by the Board Chairperson.
 8. **Update of Linkages/Private Sector Participation** - As part of the pre-application packet, each agency would have already submitted a list reflecting Linkages/Private Sector Participation.

F. SUBMISSION REQUIREMENTS

1. **Pre-application Packet**

The FY2022 and FY2023 pre-application materials are to be submitted to the Division of Community Services by June 30, 2021.

2. **Final Application Packet**

If the agency will be mailing the application, the final application packet should be submitted to the Division of Community Services. If the agency would prefer, the final application packet can be sent via email to DCS. However, the original signature of the Board President or Chairperson is required on both the Applicant Information Sheet and the Certification of Compliance. If an agency elects to email the application packet, those items requiring original signatures, plus addendum information you do not have on your computer, should be mailed to DCS when the email version of the plan is submitted.

If the FY2022 allocation for the State has not been established at the time the final application is due, the agency should base the budget and plan on the figures in Table I plus anticipated FY2021 carryover that the agency expects to have available for use in the FY2022 grant year. When the State CSBG Office is advised as to the actual CSBG allocation level for FY2022, we will provide that information to the CAAs.

After all of the CAAs have submitted their final FY2021 Fiscal reports to DCS and those figures have been verified, DCS will determine which of the CAAs will be eligible to receive any available Supplemental funds for their FY2022 CSBG budget. That same process will be followed for determining the amount of any available Bonus/Supplemental funds that will be awarded for the FY2023 CSBG budget.

Mailed application packets, and/or materials that can't be emailed for application packets submitted electronically, should be mailed to:

Rikki Roehrich, Program Administrator
ND Department of Commerce
Division of Community Services
1600 East Century Avenue, Suite 6
PO Box 2057
Bismarck, ND 58502-2057

Application packets submitted via email should be sent to rroehrich@nd.gov.

The deadline for the FY2022-FY2023 Final Application Packet is December 3, 2021.

This office reserves the authority to require revisions of CSBG Community Action Plans submitted by community action agencies as necessary to assure compliance with the CSBG Act, the Office of Community Services or North Dakota's CSBG Goals and Objectives.

G. REPORTING REQUIREMENTS

1. Final Reports for each grant year (FY2022 and FY2023)

The final report, submitted to the Division of Community Services must include:

- a. The Workplan Summary which shows the unduplicated count of households for each CSBG performance measure for the full reporting year.
- b. CSBG Eligible Entities Annual Client Characteristics Report.
- c. A narrative summary of the accomplishments of the CSBG program during each grant year, including examples of the types of assistance provided, a discussion of problems encountered, actions taken and recommendations for improvement of the CSBG program; (this is in addition to the Section D narrative information requested as part of the final CSBG/IS report for the grant year)
- d. Outcome data for reporting on the National Performance Indicators as well as any additional agency outcomes that were tracked during each grant year.
- e. A final accounting of the grant funds spent for the year which includes a breakdown of funds spent by the agency on administrative costs versus funds spent by the agency on the direct delivery of local services during the grant year.
- f. Any additional data or information that OCS requires for the State's Annual reports for FY2022 and FY2023. DCS will keep the agency informed of additional information, revised forms and procedures, and any other changes that are required by federal law, OCS or NASCSP regarding reporting requirements.

2. Quarterly Progress Reports

- a. DCS will pull quarterly progress reports from the CAP60 State Kiosk after each quarter to identify progress on meeting the goal outlined in the work plan summary.

3. Reporting Dates

The Final Annual Reports should be sent to Rikki Roehrich, Program Administrator, ND Department of Commerce, Division of Community Services. The final report for the year is determined by OCS and due dates to the state will be conveyed to the eligible entities.

4. Financial Reporting

Quarterly financial reports on CSBG expenditures must be submitted to the Division of Community Services by the 15th working day of the month following the reporting period. Agencies considered to be "high risk" may be required to submit reports more frequently than quarterly. DCS will notify the "high risk" agency of any additional reporting requirements. An agency may be considered "high risk" if the agency: has a history of poor performance; is not financially stable; has a management system that does not meet the standards prescribed in the OMB circulars; and has not conformed to the terms and conditions of a previous award or is not otherwise responsible. The final report must contain an accounting of the grant funds spent for the year, including a breakdown of funds spent by the agency on administrative costs versus funds spent by the agency on the direct delivery of local services during the grant year. The final fiscal report for the year is due by February 28th of 2022 (for the 2021 grant) and 2023 (for the 2022 grant). Financial status reports should be submitted on the DCS approved Financial Status Report form and sent to the Account Budget Specialist, Division of Community Services.

5. Board Vacancies

Agencies will notify DCS of board vacancy status in writing on a quarterly basis and will actively work to fill the position within 90 days. If the position cannot be filled within 90 days, the CAA will submit to DCS a detailed explanation and action plan for filling the vacancy.

H. TERMINATION

The ND CSBG grant year is January 1, through December 31 of each year. Therefore, the FY2022 CSBG Award will have a termination date of December 31, 2022. The FY2023 CSBG Award will have a termination date of December 31, 2023.

Unobligated funds at the end of each grant year will be considered carryover at the end of the grant year. Unobligated funds that exceed 20 percent of the amount of CSBG funds distributed to the agency for that year may be subject to recapture and redistribution as provided in the CSBG Act, unless the CSBG appropriations language or the requirements of the Office of Community Services prevents states from taking this action.

If the recapture and redistribution of funds by the state is allowable, DCS will work with those agencies on an individual basis if they have unobligated funds that exceed the 20 percent. Unobligated funds remaining at the end of the grant that amount to less than 20 percent of the amount distributed to the agency for the grant year will be carried over to the agency's next CSBG program year, with spending authority to utilize those funds provided for the next grant year by DCS, in alignment with federal law which provides a two-year time window to expend CSBG funds. Unobligated funds remaining at the end of the grant that exceed the 20 percent but are not allowed to be recaptured or redistributed by the state because of Congressional and/or OCS requirements, will also remain with the

agency, with spending authority to utilize those funds provided for in the next grant year by DCS.

I. STATE POLICIES AND PROCEDURES

1. Statutory Information

- Code of Federal Regulations, Title 45, Part 96
- Community Services Block Grant Reauthorization Act of 1998, Public Law 105-285
- Community Services Block Grant Assurances - Reauthorization Act of 1998, Public Law 105-285
- Office of Management and Budget Circular A-110, entitled Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- Office of Management and Budget Circular A-122, entitled Cost Principles for Non-Profit Organizations
- The ND Department of Commerce, Division of Community Services (DCS), is the designated State Lead Agency administering several block grants, including CSBG. The North Dakota State Statutory Authority for the DCS to administer CSBG is contained in Chapter 54-44.5 of the North Dakota Century Code. The citation to the State statute that provides authority to spend CSBG funds is contained in a House or Senate Bill of the North Dakota Legislative Assembly when the Legislature meets every other year in odd numbered years.
- The Governor of North Dakota designates the Director of the Division of Community Services of the ND Department of Commerce as the individual who signs off on any assurances or other required documents required by the US Department of Health and Human Services for CSBG.

2. State CSBG Application/State Plan

- The State CSBG Office will complete an Application for CSBG funding through the US Department of Health and Human Services, Office of Community Services (OCS), Washington, DC. Applications must be submitted by September 1 of the year preceding the year for which funds are requested (i.e. by September 1, 2021 for funds requested for FY2022).
- Applications can be made for one- or two-year grant cycles.
- Applicants should follow the OCS instructional memorandum for the application and the CSBG State Model Plan instructions provided by NASCSP (<https://nascsp.org/csbg/csbg-resources/csbg-state-plan/>).
- The application will include the OCS required Assurances, and other documents that must be signed by the Governor or his designee.
- When the draft application is completed, copies should be sent to the community action agencies (CAAs), ND Community Action Partnership (NDCAP), and any other appropriate partner agencies, as well as posting the draft application/plan on the Division of Community Services (DCS) website, in order to solicit comments during a 60-day comment period.

- A public hearing is scheduled in order to receive any comments on the draft application/plan.
- After the public hearing, a final signed copy of the State Application/State Plan that includes any input provided through the public and legislative hearing processes, should be submitted to OCS, with copies sent to the CAAs, NDCAP, any other interested partners, and the final copy should also be posted on the DCS website.

