

## CSBG State Plan

**Program Name:** Community Services Block Grant

**Grantee Name:** ECONOMIC AND COMMUNITY AFFAIRS, ALABAMA DEPARTMENT OF

**Report Name:** CSBG State Plan

**Report Period:** 10/01/2024 to 09/30/2026

**Report Status:** Draft

### Report Sections

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**CSBG Cover Page (SF-424M)**

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires:09/30/2025	
<b>COVER PAGE</b>			
* 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/ Plan/Funding Request?  Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: Alabama Department of Economic and Community Affairs			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 636000619		* c. Organizational DUNS: 062620604	
* d. Address:			
* Street 1:	401 Adams Avenue, Suite 580	Street 2:	Suite 580
* City:	Montgomery	County:	Montgomery
* State:	AL	Province:	
* Country:	United States	* Zip / Postal Code:	36103 - 5690
e. Organizational Unit:			
Department Name: Community Programs Unit		Division Name: Energy Division	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Nicole	Middle Name:	* Last Name: Northington
Suffix:	Title: Community Programs Unit Chief	Organizational Affiliation:	
* Telephone Number: (334) 353-5308	Fax Number	* Email: nicole.northington@adeca.alabama.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant	
11. Descriptive Title of Applicant's Project Administration of Alabama's CSBG Program			
12. Areas Affected by Funding: Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 02		b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

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

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

- YES  
 NO

Explanation:

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

**\*\*I Agree**

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

18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)

**Attach supporting documents as specified in agency instructions.**

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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No:0970-0382 Expires:09/30/2025
<b>SECTION 1</b> <b>CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter</b>	

<b>1.1. Identify whether this is a One-Year or a Two-Year Plan</b>	<input type="radio"/> one-year <input checked="" type="radio"/> two-year
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<b>1.1a. Provide the federal fiscal years this plan covers:</b>	Year One 2025	Year Two 2026
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**1.2. Lead Agency and Authorized Official:** Update the following information in relation to the lead agency and authorized official designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act.

*Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.*

Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan?     Yes     No

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

<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input checked="" type="checkbox"/> City
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Office Number	<input type="checkbox"/> Fax Number
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website	

**1.2a. Lead agency**

**1.2b. Cabinet or administrative department of this lead agency** *[Check one and provide a narrative where applicable]*

- Community Affairs Department
- Community Services Department
- Governors Office
- Health Department
- Housing Department
- Human Services Department
- Social Services Department
- Other, describe

<b>1.2c. Cabinet or Administrative Department Name:</b> Provide the name of the cabinet or administrative department of the CSBG authorized official	Alabama Department of Economic and Community Affairs
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**1.2d. Authorized Official of the Lead Agency**

Name: Kenneth W. Boswell	Title: Director
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**1.2e. Street Address** 401 Adams Avenue, Suite 560

<b>1.2f. City</b> Montgomery	<b>1.2g. State</b> AL	<b>1.2h. Zip</b> 36104
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<b>1.2i. Telephone number</b> 334 242 - 5591 ext.	<b>1.2j. Fax number</b> 334 242 - 5099
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<b>1.2k. Email address</b> kenneth.boswell@adeca.alabama.gov	<b>1.2l. Lead agency website</b> www.adeca.alabama.gov
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**1.3. Designation Letter:**

*Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.*

**1.4. CSBG Point of Contact:** provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has Information regarding to the state point of contact has changed since the last submission of the State Plan?     Yes     No

<b>If yes, select the fields that have changed [check all the apply]</b>			
<input type="checkbox"/> Agency Name	<input checked="" type="checkbox"/> Point of Contact	<input type="checkbox"/> Street Address	
<input type="checkbox"/> City	<input type="checkbox"/> Zip Code	<input type="checkbox"/> Office Number	
<input type="checkbox"/> Fax Number	<input type="checkbox"/> Email Address	<input type="checkbox"/> Website	
<b>1.4a. Agency Name Alabama Department of Economic and Community Affairs</b>			
<b>1.4b Point of Contact Name</b>			
Name: Nicole Northington		Title: Community Programs Unit Chief	
<b>1.4c. Street Address</b>		401 Adams Avenue, Suite 560	
<b>1.4d. City</b>	Montgomery	<b>1.4e. State</b> AL	<b>1.4f. Zip</b> 36104
<b>1.4g. Telephone Number</b> 334 353 - 5308 ext.		<b>1.4h. Fax Number</b> 334 242 - 0552	
<b>1.4i. Email Address</b> nicole.northington@adeca.alabama.gov		<b>1.4j. Agency Website</b> www.adeca.alabama.gov	
<b>1.5. Provide the following information in relation to the State Community Action Association.</b>			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
<b>If yes, select the fields that have been changed [Check all the apply]</b>			
<input type="checkbox"/> Agency Name	<input type="checkbox"/> Executive Director	<input type="checkbox"/> Street Address	
<input type="checkbox"/> City	<input type="checkbox"/> State	<input type="checkbox"/> Zip Code	
<input type="checkbox"/> Office Number	<input type="checkbox"/> Fax Number	<input type="checkbox"/> Email Address	
<input type="checkbox"/> Website	<input type="checkbox"/> RPIC Lead		
<b>1.5a. Agency Name Community Action Association of Alabama</b>			
<b>1.5b. Executive Director or Point of Contact</b>			
Name: Kris Rowe		Title: Executive Director	
<b>1.5c. Street Address</b>		201 Beacon Parkway West, Suite 204	
<b>1.5d. City</b>	Birmingham	<b>1.5e. State</b> AL	<b>1.5f. Zip</b> 35209
<b>1.5g. Telephone number</b> 205 227 - 7688 ext.		<b>1.5h. Fax number</b> 205 227 - 7923	
<b>1.5i. Email Address</b> krowe@caaalabama.org		<b>1.5j. State Association Website</b> www.caaalabama.org	
<b>1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead</b> <input type="radio"/> Yes <input checked="" type="radio"/> No			

