

**CSBG Application and Plan**

**Purpose:** To determine that the State Application and Plan are in compliance with the duties and responsibilities required for the receipt and usage of CSBG funding.

**Program Requirements:** The Chief Executive Officer of the State must designate an agency to carry out the State activities for the Community Services Block Grant (CSBG) Program. The designated agency has a current State Plan on file at the Office of Community Services (OCS). Legislative hearings are convened at least once every three years and in conjunction with the development of the State Plan. A successful legislative hearing has rules of conduct and a standard agenda, both of which are available to the public prior to the hearing. The State offers a public inspection [sec. 676(e) (2)] of the Plan or revised Plan in a manner to allow review and comment of the Plan.

**Question 1:** Did the State provide specific details regarding the administrative operations of the State Community Services Block Grant program?

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676 - Program Administration                      Sec. 676(b)(3) - Legislative Hearing                      Sec. 676(e)(1) - Revisions                      Sec. 676(a)(2)(B) - Public Inspection                      Sec. 676(a)(1) - Lead Agency                      Section 676(b)(13) - Narrative CSBG</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Legislative Hearing</b> - documentation from the State Plan showing that, in conjunction with the development of the State Plan, at least one legislative hearing was held every three years.</li> <li><input type="checkbox"/> <b>Public Inspection</b> - evidence that the lead agency of the State's CSBG program held at least one public hearing about the proposed use and distribution of CSBG funds, in sufficient time to provide for public response and comment.</li> <li><input type="checkbox"/> <b>Designation</b> - document from the Chief Executive Officer of the State designating, in an application to OCS, an appropriate State agency to act as a lead agency for carrying out the State's CSBG program.</li> <li><input type="checkbox"/> <b>Statutory Authority</b> - reference to the State's statutory authority for the CSBG program.</li> <li><input type="checkbox"/> <b>State Application and Plan</b> - evidence that the State submitted an Application and State Plan for not less than one fiscal year and not more than two fiscal years, no later than 30 days prior to the beginning of the first fiscal year covered by the Plan.</li> <li><input type="checkbox"/> <b>Narrative CSBG State Plan</b> - evidence of the State's use of CSBG funds to carry out the Assurances.</li> <li><input type="checkbox"/> <b>Assurances</b> - dated document, signed by the designee of the Chief Executive Officer of the State assuring that funds made available through the grant will be used according to the Assurances in Section 676 of the CSBG Act.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Examples of public comments or responses to the State Plan, if applicable.</li> <li><input type="checkbox"/> Revisions - indication or verification of revisions to the State Plan by the Chief Executive Officer</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Participating with Federal Investigations

**Purpose:** To determine that the State complies with Federal investigations regarding fiscal control, audits, and withholdings.

**Program Requirements:** The State conducts a yearly independent audit of Community Services Block Grant funds expenditures and dissemination. The State is responsive to requests for information from the Office of Community Services (OCS) and makes books, documents, papers, and records available on request. Within 30 days after completion, the State sends copies of evaluations to the eligible entity, State legislature, and OCS.

**Question 1:** Did the State provide specific details regarding current and past Federal investigations?

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676(b)(7) - Federal Investigations</p> <p>Sec.678D(A) - The State will establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Fiscal Controls</b> - documentation of accounting procedures for disbursement of and accounting for CSBG funds paid to the State. Documentation of procedures for monitoring the funds provided.</li> <li><input type="checkbox"/> <b>Single Audit Requirements</b> - documentation of yearly audit reports of the State's CSBG expenditures and amounts transferred to carry out the purposes of the CSBG Act.</li> <li><input type="checkbox"/> <b>Fiscal Controls</b> - evidence that each audit was conducted by an independent agency and in accordance with the accounting standards of the Office of Management and Budgets (A-110 and A-122)</li> <li><input type="checkbox"/> <b>Audit Requirements</b> - evidence that the State made copies of completed audits available within 30 days to the State legislature, the Secretary and applicable eligible entities.</li> <li><input type="checkbox"/> <b>General Information</b> - required by OCS in preparation for an onsite monitoring visit.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Books, documents, papers, and records of accounting</li> <li><input type="checkbox"/> Examples of forms and procedures books, documents, papers, and records of accounting</li> <li><input type="checkbox"/> Copies of CSBG audit reports and expenditures</li> <li><input type="checkbox"/> Examples of A-110 and A-122 compliance</li> <li><input type="checkbox"/> Dated examples of State's compliance with the 30-day audit availability requirement.</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Monitoring Eligible Entities

**Purpose:** To determine if eligible entities meet the performance goals, administrative standards, financial management and other requirements developed by the State.

**Program Requirements:** The State conducts a full on-site review of each eligible entity at least once during a three-year period. A newly designated eligible entity receives an on-site visit from the State after one year of receipt of CSBG funds. The State conducts prompt follow-up reviews and return visits to eligible entities with CSBG programs that fail to meet the goals, standards and requirements established by the State. The State reviews eligible entities that have had other Federal, State or local grants terminated for just cause.

**Question 1:** Did the State provide specific details regarding their monitoring tools?

Statutory References	Critical Information	Examples of Supportive Information
Sec. 676(a)(C) - Corrective Action, Termination and Funding Sec. 678(B) Monitoring of Eligible Entities Sec. 676(b)(11) - Community Action Plan Sec 678C(B)(4)(a) - Quality Improvement Plan	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Review Schedule</b> - documentation showing onsite review of eligible entities every three years.</li> <li><input type="checkbox"/> <b>New Eligible Entities</b> - lists of new eligible entities.</li> <li><input type="checkbox"/> <b>New Eligible Entity Reviews</b> - dated documentation of onsite review of first year recipients of CSBG funds</li> <li><input type="checkbox"/> <b>Follow-up Reviews</b> - documentation of State's follow-up review of entities that failed to meet the State's requirements.</li> <li><input type="checkbox"/> <b>Program Terminations</b> - review documents of entities that have had Federal programs other than CSBG, terminated for cause.</li> <li><input type="checkbox"/> <b>Selected Eligible Entity Evaluations</b> - documentation of the State's performance measurement tools.</li> <li><input type="checkbox"/> <b>Monitoring Documents</b> - documentation of State's reviews, reports, letters, emails, notices, Quality Improvement Plans (QIPs) or training and technical assistance opportunities in reference to deficient eligible entities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring evaluation reports</li> <li><input type="checkbox"/> Samples of State's Community Needs Assessments</li> <li><input type="checkbox"/> Data on newly designated eligible entities</li> <li><input type="checkbox"/> Revisions to the monitoring tool</li> <li><input type="checkbox"/> Quality Improvement Plans for eligible entities</li> <li><input type="checkbox"/> Community Action Plans of eligible entities</li> </ul>