3. Public Inspection of Plan

- Required Legislative Hearing - For the Legislative Public Hearing on the Community Services Block Grant/State Plan, the Legislative Council publishes ads in the Bismarck Tribune, Bismarck, ND, and the Fargo Forum, Fargo, ND in advance of the event, to notify the public where and when the hearing will be held as part of the hearing on the budget and operations of the ND Department of Commerce. Interested individuals are informed that information as to the proposed use and distribution plan for the block grant and a summary of the plan is made available at the Legislative Council, State Capitol Building, 600 East Boulevard Avenue, Bismarck, ND 58505, prior to the hearing.
- Public Hearing - The Department of Commerce Division of Community Services holds a public hearing on the draft CSBG State Application/ State Plan. Ads are published in all of the daily newspapers in the state prior to the hearing to inform the public of the opportunity for them to provide input on the draft plan prior to it being submitted to the Office of Community Services for final approval and acceptance.

4. Allocation of Funds

- The CSBG funds awarded to the State CSBG Office are distributed based on the federal CSBG law, and the state CSBG funding formula. Federal law requires that a minimum of 90% of the CSBG funds awarded to the state must be passed through to the local entities (CAAs), with 5% or \$55,000 (whichever is greater) made available for State Administration of the program, and up to 5% made available for discretionary purposes that are compatible with the purposes of the CSBG law.
- Funding to the CAAs must ensure that they receive an allocation from the pass-through funds that is proportional to the amount of pass-through funds they received the previous year unless the funding formula is changed because of a statewide distribution of funds due to
 - the most recently available census or other appropriate data,
 - the designation of a new eligible entity, or
 - severe economic dislocation; or
 - the failure of an eligible entity to comply with the terms of an agreement, or a State plan, or to meet defined requirements of the State plan; or
 - the termination of an eligible entity for cause.

- The CSBG Act enables the State to revise the funding formula to determine the distribution of the CSBG pass-through to the CAAs if any of the factors above occur.
- The ND CSBG funding formula was last revised in FY2012 through joint efforts by the State CSBG Office and the 7 CAAs making up NDCAP. The revised formula has been utilized since FY2013. Another revision may be considered once new Censuses data becomes available.
- The revised formula allows for 5% of the state allocation to be used for State Administrative funding and 5% for CSBG Discretionary funds.
- The funding formula provides a base allocation of \$140,000 for each region of the state. The remaining funding is divided between the eight (8) regions of the state in direct proportion to their respective shares of the State's low-income population as reported in the 2010 census. However, as required in Sec. 676(b)(8) of the CSBG Act, the CAAs will be funded at the same proportional share of pass-through funding that they received in the previous year. The formula provided the initial funding levels for FY2013, and after that, the agencies are awarded the same proportional share of the funds the entities received in the previous year, as required in the CSBG law.
- With the FY2012 funding formula, in an effort to supplement the CAAs due to the decrease in the base allocation and the effect of the population shift within the State as evident with the 2010 Census Data, the State elected to make available some CSBG Discretionary and CSBG State Administrative funds to the CAAs outside of the funding formula to lessen the impact on the CAAs.
 - The supplemental funding will be contingent upon adequate administrative and discretionary funding and CAAs having carryover from the previous grant year that is 20% or less than the agency allocation in the previous year.
 - Bonus/Supplemental funds will be awarded, contingent on funding availability, from State Administrative and/or State Discretionary funds. The State is committed to try to supplement the CAAs outside of the funding formula with a minimum of 20% of the State CSBG funds that are allocated to the State through the funding formula. The State will distribute the bonus/ supplemental funds in direct proportion to their percentage of low-income residents., adjusted to account for any agencies that are unable to receive bonus funding due to carryover that exceeds 20%.

- The State will award the balance of the previous year's State Discretionary funds to eligible CAAs based on their regional/service area's population at or below 100% of poverty.
 - Available CSBG Discretionary funds will be used to support low-income initiatives, and training needs, including the registration costs for all CAA staff who complete the Family Development Specialist Certification Training, ROMA certification, recertification training, and other training opportunities related to the goals of CSBG.
5. Awarding of CSBG Funds
- Funds will be awarded to the CAAs in accordance with the proportional share of funding the CAA received in the previous grant year.
 - Agencies will be notified of the funds they will receive as funds are awarded by OCS, and the fiscal unit of DCS will issue the award on SFN 4623, Financial Award, and have it signed by the appropriate DCS staff person after it has been signed by the CAA Board Chair and returned to DCS.
 - Agency awards will include their proportional share of the CSBG allocation for the grant year, any CSBG State Administrative funds that are awarded as Bonus Supplemental Funds, any State Discretionary funds remaining from the previous grant year, and the CAA carryover funds from the previous grant year. Spending authority is provided by the issuance of the award/amendment, and the signing of the award/ amendment by the CAA Board Chair or designee and the appropriate staff from DCS.
6. Request for Amendment
- Should the CAA have the need to amend their agency budget or workplan during the grant year because of a change in the program, scope of service, need for a change in their budget that would result in greater than a 5% transfer between agency line items, change in performance measures, etc., the agency can submit a signed Request for Amendment (SFN 52191) form to DCS.
7. Recapture of CAA CSBG Funds
- Unobligated funds at the end of each grant year that exceed 20 percent of the amount of CSBG funds distributed to the agency for that year are subject to recapture and redistribution as provided in the CSBG Act, unless that is prevented by the Office of Community Services or Congress. DCS will work with those agencies on an individual basis if they have unobligated funds that exceed the 20 percent and their funds are recaptured or redistributed. Unobligated funds remaining at the end of the grant that amounts to less than 20 percent of the amount distributed to the agency for the grant

year, or any carryover funds if recapture or redistribution of carryover funds is not allowed, will be carried over to the agency's next CSBG program year, with spending authority to utilize those funds provided for the next grant year by DCS.

8. CSBG Discretionary Funds

- 5% of the annual CSBG award to the State CSBG Office will be utilized for discretionary purposes or special purposes that fall within the purposes or guidelines of the CSBG Act for appropriate use of CSBG funding.
- Available CSBG Discretionary funds will be used to support low income initiatives and training needs including the registration costs for all CAA staff who complete the Family Development Specialist Certification Training, recertification training and other training offered through the National Resource Center, University of Iowa Social Work Department.
- Agencies may request CSBG Discretionary funding to help them with start-up costs or expansion of services for services/programs they have determined to be needed in their service area, but there is insufficient funding available in their regular CSBG allocation or insufficient finding available from other sources. The application should include an overview of how the CSBG Discretionary funds would be used; other funding that would be used with the CSBG Discretionary funds; an explanation of how the agency will continue the services/program after the CSBG Discretionary funds have been expended; a budget for the service/program; budget narrative; a completed CSBG Applicant Information Sheet (SFN 52907) signed by the CAA Board Chair, and information on any other partners the agency will work with in delivering the service/program. All applications will be reviewed, and the State CSBG Office will select applications to be funded based on available funding and the determined value of funding the service/program with limited CSBG Discretionary funds.
- NDCAP is eligible to apply for CSBG Discretionary funding to supplement other funding received to carry out the statewide Community Action effort to serve low-income individuals, families, and communities. The application should include an overview of how the CSBG Discretionary funds would be used; other funding that would be used with the CSBG Discretionary funds; budget; budget narrative; and information on any other partners the agency will work with in delivering the service/program.

9. Technical Assistance

- The State CSBG Office is available to provide technical assistance to the CAAs, staff, Boards, NDCAP, etc., in carrying out their CSBG grants. T&TA topics will be determined by feedback from the agencies. One-on-one training and technical assistance is available upon request.

10. Monitoring

- State monitoring of CAA CSBG programs, by law, must be completed at least once every three years by a full onsite review. In North Dakota, we have elected to monitor agencies every other year. Monitoring can occur more frequently if the state determines the agency to be at high-risk. At that time the CSBG program and fiscal monitoring will be completed on all CAAs and a cross section of files from agency programs, client files and fiscal records will be reviewed; findings, concerns and recommendations will be discussed with agency staff and administration; reports will be issued outlining any concerns and findings; and a follow-up visit will be scheduled as appropriate to provide additional technical assistance and training.