## Section 2: State Legislation and Regulation

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

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### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

State has a statute authorizing CSBG  Yes  No

**2.2. CSBG State Regulation:**

State has regulations for CSBG  Yes  No

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

Attached

**2.4. State Authority:**

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

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

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

## Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
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### SECTION 3 State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:**

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

ADECA is responsible for administering a broad range of State and Federal programs that contribute to the department's mission of Building Better Alabama Communities. Each year ADECA distributes millions of dollars to Alabama cities, counties, non-profit organizations, and others. The grants support economic development projects, infrastructure improvements, energy conservation, law enforcement and traffic safety, recreation development, and assistance to low-income families. ADECA also works to monitor and protect Alabama's water resources and distribute State and Federal surplus property to local governments and other qualified organizations. ADECA's programs are as diverse as the people of Alabama and impact every corner of the state. The department works to assist children, the elderly, victims of crime and abuse, the disadvantaged, and low-income families. Businesses, local governments, schools, and non-profit organizations benefit from the many grants and contracts administered by ADECA.

**3.2. State Plan Goals:**

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

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

The goals of the State CSBG office are: 1) to submit an application to the Secretary containing information described in Section 676 of the Act (675A(b)), 2) to distribute 95% of the available funds to the eligible entities for the stated purposes of the CSBG program, 3) to spend no more than 5% of the grant received for administrative purposes, 4) to hold a public hearing in the state with sufficient time and distribution of notice to give the public an opportunity to comment on the proposed use and distribution of funds, 5) to review the organizational standards documentation from the eligible entities annually and provide technical assistance as needed, and 6) to provide communication in a timely manner to the eligible entities on grant requirements, training, and technical assistance opportunities.

**3.3. State Plan Development:**

*Indicate the information and input the state accessed to develop this State Plan.*

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

State Performance Indicators and/or National Performance Indicators (NPIs)

U.S. Census data

State Performance Management Data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)

Monitoring Visits/Assessments

Tools Not Identified Above (specify)

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

Eligible Entity Community Needs Assessments

Eligible Entity Community Action Plans

Public Hearings/Workshops

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

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

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

State Association

National Association for State Community Services Programs (NASCSPP)

Community Action Partnership (NCAP)

Community Action Program Legal Services (CAPLAW)

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

Regional Performance Innovation Consortium (RPIC)

Association for Nationally Certified ROMA Trainers (ANCRT)

Federal CSBG Office

Organizations not identified above [Specify]

<b>3.4. Eligible Entity Involvement</b>			
<b>3.4a. State Plan Development</b> Describe the specific steps the State took in developing the State Plan to involve the eligible entities.			
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>			
State staff develop the State Plan by using direct communication with eligible entities management and staff. Information gained through performance reviews, monitoring visits, one-on-one meetings, and telephone conversations has been used in the development of the plan.			
<b>3.4b. Performance Management Adjustment:</b> Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to:			
1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities?			
Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.			
<i>(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)</i>			
State staff accept input from the eligible entities throughout each grant cycle. Comments made during the comment period following each public hearing are taken into consideration during the development of each State Plan.			
<b>3.5. Eligible Entity Overall Satisfaction:</b> Provide the State's target for eligible entity Overall Satisfaction during the performance period:			
Year One	75	Year Two	75
Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities. <i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i>			

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## Section 4: CSBG Hearing Requirements

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

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### SECTION 4 CSBG Hearing Requirements

**4.1. Public Inspection:**

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

A draft version of the State Plan will be emailed to all eligible entities and made available on ADECA's website ahead of the public hearing date. The State will request that all eligible entities post the public hearing notice at each of their locations. The notice explains where the draft version of the Plan can be found on ADECA's website. The notice of the public hearing will also be published in newspapers around the state and will be posted on the Secretary of State's website prior to the public hearing.

**4.2. Public Notice/Hearing:**

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

As discussed in the section above, a draft version of the State Plan will be emailed to all eligible entities and made available on ADECA's website ahead of the public hearing date. The State will request that all eligible entities post the public hearing notice at each of their locations. The notice explains where the draft version of the Plan can be found on ADECA's website. The notice of the public hearing will also be published in newspapers around the state and will be posted on the Secretary of State's website prior to the public hearing. The State's standard practice is to provide a public comment period of at least thirty (30) days after the public hearing is held.

**4.3. Public and Legislative Hearings:**

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

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	07/18/2024	401 Adams Avenue Montgomery, AL (virtually via Teams)	Public	<input type="checkbox"/>
2	08/01/2024	11 South Union Street, Room 200, Montgomery, AL	Legislative	<input type="checkbox"/>

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

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

## Section 5: CSBG Eligible Entities

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

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### SECTION 5 CSBG Eligible Entities