## Monitoring

**Purpose:** To verify that eligible entities are meeting the State's performance goals, administrative standards, financial and other management requirements.

**Program Requirements:** The CSBG program allows flexibility in the design of program services. States monitor each eligible entity at least once during each three-year period. New eligible entities are monitored immediately after their first year of receiving CSBG funds. Eligible entities that failed to meet the goals, standards, and requirements established by the State receive prompt follow-up monitoring visits. States review those eligible entities that have had other Federal, State, or local grants terminated for cause.

**Question 1:** Determine how the State conducted the required monitoring responsibilities.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 678B - Monitoring</b></p> <p><b>Information Memorandum # 49</b> 2-21-01 Guidance on CSBG Program Challenges, Responsibilities and Strategies for FY 2001-2003 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/documents/im49.html">www.acf.hhs.gov/programs/ocs/csbg/documents/im49.html</a></p> <p><b>Information Memorandum # 97</b> 10-10-06 Guidance on CSBG Requirement to Monitor Eligible Entities <a href="http://www.acf.hhs.gov/programs/cos/csbg/documents/im97.html">www.acf.hhs.gov/programs/cos/csbg/documents/im97.html</a></p> <p><b>Information Memorandum # 98</b> 03-01-07 CSBG Monitoring Schedule for FFY2007-2009 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/documents/im98.html">www.acf.hhs.gov/programs/ocs/csbg/documents/im98.html</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>State Monitoring Process</b> - documentation describing the criteria the State uses to develop its' monitoring process.</li> <li><input type="checkbox"/> <b>State Monitoring Schedule</b> - documentation describing the State's monitoring schedule. Evidence the monitoring schedule permits a full on site review of each eligible entity at least once during each three-year period.</li> <li><input type="checkbox"/> <b>Newly Designated Entities</b> - records of an onsite review of each newly-designated eligible entity immediately after the completion of the first year in which the entity received funds through the CSBG.</li> <li><input type="checkbox"/> <b>Monitoring Report</b> - examples of the most recent monitoring reports. Evidence of State's efforts to improve eligible entities' capacity to achieve results, (i.e., standards of excellence, practical constructive recommendation for continued progress or improvement of existing conditions.)</li> <li><input type="checkbox"/> <b>Follow-up</b> - documentation of the follow-up review process, (i.e., notices of deficiencies, training and technical assistance options, hearing options, and de-designation or reduction in funding actions.)</li> <li><input type="checkbox"/> <b>Monitoring Assessment</b> - documentation describing the results of monitoring practices in helping eligible entities to correct deficiencies.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Recent monitoring reports</li> <li><input type="checkbox"/> Board reviews and responses to monitoring reports</li> <li><input type="checkbox"/> Minutes of board action</li> <li><input type="checkbox"/> Examples of the process used to track participants and the services they received</li> <li><input type="checkbox"/> Documentation explaining how costs are determined for specific program services</li> <li><input type="checkbox"/> Check writing process for support services provided with CSBG funds.</li> <li><input type="checkbox"/> Case files (manual or electronic) used to determine income eligibility</li> <li><input type="checkbox"/> Action plans used to address areas of weakness</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Designation and Re-designation of Eligible Entities

**Purpose:** To determine if the State has procedures to designate and re-designate eligible entities.

**Program Requirements:** The State ensures that all geographical areas have access to CSBG program services. The State has procedures for soliciting applications to designate a new eligible entity. When a State eligible entity is terminated, services are available from an eligible entity contiguous to or within a reasonable proximity to the un-served area. Individuals from that un-served area are encouraged to serve and participate on the newly designated eligible entity board. The State requires newly designated eligible entities to demonstrate effectiveness in meeting the goals and purpose of the CSBG program and to complete a community needs assessment. The State gives eligible entities that provide related services in the un-served areas priority consideration in assisting the un-served area. When no qualified organization is in the area, the State designates a political subdivision (i.e., county govt.) of the State to serve as an eligible entity for the areas.

**Question 1:** Did the State provide specific details regarding procedures for the designation and re-designation of eligible entities.

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676A - Designation and Re-designation of Eligible Entities in Un-served Areas</p> <p>Section 678C - Corrective Action, Termination and Reduction in Funds</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Needs Assessment</b> - documentation of a community's unmet needs for services.</li> <li><input type="checkbox"/> <b>Records</b> - documentation of the State's procedures and guidelines for designation and re-designation of eligible entities.</li> <li><input type="checkbox"/> <b>Notices</b> - Documentation of the State's procedures to inform an entity of a deficiency, the requirements for correcting the deficiency, use of the training and technical assistance option and/or the Quality Improvement Plan (QIP) option.</li> <li><input type="checkbox"/> <b>Correspondence</b> - letters notifying eligible entities of an opportunity for a hearing. Letters of termination to eligible entities.</li> <li><input type="checkbox"/> <b>Report to Secretary</b> - documentation stating the reasons for an eligible entities' de-designation.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Samples of the State's Community Needs Assessments</li> <li><input type="checkbox"/> Sample of the State's policy and procedures for the designation of an eligible entity</li> <li><input type="checkbox"/> State documents informing eligible entities of deficiency statuses and procedures to correct deficiencies</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Tripartite Board

**Purpose:** To determine the process through which the State ensures that each eligible entity has a functioning tripartite Board.