The outline of specific actions required by OCS for monitoring, corrective action, termination, and reduction of funding, will be followed (Sections 678 B and C). The terms of that section are:

The State will comply with the federal requirements outlined in the CSBG Act, Section 678B(a), regarding monitoring of eligible entities in order to determine if the eligible entities meet the performance goals, administrative standards, financial management requirements and other State and Federal requirements. In complying with that requirement:

The State will complete a full onsite review of each eligible entity at least once during each three-year period. The State is currently on a schedule of monitoring each CAA every other year unless they are considered a high-risk entity that the State would consider in need of more frequent monitoring. Agencies defined as high risk are notified of the designation and a schedule of monitoring that will be done until the agency is no longer considered to be at risk.

- Should a current eligible entity cease to function, which would result in an unserved CSBG area in the State, the State would complete an onsite review of any newly designated eligible entity immediately after the completion of the first year in which they would receive funding through the CSBG act.
- Follow-up reviews, including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards and requirements established by the State would be made by the staff of DCS, the lead State agency for the CSBG.
- The State would complete other reviews as appropriate, including review of eligible entities with programs that have had other Federal, State or local

grants, other than assistance provided under the CSBG, terminated for cause.

In addition to the monitoring by DCS, each CAA is subject to annual audits.

11. Corrective Action, Termination and Reduction of Funding [676(b)(8), 676(c) & 678C]

If the State would determine that an eligible entity does not comply with the terms of an agreement or the State CSBG plan, fails to provide services under the CSBG or to meet appropriate standards, goals, and other requirements, including performance objectives, as required or established by the Federal or State levels, the State will comply with the requirements outlined in Section 678C of the CSBG Act regarding procedures to follow to terminate or reduce the funding of the eligible entity:

- a) inform the entity of the deficiency to be corrected;
- b) require the entity to correct the deficiency;
- c) offer training and technical assistance, if appropriate, to help correct the deficiency.

If the State provides training and technical assistance to help correct the deficiency, a report shall be sent to the Secretary of Health and Human Services or his designee, describing the training and technical assistance that was provided.

12. Fiscal Controls, Audits, and Withholding:

- o Assurance 678D(a)1 and 678D(a)2: The DCS, as administering agency of the CSBG on behalf of the State of North Dakota, has established fiscal controls, procedures, audits, and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the CSBG Act. The DCS is responsible for fiscal control, accountability, and proper disbursement of CSBG funds. The DCS requires all CSBG subgrantee accounting systems to meet the minimum requirements established by OMB Circular A-110. Each subgrantee is required to submit an annual audit of its operations to the DCS, prepared in accordance with the audit standards specified in OMB A-133.

In addition to annual audits, each CSBG subgrantee is subject to a quarterly review of its financial status reports, except an agency determined to be high risk will be subject to a monthly review of its financial status reports. DCS will comply with the requirements of Section 678B(a) of the CSBG Act regarding

monitoring requirements for eligible entities. The DCS is itself subject to a biennial A-133 audit as part of North Dakota's Office of Management and Budget. A copy of the audit is submitted to the Secretary, Department of Health and Human Services, to the State Legislature, and, at no charge, it will be made available to any eligible entity that was the subject of the audit.

The fiscal and program requirements, including State and Federal Assurances, are included in attachments to the contracts between the CAAs and the State for carrying out the CSBG program activities. The grant attachments are Part II - General Assistance Terms & Conditions, Part III - Programmatic Terms & Conditions for the Community Services Block Grant, and Appendix C, Community Services Block Grant Certification. In addition, the CSBG Application Guide provides additional information and requirements to the CAAs for meeting the CSBG program and financial requirements.

If the State determines that training and technical assistance are not appropriate, the State will submit a report to the Secretary explaining why it was determined that training and technical assistance were not appropriate.

Based on the seriousness of the deficiency and the situation that caused the deficiency, the State will allow the entity to develop and implement, within 60 days from the date in which the entity was informed of the deficiency, a quality improvement plan in order to correct the deficiency within a reasonable time period as determined by the State. Not later than 30 days after receiving the quality improvement plan from the entity, the State will review and either approve the proposed plan or notify the entity why the proposed plan cannot be approved.

If the plan cannot be approved, the State will provide the entity with a notice of the State's decision to terminate the designation of the entity, or reduce their funding under CSBG, unless the entity agrees to correct the deficiency. At that time the State will also provide the entity with the opportunity, within 10 days of receiving the written notice, to request a hearing on the record by the Director of DCS.

A determination to terminate the designation or reduce the funding of an eligible entity can be reviewed by the Secretary of the Department of Health and Human Services. The entity will be informed that they can request that the State notify the Secretary of the entity's request for a review of the State's decision to terminate or reduce the award, not later than 5 days prior to the effective date of termination. If a review by the Secretary has been requested, the State will not terminate the award until the review has been completed.

The Secretary shall complete the review not later than 90 days after receiving the documentation from the State regarding the termination or reduction of funding. If the Secretary does not complete the review within the 90 days, the State's determination will become final at the end of the 90th day.

In the grant attachments to CSBG awards to eligible entities, reference is made to termination of funding. Those citations are in Part II, I and J- General Assistance Terms & Conditions and Part III, S - Programmatic Terms & Conditions for the Community Services Block Grant.

Assurance 676(b)(7): The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

The State will make itself available to enable and cooperate with any Federal investigations that would be undertaken in accordance with Section 678 of the CSBG Act. The CSBG Certification attached to the grant agreement between the DCS and CSBG sub-grantees similarly requires their cooperation and participation in any such State or Federal investigation. The Certification form is signed by the Board Chair of each CAA board. A copy of that Certification form can be found in Appendix C of this State Plan.

Assurance 676(b)(8): Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under the community services block grant program 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) of the Act.

The grant agreement between the DCS and its CSBG subgrantees stipulates that present or future funding will not be terminated unless, after prior notice and an opportunity for a hearing on the record, the State determines that cause exists for termination. The grant agreement acknowledges that termination will be subject to review by the Secretary of the Department of Health and Human Services. The reference to this is included in the grant attachments to CSBG awards to eligible entities, in Part II, I - General Assistance Terms & Conditions and Part III, S - Programmatic Terms & Conditions for the Community Services Block Grant. The same procedures would be followed for a reduction in CSBG funding below the proportional share of funding the eligible entity received in the previous fiscal year. The State initially utilizes its CSBG funding formula, when the formula is revised due to updated census data, to determine agency funding and the agency proportion of funding based on the federal award received by the State. In subsequent grant years, the state will use that

proportional share as the basis for future funding to ensure that the agencies receive the same proportional share of the CSBG award as they received the previous year.

In making a determination of a termination, the cause may include the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under the CSBG Act. In making a determination of a funding reduction, the cause may include a statewide redistribution of funds under the CSBG Act to respond to the results of the most recently available census or other appropriate data; the establishment of a new eligible entity; severe economic dislocation; and the failure of the eligible entity to comply with the terms of its agreement to provide services under the CSBG Act.

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

To ensure compliance with the CSBG Act, the State requires that each CAA, provides a description of the procedures the agency has in place to ensure that a low-income individual, community organization, or religious organization, or representative of low-income individuals that consider its organization, or low-income individuals, to be inadequately represented on the agency board, can petition for adequate representation on the Board. Each CAA has reviewed agency bylaws, revising them as necessary to ensure compliance with this provision. A copy of the bylaws section addressing this requirement is provided to DCS, during on-site monitoring. The CSBG Certification attached to the grant agreement between the DCS and CSBG subgrantees similarly addresses this compliance issue in that document. The Certification form is signed by the Board Chair of each CAA board. A copy of that Certification form can be found in Appendix C of this State Plan.

13. Accountability and Reporting Requirements

Results Oriented Management and Accountability:

Assurance 676(b)(12): The State and all eligible entities in the State will participate in the Results Oriented Management and Accountability System, or another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act.

The State and the CAAs continue to meet the requirement that the State and all eligible entities in the State participate in the Results Oriented Management and Accountability System. Each CAA, as part of their community action plan since FY1997, has developed outcomes under the Results Oriented Management and Accountability (ROMA) system. Annual reporting on the outcome measures has been provided by the CAAs to the State CSBG Office for tabulation and reporting purposes, and that information is included in the annual CSBG Annual Report that is completed by DCS. The CSBG Certification attached to the grant agreement between the DCS and each CSBG subgrantee, also references this Assurance which is required of each subgrantee. The Certification form is signed by the Chair of each CAA Board. A copy of that Certification form can be found in Appendix C of this State plan.