**5.1. CSBG Eligible Entities:**

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

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

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

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Alabama Council on Human Relations, Inc.	Lee County	Non-Profit	Limited Purpose Agency
2	Community Action Agency of South Alabama	Baldwin County, Clarke County, Conecuh County, Escambia County, Marengo County, Monroe County, Wilcox County	Non-Profit	Community Action Agency
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Chambers County, Coosa County, Tallapoosa County	Non-Profit	Community Action Agency
4	Community Action Partnership of Middle Alabama, Inc.	Autauga County, Chilton County, Elmore County, Shelby County	Non-Profit	Community Action Agency
5	Community Action of Etowah County, Inc.	Etowah County	Non-Profit	Community Action Agency
6	Southeast Alabama Community Action Partnership, Inc.	Barbour County, Coffee County, Geneva County, Henry County, Houston County	Non-Profit	Community Action Agency
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Limestone County, Madison County	Non-Profit	Community Action Agency
8	Macon Russell Community Action Agency, Inc.	Macon County, Russell County	Non-Profit	Community Action Agency
9	Mobile Community Action, Inc.	Mobile County, Washington County	Non-Profit	Community Action Agency
10	Montgomery Community Action Committee & CDC, Inc.	Montgomery County	Non-Profit	Community Action Agency
11	Community Action Partnership of North Alabama, Inc.	Cullman County, Lawrence County, Marion County, Morgan County, and Winston County	Non-Profit	Community Action Agency
12	Community Action Agency of Northeast Alabama, Incorporated	Blount County, Cherokee County, DeKalb County, Jackson County, Jefferson County, Marshall County, St. Clair County	Non-Profit	Community Action Agency
13	Community Action Agency of Northwest Alabama, Inc.	Colbert County, Franklin County, Lauderdale County	Non-Profit	Community Action Agency
14	Organized Community Action Program Inc.	Bullock County, Butler County, Covington County, Crenshaw County, Dale County, Lowndes County, Pike County	Non-Profit	Community Action Agency
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Pickens County	Non-Profit	Community Action Agency
16	Community Action Agency of TCRCC	Calhoun County, Clay County, Cleburne County, Randolph County, Talladega County	Non-Profit	Community Action Agency
17	Walker County Community Action Agency, Inc.	Walker County	Non-Profit	Community Action Agency
18	Community Service Programs of West Alabama, Inc.	Bibb County, Choctaw County, Dallas County, Fayette County, Greene County, Hale County, Lamar County, Perry County, Sumter County, Tuscaloosa County	Non-Profit	Community Action Agency

**5.2. Total number of CSBG eligible entities 18**

**5.3. Changes to Eligible Entities List:**

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

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

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

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

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

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

CSBG Eligible Entity	Reason	Delete

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

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

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## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:09/30/2025												
<h3 style="margin: 0;">SECTION 6</h3> <h4 style="margin: 0;">Organizational Standards for Eligible Entities</h4>													
Note: Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , for more information on Organizational Standards. Click <a href="#">HERE</a> for IM 138.													
<b>6.1. Choice of Standards:</b> Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period													
<input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards													
<b>6.1a. Modified Organizational Standards:</b> In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.													
<b>6.1b. Alternative Organizational Standards:</b> If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.													
<b>6.1c. Alternative Organizational Standards Changes:</b> If using an alternative set of organizational standards: <ol style="list-style-type: none"> <li>1) provide any changes from the last set provided during the previous State Plan submission;</li> <li>2) describe the reasons for using alternative standards; and</li> <li>3) describe how they are at least as rigorous as the COE- developed standards</li> </ol>													
<input checked="" type="radio"/> There were no changes from the previous State Plan submission													
Provide reason for using alternative standards													
Describe rigor compared to COE-developed Standards													
<b>6.2. Implementation:</b> Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. <i>[Check all that apply and narrative where applicable]</i>													
<input type="checkbox"/> Regulation													
<input type="checkbox"/> Policy													
<input checked="" type="checkbox"/> Contracts with eligible entities													
<input type="checkbox"/> Other, describe:													
<b>6.3. Organizational Standards Assessment:</b> Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). <i>[Check all that apply.]</i>													
<input type="checkbox"/> Peer-to-peer review ( <i>with validation by the State or state-authorized third party</i> )													
<input type="checkbox"/> Self-assessment ( <i>with validation by the State or state-authorized third party</i> )													
<input type="checkbox"/> Self-assessment/peer review with state risk analysis													
<input type="checkbox"/> State-authorized third party validation													
<input type="checkbox"/> Regular, on-site CSBG monitoring													
<input checked="" type="checkbox"/> Other    Monthly desktop monitoring													
<b>6.3a. Assessment Process:</b> Describe the planned assessment process.													
Eligible entities use a statewide data collection system to upload documentation for each standard. Each month during the grant cycle, State staff check the documentation uploaded during that month to approve Organizational Standards as they are met.													
<b>6.4. Eligible Entity Exemptions:</b> Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? <input type="radio"/> Yes <input checked="" type="radio"/> No													
<b>6.4a.</b> Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption													
Total Number of Exempt Entities: 0													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">CSBG Eligible Entity</th> <th style="width: 40%;">Description / Justification</th> <th style="width: 10%;">Delete</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"> </td> <td> </td> <td style="text-align: center;"> </td> </tr> </tbody> </table>	CSBG Eligible Entity	Description / Justification	Delete				<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">CSBG Eligible Entity</th> <th style="width: 40%;">Description / Justification</th> <th style="width: 10%;">Delete</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"> </td> <td> </td> <td style="text-align: center;"> </td> </tr> </tbody> </table>	CSBG Eligible Entity	Description / Justification	Delete			
CSBG Eligible Entity	Description / Justification	Delete											
CSBG Eligible Entity	Description / Justification	Delete											

**6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period**

<b>Year One</b>	80%	<b>Year Two</b>	85%
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*Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.*

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## Section 7: State Use of Funds

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires:09/30/2025</b>
<b>SECTION 7</b> <b>State Use of Funds</b>	

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

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

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

**7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.**  
 Funds are allocated in proportion to the size of the poverty population served by the eligible entity. The State will use the most recent data reported for Small Area Income and Poverty Estimates Program (SAIPE) from the United States Census Bureau.