<sup>The</sup> **Program Requirements:** The State monitors all eligible entities to ensure the board is tripartite and fully participates in the development, planning, implementation, and evaluation of the programs to serve low-income communities.

**Question 1:** Did the State provide specific details regarding the administrative operations of the State CSBG program?

Statutory References	Critical Information	Examples of Supportive Information
Sec. 676B - Tripartite Board  <b>Information Memorandum # 82</b> 03-23-05 Tripartite Boards - Composition, Role and Responsibilities	<input type="checkbox"/> <b>Community Action Agency (CAA) Bylaws and CAA Minutes -</b> documentation of the <ul style="list-style-type: none"> <li>▪ board's policies</li> <li>▪ board's procedures</li> <li>▪ board's requirements</li> <li>▪ board's composition</li> <li>▪ board's functions</li> <li>▪ board's representation</li> </ul> <b>Board Monitoring Procedures -</b> <ul style="list-style-type: none"> <li>▪ board recruitment strategies</li> <li>▪ membership and termination policies</li> <li>▪ fiscal management reports</li> <li>▪ financial oversight practices</li> <li>▪ board training and technical assistance opportunities</li> <li>▪ board implementation of the community need's assessment</li> <li>▪ results of board planning and evaluations of CSBG-funded programs</li> <li>▪ board evaluations</li> </ul> <input type="checkbox"/> <b>Board Representation -</b> evidence of established procedures for low-income individuals to petition for adequate representation of low-income individuals on the board.	<input type="checkbox"/> State's monitoring tools  <input type="checkbox"/> State's policy and procedures manuals  <input type="checkbox"/> Community assessment of specific eligible entity  <input type="checkbox"/> Eligible entity's policy and procedures manuals
	<input type="checkbox"/> <b>Community Needs Assessment -</b> documentation of community needs assessments.	

## ADMINISTRATIVE OPERATIONS

### Corrective Actions: Termination and Reduction of Funding

<p><b>Purpose:</b> To determine that the State has developed and implemented corrective action procedures for eligible entities that comply with the terms and conditions of the State Plan and other performance objectives established by the State.</p>		
<p><b>Program Requirements:</b> The State has developed a protocol that addresses non-compliant eligible entities. Corrective actions are initiated promptly. The State has a formal method of informing the entity of the deficiency to be corrected. The State provides 60 days for the entity to correct the problem and submit a Quality Improvement Plan (QIP). Within 30 days after receiving a Quality Improvement Plan from a non-compliant entity, the State approves or rejects the QIP. If appropriate, the State offers training and technical assistance (T&amp;TA) to correct the deficiency. The State submits all T&amp;TA reports to the Office of Community Services. When T&amp;TA is insufficient, the State submits a report to OCS explaining the reasons for termination or funds reduction. If the entity does not correct the problem, the State provides the non-compliant entity the opportunity for a hearing.</p>		
<p><b>Question 1:</b> Did the State provide <u>specific</u> details regarding the administrative operations of the State CSBG program?</p>		
Statutory References	Critical Information	Examples of Supportive Information
<p>Sec.678C - Termination of or Reduction of Funding</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Eligible Entity Requirements</b> - documentation of standards, goals, or performance objectives established by the State for eligible entities.</li> <li><input type="checkbox"/> <b>Follow-up Reviews</b> - documentation of the State's follow-up review of entities that failed to meet the State' standards, goals and other requirements.</li> <li><input type="checkbox"/> <b>Monitoring Documents</b> - documentation of the State's reviews, reports, letters, emails, notices, Quality Improvement Plans (QIPs) or training and technical assistance opportunities in reference to the deficient entity. Evidence of a public hearing prior to the termination of an agency and redistribution of funds.</li> <li><input type="checkbox"/> <b>Records</b> - documentation of terminations and redistributions over the past three years.</li> <li><input type="checkbox"/> <b>Decisions Documents</b> - State letters to OCS concerning the initiation of proceeding to terminate or reduce the funding to an eligible entity.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Correspondence, notices, training and technical assistance opportunities from the State to eligible entities explaining the State's requirements</li> <li><input type="checkbox"/> State's monitoring of compliant eligible entities and entities at risk for failing to meet State CSBG requirements.</li> <li><input type="checkbox"/> State's monitoring records documenting results of follow-up reviews with at-risk eligible entities, including records of public hearings.</li> <li><input type="checkbox"/> State's monitoring records - signed, dated, review documents, reports, emails, letters, Quality Improvement Plans, and results of training and technical assistance opportunities for the State's eligible entities.</li> <li><input type="checkbox"/> State's monitoring records of terminations and redistribution of funds</li> <li><input type="checkbox"/> State's monitoring records - letters to OCS concerning the initiation of proceedings to terminate</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Prohibition of Political Activities

**Purpose:** To determine if the State ensures that CSBG funding is not used for political activities.

**Program Requirements:** The State educates and monitors eligible entities to ensure compliance with the prohibition against the use of CSBG program funds, services or personnel in support of political activities.