Range of Services & Performance Objectives

Each local CAA develops its own plan for the use of CSBG funds. As part of that plan, Annual Performance Objectives are established for various activities in an agency's workplan. Progress towards these annual performance goals is reported to DCS on a quarterly basis by the state's program manager pulling data from the CAP60 state kiosk.

Annual Report

North Dakota will submit the Annual CSBG Report for each grant year by March 31 (or another specified date) for the previous grant year, as specified by the Office of Community Services. The data and information required is reported by the State CSBG Office, which compiles the CAA data and information for the report. The CAAs will be notified of the items needed for the report, the date they are to submit the data, and any other information needed.

14. Fiscal Procedures

Financial Management Systems

CAA's, as grantees of the state, operate a financial management system which meets or exceeds the minimum requirements set forth in A-102, A-110 Uniform Requirements for Grants & Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations, A-122 Cost Principles for Nonprofit Organizations, A-133 Audits of Institutions of Higher Education and other Nonprofit Organizations, as applicable to the specific CAA. DCS reserves

the right to establish additional requirements, in line with federal and state regulations, when specific situations merit such requirements.

Each CAA should maintain and updated written fiscal procedures and make them available to DCS when requested. The CAA must have an annual audit that satisfies the requirements of Circular A-133. DCS will monitor the CAA's CSBG financial management systems at least every other year, unless more frequent reviews are necessary due to agency circumstances.

Payroll

A fiscal review will be conducted that reviews CAA employee time sheets for allocation of time to various programs, appropriate signatures, number of hours, leave time, correct approved wages, and trace those items to the payroll ledger.

Cash Receipts

A fiscal review will include reviewing bank statements for receipt of funds from DCS and other sources. All balances of greater than \$250,000 will be reviewed. The CAA Fiscal Officer will be interviewed regarding any additional coverage provided by a bank, and if so, that will also be reviewed. DCS will review deposit slips and the receipt ledger for internal control and allocation to the general ledger. The frequency of deposits (daily, every two or three days, etc.) will be reviewed.

Disbursements

A fiscal review will include a review of checks and automatic disbursements for authorized signatures, supporting documentation, proper allocation and allowability to agency programs and trace those to the general ledger. The review will check to ensure that the expenditures are incurred within the budget period of the grant.

Travel Vouchers

The reviewer will look at a random number of travel vouchers for staff, and trace expenditures to the general ledger. Budget information from the agency application/ workplan and the agency policies and procedures will be reviewed to ensure the travel is appropriate for the grant. The vouchers will be reviewed for signatures, approval and supporting documentation.

Purchase Orders

Purchase orders for the grant to be charged will be reviewed for a listing of items to be purchased, supporting documentation, the signature of the program administrator or other authorized individual, and the cost of the items to be purchased. The purchase order will be traced to the disbursements ledger. Agency policies will be reviewed to ensure the policies have been followed. The reviewer will look to see if there is segregation between purchases and receipts.

General Journal Entries

The fiscal review will look at entries that affect DCS programs, such as transfers between grants for expenditures and revenue. The supporting documentation will be reviewed for an explanation for any transfers and the grants to be affected by the entry. The journal entries will be traced to the general ledger.

Insurance Coverage

The agency insurance coverage for vehicles, buildings, contents and liability will be reviewed to determine if the agency is complying with insurance requirements.

Board Minutes

The worker will review agency Board of Director minutes for meetings held within the grant period.

Personnel Policies and Procedures

These will be reviewed for internal control procedures regarding cash receipts, disbursements by cash or check, purchase card, computer procedures for the accounting department and other office functions. The policies and procedures will be reviewed for compliance with A-110 written policies requirements.

Cash Requests

The worker will review requests for balance of cash on hand, compared to the general ledger for each grant, expenditures compared to the general ledger, receipts compared to the general ledger and receipts ledger.

Inventory of Office Property

The inventory will be reviewed for compliance with A-110 guidelines. Random items will be selected for actual physical inventory.

Auditor's Report

The review will include a review of the agency audit reports for findings and questioned costs.

Monthly Reports

The CSBG fiscal program manager will review reports submitted to DCS for budgeted and expended amounts and these will be compared to the general ledger.

Program Income

The agency process will be reviewed for recording and allowability for each program.

Procurement

The agency written procurement procedures will be reviewed. The fiscal program manager will review the procurement activity during the grant and if the agency policies and the requirements of Circular A-110 are being followed.

15. Terms and Conditions

SFN 52381 Part II - General Assistance Terms and Conditions, and SFN 52413 Part III - Programmatic Terms and Conditions for the CSBG program, are attached to the agency CSBG grant awards. These Terms and Conditions provide specific guidelines to the agencies on programmatic and fiscal requirements. In addition, each agency funded by CSBG or CSBG ARRA must review, and have their Board Chair sign, the CSBG Certification each year when the grant award is forwarded to them. Copies of these documents can be found in the Appendices.

Transfer of funds

It is allowable for an agency to transfer up to five percent of the total grant authorization between line items (salaries, supplies, etc.) without the written approval of DCS. Cumulative transfers during the grant year may not exceed five percent of the total grant award without written approval by DCS. The agency should complete a Request for Amendment (SFN 52191) located on the DCS web page: <http://www.communityservices.nd.gov/formcenter/>.

Travel

Out of state travel for any staff and Board members under the CSBG grant award must be approved by the agency's Board of Directors and DCS prior to the actual travel. If the travel was approved in the agency CSBG application/workplan which was approved by the Board, a separate written request does not have to be submitted to DCS or the Board. No out of state travel is allowable under the CSBG ARRA grant.

Davis-Bacon Act

The CAA must comply with the terms of the Davis-Bacon Act, as amended.

Limitation on the use of Grants for Construction

Section 678F(a) of the CSBG Act does not allow the use of CSBG funds, other than any amounts reserved by the Federal level under Section 674(b)(3), to be used for the purchase or improvement of land, the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility without a waiver provided by the Secretary of Health and Human Services.

The procedure for the CAA to request a waiver under the terms of the CSBG would be to compile information to explain their request, financial/budget information, a listing of the funds needed from various sources to secure the purpose, legal description of the property, etc., and provide these materials to DCS for review. If DCS is agreeable to the agency request, the packet of information will be provided to the Office of Community Services for their review and action.

Purchase of Equipment

The CAA must request prior approval from DCS to utilize the CSBG grant to purchase equipment that cost \$5,000 or more. If the request is included in the agency application/workplan which has been approved by the agency Board of Directors, a separate written request does not have to be submitted.

Record Retention

All documents, papers, records and books that pertain to the CSBG awards must be retained for three years after the submission of the final Financial Status Report or until all audit findings have been resolved, whichever is later.

Subcontracting

The agency will not assign, transfer or subcontract funds from the CSBG grant without prior written approval by DCS. The DCS will work with the agency to ensure that all subcontracting requirements are met.

Nondiscrimination

The recipient of funds agrees that it will be subject to and will comply with Title VI of the Civil Rights Act of 1964, Executive Order 11246 as amended by the Executive Orders 11375 and 12086, the Age Discrimination Act of 1975, and Title VIII of the Civil Rights Act of 1968. Under these acts, no person shall on the grounds of race, color, religion, sex, national origin or age be excluded from participation in, be denied the benefits or be otherwise subject to discrimination under this program.

Section 504

The Recipient agrees that it will be subject to and will comply with Section 504 of the Rehabilitation Act of 1973. Under this act no person shall solely by reason of disability be excluded from participation in, be denied the benefits of or be subjected to discrimination under this program.

Code of Conduct/Conflict of Interest

Recipients shall maintain a written code or standards of conduct which shall govern the performance of their officers, employees or agents engaged in the Award and administration of contracts supported by federal funds. No employee, officer or agent of the Recipient shall participate in selection, or in the award or administration of a contract supported by federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

- The employee, officer or agent;
- Any member of their immediate family;
- Their partner; or

- An organization which employs, or is about to employ, any of the above, has a financial or other interest in the firm selected for award.