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

**7.2. Planned Allocation:**  
 Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act.  
 In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

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

<b>Year One</b>	95.00%	<b>Year Two</b>	95.00%
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**Planned CSBG 90 Percent Funds**

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Alabama Council on Human Relations, Inc.	\$433,881	
Community Action Agency of South Alabama	\$934,986	
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	\$262,901	
Community Action Partnership of Middle Alabama, Inc.	\$649,953	
Community Action of Etowah County, Inc.	\$297,796	
Southeast Alabama Community Action Partnership, Inc.	\$670,364	
Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	\$907,308	
Macon Russell Community Action Agency, Inc.	\$301,818	
Mobile Community Action, Inc.	\$1,323,329	
Montgomery Community Action Committee & CDC, Inc.	\$661,987	
Community Action Partnership of North Alabama, Inc.	\$746,608	
Community Action Agency of Northeast Alabama, Incorporated	\$2,769,204	
Community Action Agency of Northwest Alabama, Inc.	\$462,204	
Organized Community Action Program Inc.	\$629,296	
Pickens County Community Action Committee, and Community Development Corporation, Inc.	\$66,329	
Community Action Agency of TCRCC	\$725,073	
Walker County Community Action Agency, Inc.	\$174,754	
Community Service Programs of West Alabama, Inc.	\$1,199,642	
<b>Total</b>	<b>\$13,217,433</b>	

**CSBG Eligible Entity Year Two**

CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Alabama Council on Human Relations, Inc.	\$433,881	

Community Action Agency of South Alabama	\$934,986
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	\$262,901
Community Action Partnership of Middle Alabama, Inc.	\$649,953
Community Action of Etowah County, Inc.	\$297,796
Southeast Alabama Community Action Partnership, Inc.	\$670,364
Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	\$907,308
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Walker County Community Action Agency, Inc.	\$174,754
Community Service Programs of West Alabama, Inc.	\$1,199,642
<b>Total</b>	<b>\$13,217,433</b>

**7.3. Distribution Process:**

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

The State allocates 95 percent of its CSBG funds to the eligible entities. Prior to receiving the Notice of Award from HHS, State staff prepare draft subaward agreements with all of information included except the budget amounts. This takes approximately 4 to 5 days. When the Notice of Award is received, the budget is calculated, the subaward agreements are updated, and cover letters are prepared. This takes approximately 3 to 4 days. The subaward agreements and cover letters are routed to the Unit Chief, Division Chief, accounting section, and audit section before being printed for signature by ADECA General Counsel and ADECA Director. This takes approximately 5 to 7 days. State staff prepare the Governor's Conditional Subaward Letters and ADECA Director's Conditional Subaward Letters and forward them for signature which takes approximately 7 to 10 days. Concurrently, a summary for state legislators is prepared and forwarded to ADECA's Communication and External Affairs Section to finalize, prepare a press release, notify state legislators of the subawards, and assign a release date to mail the Governors Conditional Subaward Letter. This takes approximately 3 to 5 days. Once the Governors letters have been mailed to the eligible entities, State staff mail the ADECA Directors letters the following day. State staff prepare the Letter of Conditional Commitment to the eligible entities requesting a budget, Beason-Hammon Certification, E-Verify MOU, Disclosure Statement, Signature Certification, and SAM.gov status. This takes approximately 1 to 2 days. This letter is mailed the day after the ADECA Directors letters are sent out. Eligible entities are given 10 days to return the completed documentation. Once completed documentation is received, the signed subaward agreement is mailed to each entity for signature.

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

- Reimbursement
- Advance
- Hybrid
- Other

Eligible entities are allowed to request funds on an advancement basis or a reimbursement basis.

**7.4. Distribution Timeframe:**

**Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award?**  Yes  
 No

**7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.**

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

**7.5. Distribution of Funds Performance Management Adjustment:**

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

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

ADECA is able to process the subaward agreements within 30 days of receiving the Notice of Award from HHS. If comments are received during the public hearing regarding strategies for improvement, the State will take the comments into consideration when preparing the final plan for submittal to HHS.

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

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

7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.

Year One (0.00%)	5.00	Year Two (0.00%)	5.00
------------------	------	------------------	------

7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan

Year One	8.00	Year Two	8.00
----------	------	----------	------

7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan

Year One	3.50	Year Two	3.50
----------	------	----------	------

7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act?  Yes  No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

Year One (0.00%)	0.00%	Year Two (0.00%)	0.00%
------------------	-------	------------------	-------

Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)

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

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

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

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

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

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



<i>[Check all that apply and narrative where applicable]</i>
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)
<input type="checkbox"/> The state partially carries out some activities
<input type="checkbox"/> CSBG eligible entities ( <i>if checked, include the expected number of CSBG eligible entities to receive funds</i> )
<input type="checkbox"/> Other community-based organizations
<input type="checkbox"/> State Community Action association
<input type="checkbox"/> Regional CSBG technical assistance provider(s)
<input type="checkbox"/> National technical assistance provider(s)
<input type="checkbox"/> Individual consultant(s)
<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
<b>Note: <i>This response will link to the corresponding CSBG assurance, item 14.2.</i></b>
<b>7.11. Use of Remainder/Discretionary Funds Performance Management Adjustment:</b> Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
<b>Note: <i>This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i></b>
The State does not have discretionary funds. 95% of the funds are allocated to the eligible entities and the remaining 5% is used to pay State staff's salaries.

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## Section 8: State Training and Technical Assistance

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

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

### SECTION 8 State Training and Technical Assistance

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

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

#### Training and Technical Assistance - Year One

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

#### Training and Technical Assistance - Year Two

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

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

Year One	\$0	Year Two	\$0
----------	-----	----------	-----

**8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.

The State, in collaboration with the Community Action Association of Alabama (State Association), will update the Training and Technical Assistance Plan for the eligible entities based on needs identified in a survey conducted by the State Association.

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

*Note: 8.2 is associated with State Accountability Measure 6Sb. The state should put a TAP in place to support eligible entities with one or more unmet organizational standards.*

**8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. The State staff will provide technical assistance to eligible entities with unmet standards within 90 days of a monitoring visit. In addition, State staff will provide quarterly progress reports to the State Association who will also provide technical assistance to its members to address unmet organizational standards.