**Question 1:** Did the State provide specific details regarding the prohibition of political activities?

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 678F(b) - Prohibition of Political Activities</p> <p><b>Information Memorandum # 81</b> Updated Guidance on Voter Registration Activities 12-14-2004</p> <p>The COATES Human Services Reauthorization Act of 1998, P.L. 105-285 significantly revised the political activity provisions of the CSBG Act with the addition of 678F(b). This section declares that programs assisted with CSBG funds, "shall not be carried on in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel, in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election; or any voter registration activity."</p>	<p><input type="checkbox"/> <b>Political Activities</b> - Documentation of monitoring procedures to ensure that partisan political activity or any political activity associated with a candidate or in connection with an election is recognized as prohibited.</p> <p><input type="checkbox"/> <b>IM # 81</b> - documentation that Voter Registration Activities guidance is available to eligible entities.</p>	<p><input type="checkbox"/> CSBG State Plan - signed assurances</p> <p><input type="checkbox"/> Example of State - issued guidance to eligible entities regarding Voter Registration activities.</p>



## ADMINISTRATIVE OPERATIONS

### Request and Use of Waivers

<p><b>Purpose:</b> To determine that the State complies with the prohibition of funds for the purchase of land, improvement of land, construction, and permanent improvement of buildings</p>		
<p><b>Program Requirements:</b> The State issues guidance to educate eligible entities about the limitations on the use of CSBG funds. Requests for waivers submitted by the State to the Office of Community Services comply with the requirements defined in Information Memoranda numbers 3 and 91 and when extraordinary circumstances present themselves, the State submits a request for waiver to the Office of Community Services accordance with IMs # 3 and 91. The State is active in seeking alternative solutions to the problem presented by the entity prior to requesting a waiver.</p>		
<p><b>Question 1:</b> Did the State provide <u>specific</u> details regarding compliance with limitation of use of funds.</p>		
Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 678F(a)(1) and (2) - Limitations on use of funds</p> <p><b>Information Memoranda # 60</b> (2-6-2002) Duties and Interests with Respect to Property Purchased, Constructed, or Improved by An Eligible Entity Using Block Grant Funds Provided Under Public Law 105-285 Section 678(a)(1)&amp;(2) Limitations on Use of Funds and the Secretary's Rights to Waive the Prohibition</p> <p><b>Information Memoranda # 91</b> ( 9-29-04) Hurricane Katrina and Hurricane Rita CSBG Update <a href="http://www.acf.hhs.gov/ocs/programs/csbg/iim91.html">www.acf.hhs.gov/ocs/programs/csbg/iim91.html</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Waiver Request</b> - documentation of State's request to OCS for a waiver of the limitation on use of funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement of any other building or other facility. (Low-cost residential weatherization or energy related home repairs excluded).</li> <li><input type="checkbox"/> <b>Cost-benefit Analysis</b> - evidence of State's cost-benefit analysis in support of waiver request.</li> <li><input type="checkbox"/> <b>Extraordinary Circumstances</b> - documentation of State's guidance to eligible entities on waiver request procedures for justifiable waiver requests. Evidence of long-term direct benefits for the low-income population being served by a waiver request.</li> <li><input type="checkbox"/> <b>Monitoring Practices</b> - evidence of State's search for alternative sources of funding from other public programs designed for these purposes.</li> <li><input type="checkbox"/> <b>Funding Sources</b> - evidence of eligible entities' use of Community Development Block Grant funds or other funding sources for the purchase or improvement of land.</li> <li><input type="checkbox"/> <b>Impact</b> - documentation of the waiver's impact on the State's ability to accomplish the CSBG goals and objectives.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Waiver request from State</li> <li><input type="checkbox"/> Cost-benefit analysis document</li> <li><input type="checkbox"/> State's procedures guidance to eligible entities - State's policy on waiver requests.</li> <li><input type="checkbox"/> Evidence documenting the results of the State's efforts to seek alternative sources of funds for land.</li> <li><input type="checkbox"/> Evidence documenting the results of an eligible entity's efforts to seek alternative sources of funds for lands.</li> <li><input type="checkbox"/> Waiver impact Statements from the State or eligible entity.</li> </ul>

## ADMINISTRATIVE OPERATIONS

### Non-Discrimination Provisions

**Purpose:** To determine if the State complies with non-discrimination provisions.

**Program Requirements:** The State monitors eligible entities to ensure non-discrimination provisions training is current. The State has procedures for responding to allegations of discrimination and maintains records of actions in response to such allegations. The State monitors eligible entities to ensure hiring and non-discriminatory recruitments policies and practices are posted. Entities are held accountable by the State for violations of provisions.

**Question 1:** Did the State provide specific details regarding efforts to monitor non-discrimination provisions?

Statutory References	Critical Information	Examples of Supportive Information
Sec. 678F(c) - Nondiscrimination Provisions  Age Discrimination Act of 1975  American with Disabilities Act of 1990 678F(c)	<input type="checkbox"/> <b>Monitoring Procedures</b> - policies, guidelines or training on the rules prohibiting discrimination from program benefits covered by the CSBG Act based on race, color, national origin, sex, age or disability.  <input type="checkbox"/> <b>Letters of Complaint</b> - documentation of procedures for responding to allegations of discrimination. Records of actions taken in annual response to discrimination charges.  <input type="checkbox"/> <b>Training</b> - record of training or other monitoring procedures to prevent discriminatory practices.  <input type="checkbox"/> <b>Religious Organizations</b> - policies demonstrating State will consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the CSBG program.	<input type="checkbox"/> Examples of posted policies  <input type="checkbox"/> Examination of letters of complaint  <input type="checkbox"/> Examples of training offered to entities

**FINANCIAL OPERATIONS**

**Distribution of CSBG funds made available to Eligible Entities**

**Purpose:** To determine how the State assures that not less than 90% of the funds made available shall be used for the purposes of reducing poverty, revitalization of low-income communities and the empowerment of low-income families and individuals in rural and urban areas.