The Recipient's officers, employees or agents shall neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements.

To the extent permitted by state or local law or regulations, such standards of conduct shall provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the Recipient's officers, employees, or agents, or by contractors or their agents.

APPENDIX A

COMMUNITY SERVICES BLOCK GRANT DEFINITIONS

Glossary of EMPLOYMENT Subcategories

- 1.1 Information & Referral - Information about employment and job training services, and referral to community programs.
- 1.2 Job Counseling - (Job Club, EDP) - Periodic counseling of un- or under-employed participants, including help with job hunting skills, formation of job clubs or identification of jobs. Can include information and referral activities.
- 1.3 Job Placement/Development - Consists of comprehensive projects to get jobs for low-income persons. Development means finding vacant positions for which employers agree to interview low-income job seekers. Placement includes setting up job interviews for participating job hunters. Can include job counseling, job banks and information and referral activities.
- 1.4 O.J.T. - (community service, volunteer, student) - On the Job Training activities to enhance the skills of working persons during their hours of employment.
- 1.4 Summer Youth Jobs/OJT - Summer jobs for low-income young people, providing them income, work experience, and perhaps on-the-job training (OJT).
- 1.4 Head Start Staff/OJT - Use of CSBG resources for OJT projects for Head Start staff, in support of that HHS program.
- 1.4 Weatherization Crew/OJT - Use of CSBG resources for OJT projects for weatherization crews and staff, in support of DOE or other Weatherization Assistance Programs.
- 1.4 Other On-the-Job Training - Other OJT projects of local CSBG operators, such as adult work experience, or career development for the staff of local CSBG operators.
- 1.5 Employment Generating Projects - Businesses, services or projects supported or run by local CSBG operators to provide new job opportunities for low-income persons. Can also include part-time income-enhancing projects such as establishing produce markets to sell the excess from community gardens.
- 1.6 Skills Training - (clients) - Training in skills for which there are immediate or reoccurring job opportunities. Such as training in word processing, welding, job hunting and similar skills.

- 1.7 Other Employment Projects - (Foster Grandparent, Job Retention) - Includes support of Experience Works program; and projects to assist in finding jobs for such groups as the elderly, ex-offenders and single mothers. Can include provision of transportation to employment project participants and support for JTPA projects.
- 1.8 JTPA or Interagency and Statewide Planning and Coordination - Participation by CSBG operators in the local planning and coordination of the Job Training Partnership Act (JTPA). Participation by CSBG operators in local, regional or statewide planning and/or coordination of other community employment programs.
- 1.9 Community Organization and Brokerage/Advocacy - (Employment Support) Projects to mobilize community resources to meet the employment and job training needs of low-income persons, to increase community or employer awareness of identified employment and training needs of the poor and to arrange for partnerships and coordinated initiatives in employment projects.

Glossary of EDUCATION Subcategories

- 2.1 Information and Referral - Information about educational opportunities, and referral to community programs.
- 2.2 Counseling and Guidance - (JACS, WICS) - Providing advice and guidance to low-income youths and adults about their educational aspirations and opportunities, such as counseling to students at-risk, drop-outs, and to those seeking scholarships to college or technical school and adults seeking educational resources.
- 2.3 Public Education/Public Information - (Booths, Public Speaking) - Educational or informational activities conducted by local CSBG operators to inform the general public about the problems and solutions of poverty in their communities. For meetings or forums, See Item 2.8.
- 2.4 Head Start Support/Early Head Start Support - Use of CSBG resources to supplement and improve the educational quality of the Head Start programs that are run by local CSBG operators. Parent Council support is itemized in 2.9.
- 2.5 Day Care and Child Development - (Childcare) - Child care and/or classes, frequently providing both child development instruction and support for working parents. Direct instruction in parenting skills.
- 2.6 Adult Basic Education (ABE), GED Instruction and/or Other Instruction - Adult Basic Education instruction; classes preparatory to obtaining a high-school equivalency certificate (GED), literacy skills, basic math skills, and English language. Also, all other

instruction, workshops and tutoring. May also include classes in alternate education for high school drop-outs, craft workshops, etc.

- 2.7 Other Education Projects - (Literacy, Youth Ed Scholarships) - Includes provision of transportation to education project participants, scholarship programs for low-income students, in-school drop-out prevention, tutoring and counseling etc.
- 2.8 Interagency and Statewide Planning and Coordination - Cooperation in meeting community education needs through interagency planning and/or coordination; statewide meetings or conferences to educate the general public or policy makers about the needs of low-income groups. Also, coalition-building projects of State CSBG offices to bring together concerned organizations and agencies to study, gather information and recommend solutions to statewide needs of low-income groups.
- 2.9 Community Organization/and Brokerage/Advocacy - (School Supplies, Computer grants) - Projects to mobilize community resources to meet the educational needs of low-income persons, to increase community or employer awareness of identified employment and training needs of the poor and to arrange for partnerships and coordinated initiatives in education projects.

Glossary of INCOME MANAGEMENT Subcategories

- 3.1 Household Financial Counseling and Information and Referral - Information and Referral about Income Management and Counseling or instructing low-income individuals and families about preparing and implementing household budgets, and/or about personal, credit and general consumer education issues.
- 3.2 Income Tax Counseling - (VITA) - Assisting low-income individuals and families to prepare their federal, state and/or local annual income tax reports and informing them about availability of the credits and benefits.
- 3.3 Alternative Energy Installations, Public Information (Energy Conservation), Residential Energy Conservation Workshops, Weatherization Support - (Energy Conservation, Weatherization, Wx Information and Referral, REEP, Furnace Program, Cooling Program, Health and Safety) - Workshops for low-income persons or the general public on do-it-yourself home energy conservation measures, use of CSBG resources to supplement the DOE or other state and federal weatherization programs that are run by local CSBG operators, in order to attain greater residential energy savings for low-income families. Installation of solar window collectors, greenhouses, solar hot water heaters and other residential applications of low-cost alternative energy devices.

- 3.4 Other Income Management Projects - (Budgeting, Money Management, Representative Payee) - Other projects to assist low-income persons make better use of available income, such as organizing credit unions, food co-ops and car pools or van pools.
- 3.5 Interagency or Statewide Planning and Coordination - Participation in interagency local or statewide planning and/or coordination to meet community needs in areas such as residential energy conservation, tax preparation, consumer education, etc.
- 3.6 Community Organization and Brokerage/Advocacy - (clothes giveaway/vouchers, IDA) - Projects to mobilize community resources to identify or meet needs of low-income persons to preserve income. Projects to increase local awareness of the identified needs of low-income populations to stretch their income and to arrange for partnership and coordinated initiatives in income management projects.
- 3.7 Better Use of CSBG Resources - Initiatives which pioneer more effective CSBG uses. Grants or contracts to train or provide technical assistance to local CSBG operators, whether made to individual consultants, firms, state CAA associations or state training bureaus, would be entered in Sub Category 3.7. Data collection projects, except needs assessments, would also be entered here.

Glossary of HOUSING Subcategories

- 4.1 Information and Referral - Information about housing services, and referral to existing community programs.
- 4.2.1 Homeownership Counseling/Loan Assistance - (Owner's Counseling: CSBG, HUD, HOME, HARP, Homebuyer Ed) - Counseling on homeownership for low-income persons, including assistance completing applications for HUD and Farmer's Home Administration home loan programs.
- 4.2.2 Other Housing Counseling and Landlord/Tenant Advocacy - (Renter's Counseling: CSBG, HUD, NDHF) - Counseling in landlord/tenant relations, as well as assistance in applying for rent subsidies and with default/displacement and relocation situations, as well as fair housing concerns.
- 4.3 Home Repair/Rehabilitation - (HOME: Rehab and HARP, Helping Hands) - Provision of home repair and residential rehabilitation services to elderly and other low-income households. Can include home maintenance workshops.

- 4.4 Other Housing Programs - (HOME: CHDO, Project Management, Supportive Housing) - Includes support for group homes; meeting safety and health code standards; home construction for low-income families; urban homesteading; provision of transportation to housing project participants; and initiatives to enforce the Community Reinvestment Act.
- 4.5 Interagency and Statewide Planning and Coordination - Cooperation in meeting community housing needs through interagency or statewide planning and/or coordination. Can include participation in preparation of applications from local governments for Community Development Block Grant funds, rural water and waste water facilities and Section 8 Housing.
- 4.6 Community Organization and Brokerage/Advocacy - Projects to mobilize the resources of communities to identify or meet the housing needs of their low-income families.