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

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

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

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

The State office will continue to work with the State Association and regional RPIC to coordinate trainings and technical assistance. The State office will provide training and technical assistance, as needed, to eligible entities as it relates to the findings of a monitoring visit, when changes are made in administering the program, or a review of Organizational Standards.

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## Section 9: State Linkages and Communication

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

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

### SECTION 9 State Linkages and Communication

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

**9.1. State Linkages and Coordination at the State Level:**

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

*Describe additional information as needed.*

*Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.*

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- Head Start State Collaboration offices
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

**9.2. State Linkages and Coordination at the Local Level:**

Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) - (6))

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

The State office plans to create partnerships with governmental and other social services, especially anti-poverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and to avoid duplication of services.

**9.3. Eligible Entity Linkages and Coordination**

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

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

The State office will ensure that the eligible entities coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and to avoid duplication of services. The eligible entities partner with other public and private resources to provide a range of services for individuals and families.

**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:**

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

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

The eligible entities will develop linkages to fill identified gaps in the services through referrals and/or case management. Each eligible entity must submit a Community Action Plan (CAP) on an annual basis, which includes information on the programs they offer to assist low-income individuals, low-income families, and their communities.

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

Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the

Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?  Yes  
 No

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

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

In accordance with the Community Services Block Grant Act, Alabama's eighteen eligible entities assist in meeting the needs of whole family structures as well as addressing the needs of individuals. Services to individuals and families that are WIOA related include: (1) customer/client evaluations and assessments, (2) information and referrals based on client needs for education, employment, or other assistance services (some services and assistance is provided in house), (3) job readiness and skills counseling, (4) limited skill development, computers, daycare, etc., (5) job placement and development with local employers, (6) employability skills orientation and classes, (7) limited on-the-job training, (8) programs for youth and family development, (9) daycare and Head Start services, (10) after school and summer programs for youth, (11) transportation, (12) emergency and special needs services, and (13) client/customer case management and follow-up/tracking as well as results management. Each eligible entity is required to provide a referral to the career center if any adult residing in the household is unemployed and not enrolled in school.

**9.4b. Employment and Training Activities:** If the state selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.

**9.5. Emergency Energy Crisis Intervention:**

Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under Section 676(b)(6) of the CSBG Act.

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

All eligible entities administer LIHEAP funding and have provisions in place for emergency assistance. LIHEAP is administered by the same staff who administer CSBG in the State office.

**9.6. Faith-based Organizations, Charitable Groups, Community Organizations:**

Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.

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

The State will assure that eligible entities will coordinate and form partnerships with organizations such as faith-based organizations, charitable groups, and community organizations. The Community Action Plan submitted by each of the eligible entities includes information on how and which organizations they will coordinate with.

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

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

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

The eligible entities will coordinate CSBG funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. Eligible entities have developed extensive information and referral networks to meet the many needs of clients seeking services. Through linkages established within the service area, individuals and families can be connected to an array of local programs and services to meet the needs of the family/individual.

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

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

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

Because the State does not have discretionary funding, the State staff work with the State Association to coordinate training with the eligible entities. Most funded entities are members of the State Association.

**9.9. Communication with Eligible Entities and the State Community Action Association:**

In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

Communication Plan

Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Public Notice	
State Plan Development	Biannual	Email	
Organizational Standards Progress	Monthly	Email	
State Accountability Measures Progress	Annually	Email	
Community Needs Assessments/Community Action Plans	Annually	Email	
State Monitoring Plans and Policies	As needed	Email	
Training and Technical Assistance (T/TA) Plans	Annually	Email	
ROMA and Performance Management			

	Annually	Email	
State Interagency Coordination	Annually	Email	
CSBG Legislative/Programmatic Updates	As needed	Webinar	
Tripartite Board Requirements	As needed	Email	

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

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

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

The State will provide feedback to the eligible entities and the State Association regarding performance on State Accountability Measures annually. The state will also share the Annual Report with the eligible entities and the State Association.

**9.11. Communication Plan Performance Management Adjustment:**

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

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

The State will continue to make improvements on communications based on the latest ACSI results.

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**Section 10: Monitoring, Corrective Action, and Fiscal Controls**

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

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

**SECTION 10  
Monitoring, Corrective Action, and Fiscal Controls**

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

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

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

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

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Alabama Council on Human Relations, Inc.	Full On-site	Onsite Review	FY1 Q1	12/06/2021	12/09/2021	
2	Community Action Agency of South Alabama	Other	Desk Review	FY1 Q4	07/02/2024	08/20/2024	Annual review of Organizational Standards
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Other	Desk Review	FY1 Q4	02/18/2024		Annual review of Organizational Standards
4	Community Action Partnership of Middle Alabama, Inc.	Full On-site	Onsite Review	FY1 Q4	06/21/2022	06/23/2022	
5	Community Action of Etowah County, Inc.	Other	Desk Review	FY1 Q4	05/30/2024	06/18/2024	Annual review of Organizational Standards
6	Southeast Alabama Community Action Partnership, Inc.	Full On-site	Onsite Review	FY1 Q2	08/15/2022	08/18/2022	
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Full On-site	Onsite Review	FY1 Q3	03/21/2022	03/24/2022	
8	Macon Russell Community Action Agency, Inc.	Other	Desk Review	FY1 Q4	07/03/2024	08/14/2024	Annual review of Organizational Standards
9	Mobile Community Action, Inc.	Full On-site	Onsite Review	FY1 Q4	09/27/2023	09/29/2023	
10	Montgomery Community Action Committee & CDC, Inc.	Full On-site	Onsite Review	FY1 Q3	09/24/2022	09/29/2022	
11	Community Action Partnership of North Alabama, Inc.	Other	Desk Review	FY1 Q4	08/14/2024	09/25/2024	Annual review of Organizational Standards
12	Community Action Agency of Northeast Alabama, Incorporated	Full On-site	Onsite Review	FY1 Q4	03/06/2023	03/07/2023	
13	Community Action Agency of Northwest Alabama, Inc.	Other	Desk Review	FY1 Q4	07/17/2024	08/28/2024	Annual review of Organizational Standards
14	Organized Community Action Program Inc.	Full On-site	Onsite Review	FY1 Q1	09/13/2023	09/15/2023	
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Full On-site	Onsite Review	FY1 Q2	07/25/2023	07/27/2023	
16	Community Action Agency of TCRCC	Other	Desk Review	FY1 Q4	06/07/2024	07/23/2024	Annual review of Organizational Standards