**Program Requirements:** States have well-defined policies and procedures that compliment the assurances.

**Question 1:** Did the State provide specific details regarding funds distribution?

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 675C (a)</b> Grants to Eligible Entities:</p> <ol style="list-style-type: none"> <li>1. 90% CSBG funds available to eligible entities</li> <li>2. Obligational authority</li> <li>3. Carry over policies</li> </ol> <p><b>Sec. 675 (b)(2)</b> -Administrative Funds Caps</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>State Plan</b> - documentation of the State's policies and procedures to assure that no less than 90% of CSBG funds are available to eligible entities for reducing poverty.</li> <li><input type="checkbox"/> <b>Obligation</b> - evidence that the State made funds available to eligible entities for the fiscal year and succeeding fiscal year.</li> <li><input type="checkbox"/> <b>\$55,000 or 5% Administrative Cap</b> - records documenting the State's administrative expenses. Documentation of the number of full time and part time CSBG staff. Records of the monitoring budget.</li> <li><input type="checkbox"/> <b>NASCSP Information Survey</b> - review of the State's information as reported in the Information Survey.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> CSBG operations manual</li> <li><input type="checkbox"/> Award letters</li> <li><input type="checkbox"/> Budget for Statewide activities/services</li> <li><input type="checkbox"/> Sample payments including FT/PT employees</li> <li><input type="checkbox"/> Travel expenses for monitoring activities</li> </ul>

## FINANCIAL OPERATIONS

### Fiscal Controls

**Purpose:** To determine the extent to which the State's oversight of the CSBG Program complied with federal laws and accounting standards.

**Program Requirements:** State policies and procedures support the establishment of fiscal controls and fund accounting procedures necessary to assure the proper disbursement of and accounting for Federal funds, including procedures for monitoring the funds provided under CSBG.

**Question 2:** Did the State provide specific details regarding fiscal controls and monitoring of funds?

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 678D (a) Fiscal Controls</b></p> <p><b>Sec. 678D (a)(1)(A) Monitoring Procedures</b></p> <p><b>Sec. 678D (a)(1)(D) Make appropriate records available for examination and or reproduction</b></p> <p><b>Information Memorandum # 49</b> 2-21-01 Guidance on CSBG Program Challenges, Responsibilities and Strategies for FY 2001-2003 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/documents/im49.html">www.acf.hhs.gov/programs/ocs/csbg/documents/im49.html</a></p> <p><b>Information Memorandum # 97</b> 10-10-06 Guidance on CSBG Requirement to Monitor Eligible Entities <a href="http://www.acf.hhs.gov/programs/cos/csbg/documents/im97.html">www.acf.hhs.gov/programs/cos/csbg/documents/im97.html</a></p> <p><b>Information Memorandum # 98</b> 03-01-07 CSBG Monitoring Schedule for FFY2007-2009 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/documents/im98.html">www.acf.hhs.gov/programs/ocs/csbg/documents/im98.html</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>General Ledger</b> - representative samples of general ledger activities.</li> <li><input type="checkbox"/> <b>Financial Accountability Training</b> - evidence of on-site reviews of eligible entities and their programs to ensure goals, standards and requirements established by the State are met. Evidence of financial accountability training opportunities available for eligible entities.</li> <li><input type="checkbox"/> <b>Financial Accountability</b> - for deficient eligible entities, records of follow-up reviews and results of training and technical assistance and QIPs to correct deficiencies related to financial accountability.</li> <li><input type="checkbox"/> <b>Records</b> - documentation of financial accountability training provided for eligible entities within the past 12 months.</li> <li><input type="checkbox"/> <b>Records</b> - documentation of fiscal policies, grants manual accounting procedures, accounting software, procurement policies, and bookkeeping system. Documentation of CAA financial reporting requirements and financial monitoring reports.</li> <li><input type="checkbox"/> <b>Monitoring Procedures Manual</b> - documentation of monitoring schedule. Monitoring reports, newly-designated eligible entity reports, follow-up reviews, corrective action plans and results, 262 reports.</li> </ul>	<p>Examples of:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Fiscal policies</li> <li><input type="checkbox"/> Grants manual/ accounting procedures</li> <li><input type="checkbox"/> Accounting software</li> <li><input type="checkbox"/> Bookkeeping system</li> <li><input type="checkbox"/> Procurement policies</li> <li><input type="checkbox"/> General Ledger activities</li> <li><input type="checkbox"/> Monitoring procedures manual</li> <li><input type="checkbox"/> Selected CAA reports</li> <li><input type="checkbox"/> Corrective actions plans</li> <li><input type="checkbox"/> 269 Reports</li> <li><input type="checkbox"/> OCS requested documentation</li> </ul>

## FINANCIAL OPERATIONS

### Audits and Inspections

**Purpose:** To determine the extent to which the State adheres to fiscal controls and audit requirements.

**Program Requirements:** State policies and procedures support the establishment of fiscal controls and fund accounting procedures necessary to assure the proper disbursement of and accounting for Federal funds, including procedures for conducting independent audits for funds provided under CSBG.

**Question 3:** Did the State provide specific details regarding conducting independent audits and inspections:

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 678(a)(2) Audits</b></p> <p><b>Sec. 678F Limitations On Use Of Funds</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Records</b> - documentation of independent audits conducted in accordance with the Independent Audit Act. Evidence that cost and accounting standards of the Office of Management and Budget are used to monitor the funds provided under the CSBG Act. Samples of CSBG expenditures.</li> <li><input type="checkbox"/> <b>A-133</b> - copies of the most recent A-133 Audits for the State and eligible entities. Documentation of actions taken for delinquent audits.</li> <li><input type="checkbox"/> <b>Findings</b> - documentation of audit findings, and reportable conditions. Evidence that the Chief Executive Officer of the State submitted a copy of an audit to any eligible entity that was the subject of the audit, at no charge.</li> <li><input type="checkbox"/> <b>Non-Compliance</b> - documentation of noncompliance issues and corrective actions plan for deficient eligible entities.</li> <li><input type="checkbox"/> <b>Unresolved negative findings</b> - documentation of eligible entities given an opportunity for a hearing conducted within the State. Documentation of proceedings to terminate the designation of an eligible entity or to reduce and entity's funding.</li> <li><input type="checkbox"/> <b>Funds Limitation</b> - evidence of State's guidance to eligible entities on CSBG statutes regarding construction of facilities, political activities and nondiscrimination policies.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Examples of Independent audits conducted in accordance with the Independent Audit Act</li> <li><input type="checkbox"/> Samples of A-133 audits</li> <li><input type="checkbox"/> Examples of delinquent audit procedures</li> <li><input type="checkbox"/> Repayment provisions policies</li> <li><input type="checkbox"/> Records of audit requirements for eligible entities</li> <li><input type="checkbox"/> Examples of non-compliance issues and documentation of actions</li> <li><input type="checkbox"/> Examples of reportable conditions - outcomes</li> <li><input type="checkbox"/> Examples of fraud reported - outcomes</li> <li><input type="checkbox"/> Examples of questioned cost reported and outcome of follow-up action</li> <li><input type="checkbox"/> General Ledger</li> </ul>

## PROGRAM OPERATIONS

### Use of Funds Section

**Purpose:** To determine the methods in which States use these funds and monitor the program activities that promote self-sufficiency among low-income families, individuals and communities.