Glossary of EMERGENCY SERVICES Subcategories

To the extent possible, services to the homeless should not be included in Subcategories 5.1-5.6. *Utilize Subcategories 5.7 and 5.8 to report on services and agency support of the homeless.*

- 5.1 Information and Referral - I & R about emergency and disaster relief services, and referrals to existing community programs.
- 5.2 Cash Assistance/Loans - (FEMA, food, Security Deposit, ESGP-utility assistance, CUP, temporary shelter, rent/mortgage assistance, emergency transportation) - One-time payments or short-term loans to families or individuals to help meet emergency needs for shelter, food, clothing, fuel etc.
- 5.3 Emergency Energy Support - (Energy Share) - Use of CSBG resources to amplify or supplement the crisis assistance or fuel payments aspects of any home energy assistance programs that are run by local CSBG operators. Also, any CSBG resources used to make emergency energy payments, energy related repairs, energy related advocacy and/or crisis interventions, especially with energy suppliers.
- 5.4 Crisis Intervention & Crisis Case Management - (not Self Reliance) - Intervention in emergencies such as those resulting from child, spouse, alcohol or drug abuse, illness or unemployment. Includes temporary shelter for battered women and crisis

hotlines. Can also include mediation or in cases where loss of benefits from programs such as AFDC or Food Stamps should cause family emergencies.

- 5.5 Donated Goods/Services/Cash - (In-house Food Pantry, Non-food, Non-cash donated items) - Mobilizing, storing and distributing donations of money, food, clothing, furniture, wood and other fuels, and professional services to help families and individuals meet one-time emergencies or recover from disasters.
- 5.6 Other Emergency Services - Can include other emergency services such as transportation to meet family emergencies, prescription medications and provision of legal aid.
- 5.7 Homeless Aid - (homeless aid, temporary shelter) - Temporary shelter and/or food programs for the homeless. Can include other help, such as clothing, food, or medical care. This item covers only expenditures of CSBG funds.
- 5.8 Homeless Assistance Funded by ESHP - (Tri-State (HOPWA), Shelter Plus) Services provided to homeless persons or to other low-income persons at risk of becoming homeless which are funded by the grants made under the Emergency Services to the Homeless Program. Subcategories have been developed to better track the various services provided under the ESHP. Those subcategories are the following:
 - 5.8 a. Temporary Shelter
 - 5.8 b. Clothing, Furnishings
 - 5.8 c. Transitional Housing
 - 5.8 d. Counseling and Case Management
 - 5.8 e. Mortgage or Rent Payment
 - 5.8 f. Employment
 - 5.8 g. Health Services
 - 5.8 h. Other Services (Specify)
- 5.10 Interagency or Statewide Planning and Coordination - Cooperation in meeting community emergency or disaster relief needs through interagency planning and/or coordination.
- 5.11 Community Organization, Brokerage/Advocacy - Projects to mobilize the resources of communities to meet the emergency or disaster relief needs of their low-income groups. Projects to increase the awareness of the identified emergency or disaster relief needs of low-income groups.

Glossary of NUTRITION Subcategories

- 6.1 Information and Referral/Counseling - Information about nutrition services, and referral to community programs. Can include short-term or one-time counseling to individuals or groups about nutrition, diet and food preparation. Nutrition education initiatives are listed below in 6.6.
- 6.2 Surplus Food/Commodities Distribution - (TEFAP and Supplemental) - Use of CSBG resources to store and distribute surplus USDA agricultural commodities and other federally provided emergency food to low-income persons.
- 6.3 Food Pantries/Shelves - (food pantry, food purchase, food baskets) - Organization or operation of community distribution outlets of locally donated foodstuffs, such as dented canned goods and overstocked produce, to low-income persons. Can include assistance to regional food banks for preparation of food baskets to the poor.
- 6.4 Hot Meals - (Summer Food Service Program, hot meals) - Providing of hot breakfasts, lunches or dinners to the poor, whether children, adults or elderly. Includes congregate or home-delivered meals.
- 6.5 Gardening/Canning/Self-Help Production - (Seed Share) - Assistance with neighborhood or community gardens to improve the diets of low-income families or operation of community canneries, or other projects to assist low-income families preserve fruits, vegetables and meats.
- 6.6 Nutrition Education/Comprehensive Counseling - (ENP) - Comprehensive training in nutrition principles, guidance in consumer behavior, home economics, child and baby nutrition training, etc.
- 6.7 Other Nutrition Projects - (bread distribution, Child and Adult Care Food Program, Backpacks for Kids) Use of CSBG resources to amplify or supplement the Women, Infant and Children (WIC) program; summer feeding programs for children; provision of transportation to nutrition project participants, etc.
- 6.8 Interagency and Statewide Planning and Coordination - (Support of Reservation food pantries) - Cooperation in preventing starvation and malnutrition through interagency planning and/or coordination.
- 6.9 Community Organization and Brokerage/Advocacy - (Holiday food baskets) - Projects to mobilize community resources to meet the nutritional needs of low-income families, such as Thanksgiving basket campaigns for the poor and projects to increase local awareness of identified nutritional needs of low-income groups.

Glossary of LINKAGES WITH OTHER PROGRAMS Subcategories

- 7.1 Information & Referral - (miscellaneous I & R) - This is the classification only for CSBG operators that utilize umbrella I & R units rather than incorporating the function into each program. List funding for that part of the local CSBG agency that fields all inquiries about available services and makes referrals to community programs.
- 7.2 Family/Individual Counseling Programs - Programs providing one-to-one sessions with multi-problem individuals or families by certified counselors. Comprehensive Case Management for a long-term development program (such as the Self Reliance Program) should be listed in Part 8, Self-Sufficiency.
- 7.3 Local or State Needs Assessments and Other Community Outreach - (Safe Communities, Needs Assessments) Projects undertaken by local or state CSBG operators to identify and prioritize the needs of low-income citizens eligible for CSBG services and covering multiple problem areas and issues. Multi-purpose, general activities of units of local CSBG operators that recruit volunteers and coordinate their activities and/or inform low-income citizens of numerous services they are eligible for; organize community meetings; coordinate community activities such as beautification, recycling or crime prevention campaigns.
- 7.4 Transportation Projects - Includes multi-purpose transportation components that convey participants, young and old, to services they need within their communities; the provision of transportation to meet the various needs of the elderly and handicapped which cannot be assigned to a single direct program purpose in Parts 1-6 or Part 9 Health; use of CSBG resources to augment or supplement the Section 18 UMTA rural transportation projects, etc.
- 7.5 Elderly Projects - (Market Express, SHIC, Senior Companion, RSVP) - Includes multi-purpose or miscellaneous projects not listed in other subcategories and that are primarily for the poor who are elderly. (Employment or hot lunch projects, even if exclusively for the elderly, would be reflected in the Employment and Nutrition categories, respectively). Can include such projects as support for multi-purpose senior centers; recreation, consumer and homemaker services.
- 7.6 *Medical/Dental Projects - This subcategory has been moved to Part 9, Health.
- 7.7 *Neighborhood/Community Development - Includes general funding for neighborhood or community centers that are multi-purpose satellites of local CSBG operators; community or economic development projects of local CSBG operators, etc.
- 7.8 *Summer Youth Recreation - (Youth Recreation Scholarships) - Projects to involve low-income youth in summer activities.

- 7.9 *Other Linkages Projects - (CSCC, Teen Court, Psycho Social Center, Community Computer Access Program, Keys) - Includes such miscellaneous projects as full-year youth recreation projects; multi-purpose services for ex-offenders; etc.
- 7.10 *Interagency Planning and Coordination - Activities to cooperate with and participate in the planning and/or coordination of community services for low-income groups, such as support for planner(s) or planning units of generalists that support all CSBG funded services.
- 7.11 *Community Organization and Brokerage/Advocacy Projects - (Holiday Gifts) - Comprehensive, multiple-purpose projects of local CSBG operators to mobilize community resources to meet a range of difficulties preventing low-income citizens from attaining self-sufficiency. Projects of state CSBG offices to increase statewide awareness of identified needs of low-income populations.