17	Walker County Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q1	07/31/2024	09/11/2024	
18	Community Service Programs of West Alabama, Inc.	Full On-site	Onsite Review	FY1 Q3	12/13/2022	12/15/2022	
	<b>CSBG Eligible Entity</b>	<b>Monitoring Type</b>	<b>Review Type</b>	<b>Target Quarter</b>	<b>Start Date of Last Full Onsite Review</b>	<b>End Date of Last Full Onsite Review</b>	<b>Brief Description of "Other"</b>
1	Alabama Council on Human Relations, Inc.	Full On-site	Onsite Review	FY2 Q3	12/06/2021	12/09/2021	
2	Community Action Agency of South Alabama	Full On-site	Onsite Review	FY2 Q2	07/02/2024	08/20/2024	
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Full On-site	Onsite Review	FY2 Q1	02/18/2024		
4	Community Action Partnership of Middle Alabama, Inc.	Other	Desk Review	FY2 Q4	06/21/2022	06/23/2022	Annual review of Organizational Standards
5	Community Action of Etowah County, Inc.	Full On-site	Onsite Review	FY2 Q2	05/30/2024	06/18/2024	
6	Southeast Alabama Community Action Partnership, Inc.	Other	Desk Review	FY2 Q4	08/15/2022	08/18/2022	Annual review of Organizational Standards
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Other	Desk Review	FY2 Q4	03/21/2022	03/24/2022	Annual review of Organizational Standards
8	Macon Russell Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q1	05/03/2022	05/04/2022	
9	Mobile Community Action, Inc.	Other	Desk Review	FY2 Q4	09/27/2023	09/29/2023	Annual review of Organizational Standards
10	Montgomery Community Action Committee & CDC, Inc.	Other	Desk Review	FY2 Q4	09/27/2022	09/29/2022	Annual review of Organizational Standards
11	Community Action Partnership of North Alabama, Inc.	Full On-site	Onsite Review	FY2 Q1	08/14/2024	09/25/2024	
12	Community Action Agency of Northeast Alabama, Incorporated	Other	Desk Review	FY2 Q4	03/06/2023	03/07/2023	Annual review of Organizational Standards
13	Community Action Agency of Northwest Alabama, Inc.	Full On-site	Onsite Review	FY2 Q3	07/17/2024	08/28/2024	
14	Organized Community Action Program Inc.	Other	Desk Review	FY2 Q4	09/13/2023	09/15/2023	Annual review of Organizational Standards
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Other	Desk Review	FY2 Q4	07/25/2023	07/27/2023	Annual review of Organizational Standards
16	Community Action Agency of TCRC	Full On-site	Onsite Review	FY2 Q4	06/07/2024	07/23/2024	
17	Walker County Community Action Agency, Inc.	Other	Desk Review	FY2 Q4	07/31/2024	09/11/2024	Annual review of Organizational Standards
18	Community Service Programs of West Alabama, Inc.	Other	Desk Review	FY2 Q4	12/13/2022	12/15/2022	Annual review of Organizational Standards

**10.2. Monitoring Policies:**

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

The State's monitoring policies and procedures are included in ADECA's CSBG Policies and Procedures, which has been uploaded as an attachment.

**10.3. Initial Monitoring Reports:**

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

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



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

**10.4. Closing Findings:**

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

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

N/A

**10.5. Quality Improvement Plans (QIPs):**

Provide the number of eligible entities currently on QIPs, if applicable.

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

0

**10.6. Reporting of QIPs:**

Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

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

The State will notify its regional OCS representative of the QIP by email within 30 days of approving the QIP. A copy of the QIP will be included in the email.

**10.7. Assurance on Funding Reduction or Termination:**

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

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

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

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

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

**10.8b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public

The State CSBG statute does not provide for the designation of new eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM 116. However, the State intends to develop more detailed procedures for the process of designating new eligible entities when necessary.

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

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

**10.9b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public

The State CSBG statute does not provide for the termination of new eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM 116. However, the State intends to develop more detailed procedures for the process of terminating new eligible entities when necessary.

**10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?**  Yes  No

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

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

The State CSBG statute does not provide for the re-designation of existing eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM 116. However, it intends to develop more detailed procedures for the process of re-designating existing eligible entities when necessary.

**Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:**

Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The State's Financial Services Division is staffed with accountants who set up cost categories to ensure proper fund management. The CSBG program accountant completes the SF-425, reconciles it with other financial reports, and reviews it prior to submission.

**10.12. Single Audit Management Decisions:**

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

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

ADECA has a computerized Audit Management System to track eligible entities and whether they have submitted their Single Audit nine months after the end of the award period. The ADECA Audit Section reviews all audits to determine if it met all 45 CFR 75 requirements, if the entity reported all

expenditures for an award, if the entity must return any unspent funds to ADECA, and if the audit was submitted to the Federal Audit Clearinghouse. The Audit Manager sends a letter to each entity after the review of a Single Audit is completed to summarize the findings and identify any corrective actions required.