**Program Requirements:** States have well-defined policies and procedures that compliment the assurances. CSBG program activities and services are diverse, yet align with the needs of low-income families, individuals, and communities. Monitoring eligible entities is critical in determining that the low-income target population is utilizing CSBG funds.

**Question 1:** Describe how the State complied with the use of CSBG funds and met the purpose and goals of the program.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 675C(a)(1) - Use of Funds Grant Management</b></p> <p><b>Sec. 672 - Purposes and Goals</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Monitoring Schedule</b> - examination of the State's monitoring schedule of eligible entities for the last three years</li> <li><input type="checkbox"/> <b>State Monitoring Tool</b> - documentation of the performance goals, financial management requirements, ROMA and other requirements established by the State for eligible entities.</li> <li><input type="checkbox"/> <b>Use of Funds</b> - examination of the planned use of funds. Documentation of how State funds were actually spent, including administrative costs and direct delivery of local services.</li> <li><input type="checkbox"/> <b>Community Action Plans &amp; Needs Assessments</b> - documentation of the State's process for securing a Community Action Plan with a community needs-assessment.</li> <li><input type="checkbox"/> <b>Reporting Requirements</b> - evidence of State's requirement that entities establish and implement procedures for a tripartite board, conduct a needs assessment, submit a CAP, participate in the ROMA system, form linkages with other programs, cooperate with Federal investigations, create effective service delivery systems, coordinate with other social service programs and provide for emergency food services.</li> <li><input type="checkbox"/> <b>CSBG Information Survey</b> - examination of the number and characteristics of clients served by the CSBG program based on data collected from eligible entities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Example of State organizational chart</li> <li><input type="checkbox"/> CSBG staff responsibilities document</li> <li><input type="checkbox"/> CSBG State budget &amp; award notification to eligible entity</li> <li><input type="checkbox"/> Monitoring Schedule for the past three years</li> <li><input type="checkbox"/> Eligible entities' applications and award letters</li> <li><input type="checkbox"/> Monitoring reports</li> <li><input type="checkbox"/> If finding or corrective action – status</li> <li><input type="checkbox"/> Records verifying program services</li> <li><input type="checkbox"/> Review Community Action Plan. Are the needs being achieved?</li> <li><input type="checkbox"/> Examples of innovative and diverse services</li> <li><input type="checkbox"/> Example of evidence-based practices</li> <li><input type="checkbox"/> Process documenting how the State verified/verifies the Results Oriented Management and Accountability data</li> <li><input type="checkbox"/> Reports submitted from eligible entities</li> </ul>

**PROGRAM OPERATIONS**

**Discretionary Use of Funds**

**Purpose:** To determine the extent to which States utilize up to 5% of their CSBG Discretionary activity funds, as allowed in the CSBG statute, to support innovative and neighborhood-based initiatives that impact poverty and coordinate with other State programs to ensure collaboration of services and other similar activities.

**Program Requirements:** CSBG discretionary funds allow States to support innovative community and neighborhood-based initiatives. The methods the State uses to expend CSBG funds and monitor eligible entities can strongly influence whether the CSBG program achieves its intended outcomes. The diversity that exists among low-income individuals, families, and communities requires diversity in programming.

**Question:** Describe how the State determined its use of discretionary funds.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676C(b)(1)</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Discretionary Funds</b> - documentation describing how the State made discretionary funds available from the remainder of the grant. (Not applicable to States with statutes which do not allow for Discretionary funding.)</li> <li><input type="checkbox"/> <b>Innovation</b> - documentation describing how the State supported innovative community and neighborhood-based initiatives with discretionary funds.</li> <li><input type="checkbox"/> <b>ROMA</b> - evidence that Statewide activities, and service delivery systems are based on needs assessments, have performance goals, coordinate with other programs, limit duplication and are managed and evaluated for results.</li> <li><input type="checkbox"/> <b>Use of Funds</b> - Examination of the State Plan for the planned use of funds by each State and eligible entity. Documentation of how funds were actually spent in the State, including administrative costs and on the direct delivery of local services.</li> <li><input type="checkbox"/> <b>Community Action Plan (CAP).</b></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Review budget and expenditures for limitations in the statute</li> <li><input type="checkbox"/> Evaluate methodology used to distribute funds – analyze distribution process – is it meeting the greatest need?</li> <li><input type="checkbox"/> Record of outcomes achieved through Statewide activities that increased access to services in the service area</li> <li><input type="checkbox"/> Examples of ways the State’s activities increased diversity among services</li> <li><input type="checkbox"/> Examples of Statewide coordination and communication</li> <li><input type="checkbox"/> Examples of the process States used which supports coordination with other State programs and services</li> <li><input type="checkbox"/> Results of State’s asset-building programs such as IDA for effectiveness</li> <li><input type="checkbox"/> Examples of data supported by results-based evidence</li> <li><input type="checkbox"/> Examples of past initiative(s) success.</li> <li><input type="checkbox"/> Examples of verified collaborative approaches within the communities</li> <li><input type="checkbox"/> Examples of outcomes of first hand partnerships</li> <li><input type="checkbox"/> Examples of the State’s process to measure outcomes when using the discretionary funds</li> <li><input type="checkbox"/> Samples of media documents that demonstrate results</li> <li><input type="checkbox"/> Sample of community needs assessments and CSBG program outcomes</li> <li><input type="checkbox"/> Examples of outcomes of other Statewide CSBG activities</li> </ul>

**PROGRAM OPERATIONS**

**Linkages & Coordination (Between Programs to Assure Employment and Training Activities/LIHEAP & Others)**

**Purpose:** To determine how States demonstrate encouragement of coordination and linkages between Federal, State or local social service programs which target low income populations to assist them in achieving self sufficiency.