Glossary of SELF-SUFFICIENCY Subcategories

A Comprehensive Self-Sufficiency Program is a comprehensive system of support services which promotes, empowers and nurtures families or family members toward self-sufficiency. At a minimum, the following elements are included in a comprehensive case management program.

- A comprehensive assessment of the issues facing the family or family members is conducted.
- A written plan toward self-support for each family or family member is created.
- A comprehensive assortment of services is made available as needed to implement the plan for self-support including the use of available community resources.
- A case management methodology is used to track and evaluate progress, as well as adjust the plan as needed.
- Workers are expected to approach problems with flexibility and work in trusting and long-term relationships with participants as appropriate.

8.0 Information and Referral for Self Sufficiency

- 8.1 Case Management - (Self Reliance) - A system which helps clients to achieve self-sufficiency through comprehensive education, goal-oriented action, and guidance, etc. under the guidance of a trained professional.

- 8.2 Child Care - Expenditures to pay for participants' child care while they achieve program goals.
- 8.3 Family/Individual Counseling Programs - (STEPS, Parenting) - Counseling programs developed as part of the overall strategy for achieving self-sufficiency.
- 8.4 Cash Assistance - (Self Reliance funds, United Way, NDCAA Scholarships) - Purchases for or cash grants to program participants.
- 8.5 Family Development/Intervention for Family Stabilization - (General Case Management) - This refers to crisis intervention/resource mobilization by paraprofessional specialists who provide case management and advocacy for families and individuals to promote self-sufficiency and coordinate public and private community resources to meet needs. This includes activities to assist families and individuals in preventing or addressing personal and situational problems by arranging and/or providing short-term assistance and in developing long-range plans to meet multiple needs and emergencies that are preventing self-sufficiency. Service includes outreach, advocacy, informal counseling, information and referral, follow-up and promoting active client participation in the process.

Glossary of HEALTH Subcategories

Programs historically reported under NUTRITION should continue to be included in that section, even though they do promote good health.

- 9.0 Information and referral regarding health issues.
- 9.1 Transportation to Medical Services - Transportation of low-income people to and from medical services.
- 9.2 Medical or Dental Screening - (OraSure Testing) - Expenditures for physicians', dentists', nurses', paramedics' services in assessing medical or dental service needs.
- 9.3 Immunization - Expenditures in support of immunization programs and/or for providing immunization.
- 9.4 Prevention of Drug Abuse or Alcoholism - Funding for programs of education and support of clients for prevention of these health problems.
- 9.5 Treatment of Alcohol/Drug Abuse - Expenditures related to identification and in- or out-patient treatment of these addictions.
- 9.6 Pregnancy Related; Maternal and Infant Health - Expenditures related to health services for expectant and new mothers and infants. If these services are predominantly nutritional, e.g., education and food - they should continue to be

reported under Nutrition in Part 6, Nutrition, as should CSBG expenditures which directly support the WIC program. If most of the resources are being spent for non-nutritional screening and services report them here.

- 9.7 Family Planning Services - (Family Planning) - Family planning, counseling, information and/or assistance.
- 9.8 Rural Health Programs - All programs designed to coordinate/increase all health resources available in rural areas.
- 9.9 Other Primary Health Care - (Medication) - This portion is for reporting direct primary services (services to eliminate disease, injury, malnutrition etc., not indirect help like education and prevention) funded by CSBG. Medication, clinic visits, or home health care not covered in a subcategory above might fit here.
- 9.10 Other Health Programs - (Diabetes, Assistive Equipment, Safer Sex Packets, HIV Prevention) - This section is inserted to help us identify any important services we may have missed above.

APPENDIX B

COMMUNITY SERVICES BLOCK GRANT CERTIFICATION

_____ hereby agrees:
(Name of Agency)

1. To provide a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem;
2. To provide activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency 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), to secure and retain meaningful employment, to attain an adequate education with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives, to make better use of available income, to obtain and maintain adequate housing and a suitable living environment, obtain emergency assistance through loans, grants or other means to meet immediate and urgent family and individual needs including the need for health services, nutritious food, housing and employment related assistance, 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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication, and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts and to make more effective use of and to coordinate with, other programs (including State welfare reform efforts).

To address the needs of youth in low-income communities through youth development programs that support the primary role of family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the need 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 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 after-school child care programs;

3. To provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals (Section 676(b)(H));
4. To coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and to coordinate the provision of employment and training activities in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998 (Section 676(b)5).

5. To encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community;
6. To maintain a broadly representative board which meets the requirements of the CSBG Act with the board selected by the funded agency. One-third of the members of the board must be elected public officials, currently holding office, or their representatives, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive public officials may be counted in meeting the one-third requirement. At least one-third of the members of the board must be chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served. The remainder of the members must be officials or members of business, industry, labor, religion, welfare, education, or other major groups and interests in the community. Procedures must be established which allow a low-income individual, community organization, or religious organization (or a representative of these groups) to petition for adequate representation on the board;
7. To meet program and fiscal requirements. Fiscal control and fund accounting procedures will be established as needed to assure proper dispersal of and accounting for federal funds paid to the State and delegated to the local agencies. All funds will be audited to determine the expenditures of amounts received under the Community Services Block Grant;
8. To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office, any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity.
9. To promote coordination between anti-poverty programs in each community where appropriate, and with emergency energy crisis intervention programs under Title XXVI of this Act (relating to low-income home energy assistance) conducted in such community (Section 676(b)(6));
10. To assure that no person shall on the grounds of race, color, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under this Act. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to an otherwise qualified handicapped individual as provided in Section 504 of the Rehabilitation Act of 1973 shall also apply to any such program or activity;
11. To permit and cooperate fully in any Federal investigation undertaken in accordance with Section 678D of the CSBG Act.
12. To provide, as a condition of receiving funding under the CSBG Act, a community action plan that includes:
 - a. A community needs assessment (including food needs);
 - b. A description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;

- c. A description of how linkages will be developed to fill identified gaps in service through the provision of information, referral, case management, and follow-up consultations;
 - d. A description of how funding under the CSBG Act will be coordinated with other public and private resources; and
 - e. A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting (Section 676(b)(3)).
13. To comply with Public Law 103-227, Part C. Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the 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 States or local governmental by Federal grant, contract, loan or loan guarantee.
 14. 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 (Section 676(b)(9)).
 15. To comply with the regulations, policies, guidelines, and requirements outlined by the Department of Health and Human Services for the implementation of the Community Services Block Grant in the State of North Dakota.
 16. To participate in the Results Oriented Management and Accountability System.
 17. Section 679. Operational Rule.
 - a. "Religious Organizations Included as Non-governmental Providers.B For any program Carried out by the Federal Government, or by a State or local government under this subtitle, the government shall consider, on the basis as other non-governmental organizations, religious organizations to provide the assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment of the Constitution. Neither the Federal Government nor a State or local government receiving funds under this subtitle shall discriminate against an organization that provides assistance under, or applies to provide assistance under this subtitle, on the basis that the organization has a religious character.
 - b. Religious Character and Independence.
 - (1) In General.B A religious organization that provides assistance under a program described in subsection (a) shall retain its religious character and control over the definition, development, practice, and expression of its religious beliefs.
 - (2) Additional Safeguards.B Neither the Federal Government nor a State or a local government shall require a religious organization-
 - (a) to alter its form of internal government except (for purposes of administration of the community services block grant program) as provided in Section 676B; or

- (b) to remove religious art, icons, scripture or other symbols; in order to be eligible to provide assistance under a program described in subsection (a).
- (3) Employment Practices.B A religious organization's exemption provided under section 702 of the Civil Rights Act of 1964 (42 U.S.C. 2000e-1) regarding employment practices shall not be affected by its participation in, or receipt of funds from, program described in subsection (a).
- c. Limitations on Use of Funds for Certain Purposes.B No funds provided directly to a religious organization to provide assistance under any program described in subsection (a) shall be expended for sectarian worship, instruction, or proselytization.
- d. Fiscal Accountability.B
 - (1) In General.B Except as provided in paragraph (2), any religious organization providing assistance under any program described in subsection (a) shall be subject to the same regulations as other non-governmental organizations to account in accord with generally accepted accounting principles for the use of such funds provided under such program.
 - (2) Limited Audit.B Such organization shall segregate the government funds provided under such program into a separate account. Only the government funds shall be subject to audit by the government.
- e. Treatment of Eligible Entities and Other Intermediate Organizations.B If an eligible entity or other organization (referred to in this subsection as an intermediate organization), acting under a contract, or grant or other agreement, with the Federal Government or a State or local government, is given the authority under the contract or agreement to select non-governmental organizations to provide assistance under the programs described in subsection (a), the intermediate organization shall have the same duties under this section as the government.@