**10.13. Assurance on Federal Investigations:**

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

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

10.13a. Federal Investigations Policies: Are state procedures for permitting and cooperating with federal investigations included in the state monitoring policies attached under 10.2?  Yes  No

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

State procedures for permitting and cooperating with federal investigations is not currently included in the State's monitoring policies, however, ADECA will permit to and cooperate with any federal investigations. The CSBG Policies and Procedures Manual is in the process of being updated.

**10.14. Monitoring Procedures Performance Management Adjustment:**

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

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

No adjustments to monitoring procedures have been made. If any comments are received during the public comment period regarding monitoring procedures adjustments, the State will take those comments into consideration when preparing the final State Plan for submittal to HHS.

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## Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:09/30/2025
<b>SECTION 11</b> <b>Eligible Entity Tripartite Board</b>	
<b>11.1. Tripartite Board Verification:</b> Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act[ <i>Check all that applies and narrative where applicable</i> ]	
<input type="checkbox"/> Attend Board meetings	
<input checked="" type="checkbox"/> Organizational Standards Assessment	
<input checked="" type="checkbox"/> Monitoring	
<input checked="" type="checkbox"/> Review copies of Board meeting minutes	
<input checked="" type="checkbox"/> Track Board vacancies/composition	
<input checked="" type="checkbox"/> <b>Other</b> The State will review copies of Board meeting minutes, track Board vacancies/composition, and review bylaws to ensure that the procedures for filling board positions meet the requirement and intent of the CSBG Act as part of the monthly desk reviews. Eligible entities are required to include Board documents in the statewide data system that is reviewed in conjunction with regular onsite monitoring and training.	
<b>11.2. Tripartite Board Updates:</b> Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., [ <i>Select one and narrative where applicable</i> ]	
<input type="radio"/> Annually	
<input type="radio"/> Semiannually	
<input type="radio"/> Quarterly	
<input type="radio"/> Monthly	
<input checked="" type="radio"/> As it Occurs	
<input type="radio"/> Other	
<b>11.3. Tripartite Board Representation Assurance:</b> Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
The State will carry out the assurance under Section 676(b)(10) of the CSBG Act in that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities Tripartite Board. The State will review all eligible entities policies and procedures during regular monitorings.	
<b>11.4. Tripartite Board Alternative Representation:</b> Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>11.4a. Tripartite Board Alternative Mechanism:</b> If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	

## Section 12: Individual and Community Eligibility Requirements

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

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

### SECTION 12 Individual and Community Income Eligibility Requirements

#### 12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

*[Check one item below.]*

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

200% % *[Response Option: numeric field]*

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

Page 16 of the State CSBG Policies and Procedures Manual states that "the state requires each entity to verify and maintain in their records, documentation validating income for each household member. Treatment of income and household composition follows the same procedure as LIHEAP, which is also administered through ADECA. Assistance is provided for individuals and families having income at or below 125% of the poverty income level as allowed in the statute, unless changed by subsequent legislation."

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

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

Page 16 of the CSBG Policies and Procedures Manual states that "the state requires income verification for all CSBG services. In the event income verification is not possible, the entities should contact the state office for guidance."

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

The State requires each entity to complete a comprehensive needs assessment at least every three years to determine services to be administered by the entity. Each year, the entities are required to submit a Community Action Plan for use of CSBG funds describing services provided and partnerships developed.

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:09/30/2025
<b>SECTION 13</b> <b>Results Oriented Management and Accountability (ROMA) System</b>	
<b>13.1. Performance Measurement System:</b> Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.	
<i><b>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module I, Item I.1.</b></i>	
<input checked="" type="radio"/> The Results Oriented Management and Accountability (ROMA) System	
<input type="radio"/> Another performance management system that meets the requirements by Section 678E(b) of the CSBG Act	
<input type="radio"/> An alternative system for measuring performance and results	
<b>13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.</b>	
ROMA- Results Oriented Management and Accountability is a performance-based initiative designed to: 1) assess poverty conditions in the community, 2) define a clear anti-poverty mission, 3) develop strategies to address community needs, 4) organize and implement programs, and 5) measure improvements in low-income people and communities as a result of community action. To accomplish these goals, eligible entities are encouraged to undertake a number of ROMA implementation actions. To assist the entities, State staff works with the Community Action Association of Alabama to advance ROMA performance-based concepts through on-going training and technical assistance. This partnership will work with the existing and developing NCRTs to support their work and offer training opportunities that will be required to retain certification, and to create a peer support network. Reliance on ROMA as a tool for planning and evaluation will only increase and advance the next level of ROMA principles, practices and resources. To this end, the State is focusing on assuring standardized knowledge of the basic ROMA principles and definitions, supporting an increase in capacity of the eligible entities to effectively execute each step of the ROMA cycle, and providing a link to training and assistance for eligible entities to more effectively collect, report, and use their data for decision making.	
<b>13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.</b>	
(This section is currently blank)	
<b>13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.</b>	
<i><b>Note: This response will also link to the corresponding assurance, Item 14.12.</b></i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
The State will utilize the CSBG National Performance Indicators to measure eligible entity performance. The eligible entities shall utilize the statewide data collection system to report all entity-wide unduplicated individual and household characteristics, demographics, and outcomes in the system. On a quarterly basis, the State generates reports to verify the information entered by the eligible entities is correct and complete.	
<b>13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.</b>	
<i><b>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</b></i>	
The State Association has a ROMA Trainer on staff. The State encourages interaction amongst eligible entities and with the State Association regarding the use of ROMA. The statewide system includes the use of logic models, matrices, and the tracking of services and outcomes. The State provides technical assistance on an on-going basis for the statewide data collection system.	
<b>13.4. Eligible Entity Use of Data:</b> Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?	
<i><b>Note: This response will also link to the corresponding assurance, Item 14.12.</b></i>	
As part of the CAP, the eligible entities must input their programs for the upcoming year into the statewide data collection system. As part of reviewing the quarterly reports, the State staff review the targets that were set as well as the completed outcomes to survey the progress of the programs. By doing this on a quarterly basis, the eligible entities have the opportunity to review and make any needed adjustments to the program.	
<b>Community Action Plans and Needs Assessments</b>	
<b>13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.</b>	
<i><b>Note: this response will link to the corresponding assurance, Item 14.11.</b></i>	
As a condition of receipt of CSBG funding, each eligible entity must submit a Community Action Plan. The State provides a template for the entities to use. The State requires information for each program that meets the goals of the entity. The entity must provide the following: 1) program name; 2) how the CSBG funds will be used to support the program; 3) the number of participants expected to enroll in the program; 4) the number of participants expected to achieve an outcome; 5) the number of services each program will provide; 6) a list of partners; 7) any community initiatives the entity is involved in. The CAP also contains information on community assessment, service delivery, linkages, planned expenditures by categories, board roster,	