**Program Requirements:** The State provides evidence of formal and informal agreements that stimulate coordination and linkages. The State has established linkages with other social services programs to assure the effective delivery of services to low-income individuals. Policies and procedures are established to avoid duplication of services.

**Question:** Describe how the State and eligible entities coordinate and develop linkages.

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676(b)(5) Linkages &amp; Coordination</p> <p>Sec. 676(b)(6) Low Income Home Energy Assistance Program (LIHEAP)</p> <p>Sec. 676(b)(9) Other Organizations</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Linkages</b> - evidence of new partners, new partnerships, and newly coordinated service delivery systems resulting from State's efforts to stimulate coordination and linkages within the CAA system.</li> <li><input type="checkbox"/> <b>Organization Coordination</b> - evidence of agreements that establish linkages, partnerships or collaborations with other social service program providers, (i.e., Memoranda of Understanding (MOU)).</li> <li><input type="checkbox"/> <b>Workforce Investment Act</b> - evidence of State agreement(s) with WIA, which determine to what extent cooperation and linkages are developed and nurtured</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Description of the linkages established with other social services programs to determine their effectiveness in the delivery of services for the low-income population</li> <li><input type="checkbox"/> Examples of procedures created to prevent duplication of services</li> <li><input type="checkbox"/> Policies used to coordinate the provision of employment and training specifically to WIA at the State and eligible entity levels</li> <li><input type="checkbox"/> Verification procedures that allow the State to determine that the eligible entities are working with the WIA One Stop programs?</li> <li><input type="checkbox"/> Examples of the written CSBG services eligibility and document verification policies and procedures</li> <li><input type="checkbox"/> Examples of any media which demonstrates effective coordination and linkages within the service areas</li> <li><input type="checkbox"/> Examples of collaboration - One-Stop application process used for the various program services provided examples of outcome improvements resulting from religious, charitable and community organization linkages.</li> </ul>



## PROGRAM OPERATIONS

### Community Action Plan

**Purpose:** To determine if the State is ensuring the establishment of a comprehensive Community Action Plan which includes a needs assessment of the community that assists service agencies in knowing what the needs of the community are in order to develop a strategic plan of development to address those needs.

**Program Requirements:** The characteristics and needs of communities are diverse. The community needs assessment is a tool used to assess the needs of low-income individuals, families, and communities. A comprehensive Community Action Plan should take into consideration needs assessments from all other programs that provide social service within the community. States should ensure that the Community Action Plan and community needs assessment accurately represent the demographics and interests of the community and its residents. Eligible entities need to ensure that the Community Action Plans are current and updated on a regular basis.

**Question 1:** Describe how outcomes are measure based on the needs identified in the Community Action Plans (CAP).

Statutory References	Critical Information	Examples of Supportive Information
676(b)(11) - Community Action Plan	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Collection Procedure</b> - description of the procedure established by the State for obtaining Community Action Plans (with community needs assessments) from the eligible entities.</li> <li><input type="checkbox"/> <b>CAP Integration</b> - examples of State's coordinating information from CAP needs assessments with needs assessments conducted for other programs. Examples of expansion in State's service delivery systems, new partnerships or financial improvements.</li> <li><input type="checkbox"/> <b>CAP Review</b> - documentation describing the State's review process for Community Action Plans.</li> <li><input type="checkbox"/> <b>CAP Approval</b> - documentation describing the State criteria for approving the Community Action Plan of eligible entities.</li> <li><input type="checkbox"/> <b>CAP Assistance</b> - evidence of training opportunities available to eligible entities for learning to create outcome measures that promote self-sufficiency, family stability and community revitalization.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> State organizational chart</li> <li><input type="checkbox"/> Staff listing with staff titles</li> <li><input type="checkbox"/> Community Action Plan outcomes</li> <li><input type="checkbox"/> Examples of the methodology used to develop the needs assessment and the implementation of the needs assessment to manage CSBG services.</li> <li><input type="checkbox"/> Examples of CSBG's impact</li> <li><input type="checkbox"/> Geographic Information System (GIS) – map of service area(s)</li> </ul>

## PROGRAM OPERATIONS

### Nutritional Services

**Purpose:** Hunger and malnutrition are obstacles to a family or individual's ability to become self-sufficient. Before individuals and families address the need for job training or school, the need for food must be satisfied. Coordination and linkages with other programs that provide, on an emergency basis, for the provision of food supplies and immediate related services are an elemental part of a successful Community Action Plan.

**Program Requirements:** Development of an action plan for those families and individuals who seek out nutritional services is critical for those who are seeking self-sufficiency. Families and individuals living in poverty can experience conditions of starvation and malnutrition. Providing this population with nutritious foods, nutrition education, shopping techniques, assistance in growing your own food gardens, etc. meets a basic need and increases the likelihood of their participation in activities leading to self-sufficiency (e.g. employment, education).