Name of Agency

Board Chairperson

Date

APPENDIX C

11/14/12 Revised CSBG ELIGIBILITY FOR SERVICES

I. DEFINITION OF INCOME	CSBG POLICY
1) <u>Regular payments</u> from social security, SSI, SSDI, TANF, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, child support, military family allotments, private pensions, government employee pensions (including military retirement pay), regular insurance or annuity payments. The income for individuals on social security or SSDI who have Medicare deducted from their benefit check before they receive it, should have only the net amount they receive considered as income.	Regular payments that are received, not periodic payments that cannot be counted on, should be considered as income in determining eligibility for CSBG services.
2) <u>Wages and salary</u>	In considering income for eligibility, net income from wages and salary, with only mandatory deductions allowed for Federal and State taxes, Medicare and Social Security, should be used.
3) <u>Farm and non-farm self-employment</u>	For individuals with farm and non-farm self-employment for income, the adjusted gross income from the prior year taxes should be used.
4) <u>Other regular income</u> from dividends, interest, net rental income, net royalties, periodic receipts from estates or trusts, net gambling or lottery winnings	To be considered as income in determining eligibility for CSBG services, the other income should be received on a regular basis.

INCOME EXCLUDES: capital gains; any assets drawn down as withdrawals from a bank; the sale of property, house or vehicle; one-time payments from a welfare agency to a family or person who is in temporary financial difficulty; tax refunds; gifts; loans; lump-sum inheritances; one-time insurance payments; compensation for injury; non-cash benefits (such as the employer-paid or union-paid portion of health insurance or other employee fringe benefits, food or housing received in lieu of wages, the value of food and fuel produced and consumed on farms, the imputed value of rent from owner-occupied non-farm or farm housing); Federal non-cash benefit programs (such as Medicare, Medicaid, Food Stamps, school lunches, housing assistance, fuel assistance); lump sum child support payments for past due child support; college scholarships; student loans; foster care payments.

II. FREQUENCY OF REVIEWING CLIENT INCOME	CSBG POLICY
Client income - at the time of initial application for CSBG services:	Client income should be verified at the time of the initial application for CSBG services. Short-term clients whose cases are closed, and then reapply again for CSBG services at a later date, must have their income verified at the time of reapplication
Review of client income - for ongoing clients in CSBG funded programs/services:	Clients receiving ongoing CSBG funded programs/services must have their income reviewed and verified annually.
Clients Transitioning off CSBG services due to their income being over the 125% of poverty (or other rate mandated in the CSBG Act) at the time of the annual review:	Up to a maximum of 6 months is available to transition a client out of a self-sufficiency program after the client reaches an income level that exceeds 125% of poverty (or other rate mandated in the CSBG Act). The worker must document in the client's case file the need for this transition time and the case work that is being provided to prepare the client for the transition. The transition work with the client should be initiated at the time of the review of the client's income that determines the client is over the CSBG eligibility guidelines. Ongoing case documentation through this transition time should thoroughly explain the steps being taken by the agency/staff and client during this transition period.

III. VERIFICATION OF INCOME	CSBG POLICY
Client income for CSBG programs/services must be verified by the worker at the time of application and, for ongoing clients, at the time of the annual review (or more often if appropriate)	<p>The client's income must be verified by the worker. The verification would indicate the client's income and source(s) of income at the time of application and/or review, the signature of the worker, the date the income was verified and acknowledgement that the client is at or below 125% of poverty (or another rate mandated in the CSBG Act).</p> <p>The information must be documented in the case file. The agency can determine if they document the information on the intake form or another section of the file. The information should be readily available for individuals using the case file. Staff within each agency should be consistent in the location of the documentation in all appropriate case files.</p> <p>Clients with no income at the time of application must sign and date a self-declaration form attesting to that fact. The worker must also sign and date that form. For ongoing CSBG clients, this form must be updated one month from the date of application and monthly thereafter if there is no change in the client's income.</p>

IV. CAA PROGRAMS AFFECTED	EXAMPLES OF SERVICES	CSBG POLICY
<p><u>Direct services provided through CSBG</u> (when no other funding source is covering client costs) - the eligibility is at or below 125% of poverty (or other rate mandated in the CSBG Act):</p>	<p>CAA programs such as Self Reliance, emergency services using only CSBG, Clothing Closet, Assistive Equipment, Food Pantry, Money Management/Budget Counseling, Representative Payee, STEPS, etc., could be examples of services directly funded through CSBG. However, programs and funding sources vary from agency to agency.</p>	<p>Client eligibility for CSBG direct services must be at or below 125% of poverty (or other rate mandated in the CSBG Act). The client's income must be verified at the time of application and, for ongoing cases, at the time of the annual review of income.</p> <p>Exceptions to the eligibility criteria could include food pantries, donation centers, and assistive equipment items that are donated to the agency to be donated to eligible clients of the agency. For example, an individual needing assistive equipment may be over the 125% of poverty level, but still be in need of equipment that has been donated to the CAA. If the CAA has this equipment available, a client shouldn't be prevented from accessing it just because he/she doesn't meet the CSBG eligibility guidelines if the client would be considered by the CAA to be low income for the purpose of accessing CAA services. Similar circumstances would be true for donated food and other items to the CAA for low income people in need of the items.</p>
<p><u>Linkages/Outreach provided through CSBG:</u> Some programs administered by the CAAs serve as a collaborative tool within the service area. Funding may be a combination of CSBG and other funding. Often these are community or educational programs in which the CAA works closely with other entities.</p>	<p>CAA programs such as Teen Court, VITA, Keys to Innervision, Safe Communities, Homebuyer Education could be examples of linkages/outreach services. However, programs and funding sources vary from agency to agency.</p>	<p>The outreach and community collaboration effort is a key component of CAA services. An eligibility determination for services does not have to be completed, however priority must be given to serve and reach low income clients.</p>

<p><u>CSBG used for administrative support</u> of programs primarily funded through other sources:</p>	<p>CAA programs such as emergency services through FEMA, Emergency Shelter Grant Program, Energy Share, Tri-State Help, Shelter Plus Care, Commodities, Supplemental Commodities, Weatherization, Furnace Repair/Replacement, Cooling Program, Residential Energy Efficiency Program, Housing Rehabilitation (HOME), Housing Counseling, Homebuyer Education, Safe Communities, Head Start, Early Head Start, Child Care, Representative Payee, Prairie Rose Center, Family Planning, Diabetes Program, TBRA, Foster Grandparent, etc., could be examples of CAA services that receive some administrative support through CSBG. However, programs and funding sources vary from agency to agency.</p>	<p>If CSBG is providing administrative support for a low-income program, not direct client services, the eligibility that should be determined for the program is based on the requirements of the primary funding source, i.e. Wx, HOME, HS, EHS, etc.</p>
<p><u>LIHEAP referrals</u> made to CAAs by county social service staff on form SFN98 - Case Management Inter-Agency Referral Form</p>	<p>LIHEAP referrals of clients are made for services such as case management, money management, Self-Reliance or other services</p>	<p>Reimbursement is provided through Oil Overcharge funds when CAAs submit the billing to DHS, so eligibility for CSBG does not have to be considered. If all costs aren't covered through the billing, CSBG funds would be administratively supporting the services, so direct CSBG services aren't being provided.</p> <p>If the client's eligibility for LIHEAP ends or the county revokes the referral, and the CAA continues to provide services to the client, the client would then need to meet the CSBG eligibility guidelines unless another funding source is covering the expenses. If there is no other funding source, and the client's income exceeds the CSBG level, the client would be eligible to participate through the 6-month transitional period as addressed in Section II of this document.</p>