schedule of board meetings, entity closing days, organization chart, goal for organizational standards, line, item budget, and all required signed assurances.

**13.6. Community Needs Assessment:**

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

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

As part of the review of Organizational Standards, the State will assure that each entity includes a copy of their community assessment as required by Section 676(b)(11) of the CSBG Act.

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## Section 14: CSBG Programmatic Assurances and Information Narrative

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

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

### SECTION 14 CSBG Programmatic Assurance and Information Narrative (Section 676(b) of the CSBG Act)

#### 14.1 Use of Funds Supporting Local Activities

#### CSBG Services

14.1a. 676(b)(1)(A): Describe how the state will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

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

The State reviews the eligible entities' Community Action Plans, which are submitted annually, to assure that planned activities are designed to meet the requirements of section 676(b)(1)(A) of the CSBG Act. Moreover, the statewide data collection system is used as a means to track progress on such programs and then used as a tool for evaluation.

#### Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

The State reviews the eligible entities' Community Action Plans, which are submitted annually, to assure that planned activities are designed to meet the needs of the youth in low-income communities throughout the State.

#### Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)

The State reviews the eligible entities' Community Action Plans, which are submitted annually, to assure that planned activities are designed to meet the requirements of section 676(b)(1)(A) of the CSBG Act.

#### State Use of Discretionary Funds

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

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

### **Eligible Entity Service Delivery, Coordination, and Innovation**

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

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

As part of the eligible entities' Community Action Plans, entities describe how they assess and address participants' needs, their outreach methods, their information and referral system, and how ROMA is used to improve service delivery.

### **Eligible Entity Linkages - Approach to Filling Service Gaps**

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

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

The eligible entities will develop linkages to fill identified gaps in the services through referrals and/or case management. Each eligible entity must submit a Community Action Plan (CAP) on an annual basis, which includes information on the programs they offer to assist low-income individuals, low-income families, and their communities.

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

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

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

The eligible entities will coordinate CSBG funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. Eligible entities have developed extensive information and referral networks to meet the many needs of clients seeking services. Through linkages established within the service area, individuals and families can be connected to an array of local programs and services to meet the needs of the family/individual.

### **Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility**

**14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."**

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

Eligible entities provide information on all community initiatives that are planned or active in their Community Action Plan, submitted to the State each year.

### **Eligible Entity Emergency Food and Nutrition Services**

**14.4. 676(b)(4) Describe how the state will assure "that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."**

Eligible entities must assure that they will provide, on an emergency basis, for the provision of supplies and services, nutritious foods, and other related services to counteract conditions of starvation and malnutrition among low-income individuals in their Community Action Plan submitted to the State for review and approval.

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

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

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

### **State Coordination/Linkages and Low-income Home Energy Assistance**

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



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

### Federal Investigations

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

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

### Funding Reduction or Termination

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

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

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

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

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

### Eligible Entity Tripartite Board Representation

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

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

The State will carry out the assurance under Section 676(b)(10) of the CSBG Act in that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board. The State will review all eligible entities policies and procedures during regular monitorings.

### Eligible Entity Community Action Plans and Community Needs Assessments

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

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

### State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

### Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

Section 15: Federal Certifications

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

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

SECTION 15  
Federal Certifications

15.1. CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



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

## 15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

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

### Certification Regarding Drug-Free Workplace Requirements

#### Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Alternate II. (Grantees Who Are Individuals)**

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

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

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

**15.2. Drug-Free Workplace Requirements**

After assurance select a check box:



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

**15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

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

**Instructions for Certification**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

***Instructions for Certification***

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

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

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

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

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

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

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

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

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

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

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

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

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

**15.3. Debarment**

After assurance select a check box:



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

**15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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

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

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:



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

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

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



OFFICE OF THE GOVERNOR



STATE CAPITOL  
MONTGOMERY, ALABAMA 36130

KAY IVEY  
GOVERNOR

(334) 242-7100  
FAX: (334) 242-3282

## STATE OF ALABAMA

June 7, 2017

Ms. Janelle George, Acting Director  
Office of Community Services  
Administration for Children and Families  
U. S. Department of Health and Human Services  
370 L'Enfant Promenade S.W., 5<sup>th</sup> Floor West  
Washington, D.C. 20447

Dear Ms. George:

Pursuant to Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to Kenneth W. Boswell, Director of the State of Alabama's Department of Economic and Community Affairs, for the purpose of submitting the State's revised application and plan for Fiscal Years 2017 and 2018 and certifying compliance with any federal assurances relating to the Community Services Block Grant.

Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink that reads "Kay Ivey".

Kay Ivey  
Governor

KI/KB/sf