**Question 1:** Demonstrate how States determine that eligible entities have effective nutritional programs in operations.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676(b)(4) - Nutritional Services</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Poverty Assessments</b> - documentation of State's methods for ensuring that services are provided to qualifying low-income families and individuals.</li> <li><input type="checkbox"/> <b>Plan Implementation</b> - examples of State's strategies to counteract conditions of starvation and malnutrition among low-income individuals. Documentation describing emergency food provisions plan –qualifications, limitations, evaluations, and coordination with other programs.</li> <li><input type="checkbox"/> <b>Prevention Strategies</b> - description of State's strategies to reduce reliance on nutritional services.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Examples of case files to determine income eligibility</li> <li><input type="checkbox"/> Examples of educational programs that address malnutrition.</li> <li><input type="checkbox"/> Processes in place to determine how nutritional services are provided</li> <li><input type="checkbox"/> USDA documents certifying health code compliance for food banks</li> <li><input type="checkbox"/> Examples of service coordination and service delivery which prevent service duplication and/or improve client outcomes</li> </ul>

**PROGRAM OPERATIONS**

**Emergency Services**

**Purpose:** Emergency services combat the many kinds of crisis that disproportionately endanger the poor. Families in desperate circumstances often come first to their local Community Action Agency. Crisis management services, together with information about opportunities or prompt referral, can help families stabilize their situation and avoid major setbacks on in their effort to move towards self-sufficiency.

**Program Requirements:** The State monitors eligible entities to ensure appropriate emergency services are provided based on a community needs assessment. Agencies establish linkages with other services and organizations to assemble a combination of short-term resources and longer-term support. Examples of emergency services may include emergency temporary housing; rental or mortgage assistance and intervention with landlords; cash assistance for short-term loans; energy crisis assistance and utility shut-off prevention; emergency food, clothing and furniture; crisis intervention in response to child or spousal abuse; emergency heating system repair; crisis intervention hotlines; and natural disaster planning, preparation, and response to help all affected citizens.

**Question 1:** Demonstrate how States determine that eligible entities have effective emergency services programs in operations.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676(b)(1)(A)(vi) - Emergency Services</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Community Assessments</b> - documentation of State's methods for ensuring that services are provided to qualifying low-income families and individuals.</li> <li><input type="checkbox"/> <b>Plan Implementation</b> - examples of State's strategies to respond to the need for emergency services. Documentation describing emergency services provision plan –qualifications, limitations, evaluations, and coordination with other programs.</li> <li><input type="checkbox"/> <b>Prevention Strategies</b> - description of State's strategies to reduce reliance on emergency services.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Examples of case files to determine income eligibility</li> <li><input type="checkbox"/> Examples of educational programs that address financial planning, child and spousal abuse prevention and education and emergency preparedness response education</li> <li><input type="checkbox"/> Processes in place to determine how emergency services are provided</li> <li><input type="checkbox"/> Examples of service coordination and service delivery which prevent service duplication and/or improve client outcomes</li> </ul>

## PROGRAM OPERATIONS

### Performance Measurement (Results-Oriented Management and Accountability (ROMA) System)

**Purpose:** To determine the manner in which States use CSBG funds, monitor program activities, and measure performance and outcomes to indicate whether the CSBG program will achieve its intended outcomes, and is consistent with ROMA and national goals.

**Program Requirements:** The State participates in the Results Oriented Management and Accountability System (ROMA) to measure performance and results that meet the requirements of the CSBG program. The State provides performance measurement and results oriented training opportunities for eligible entities. State data collection, tracking and verification procedures ensure information can demonstrate outcomes achieved with CSBG funds. Performance outcomes are used to plan strategies for future program improvements. The State uses outcomes information to identify resources needed to improve program performance and uses the results of data collection to assist eligible entities with their service planning. States and eligible entities demonstrate the ability to report on program results that measure progress and can be validated. The State share data outcomes with NASCSP and submits reports as required.

**Question:** Demonstrate how the State reported on the performance and outcomes of expended CSBG program funding.

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676E(a)(1) - Performance Measurement</b></p> <p><b>Information Memorandum # 49</b> - State's Requirements to Monitor Entities.</p> <p><b>ROMA National Goals</b></p> <p><b>Goal 1:</b> Low income people become more self-sufficient.</p> <p><b>Goal 2:</b> The conditions in which low-income people live are improved.</p> <p><b>Goal 3:</b> Low income people own a stake in their community.</p> <p><b>Goal 4:</b> Partnerships among supporters and providers of services to low-income people are achieved.</p> <p><b>Goal 5:</b> Agencies increase their capacity to achieve results.</p> <p><b>Goal 6:</b> Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>ROMA and National Goals</b> - documentation of State's monitoring goals and objectives which inform program evaluation, monitoring and oversight and ensure eligible entities' compliance with Federal and State statutes, laws, policies and procedures.</li> <li><input type="checkbox"/> <b>CSBG Information Survey Data</b> - documentation of State's procedures to ensure full participation with the Survey and of policies to safeguard against incomplete data.</li> <li><input type="checkbox"/> <b>State Data Collection and Tracking Systems</b> - Evidence of the State's ability to collect and track information that can demonstrate the outcomes achieved with CSBG funds. Evidence of oversight procedures to review data collection, data tabulation and data verification methods used by eligible entities</li> <li><input type="checkbox"/> <b>Partnerships</b> - documentation of State's partnerships to advance ROMA performance-based concepts among eligible entities through planning, analysis and resource mobilization. Evidence of State and Association-sponsored assistance with training/technical assistance in areas such as governance, management, service delivery and program operation.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Data verification policies</li> <li><input type="checkbox"/> Examples of eligible entities' methods to gather data</li> <li><input type="checkbox"/> Examples of eligible entities' information verification policies or practices</li> <li><input type="checkbox"/> Examples of the State's method for tabulating the data from each eligible entity</li> <li><input type="checkbox"/> Records of the type of training provided to the eligible entities on ROMA</li> <li><input type="checkbox"/> Records on the process of gathering and inputting of data</li> <li><input type="checkbox"/> Documents and records used by management for data collection and verification</li> </ul>

**PROGRAM OPERATIONS**

**Annual Report**

**Purpose:** To ensure that States comply with accountability and reporting requirements that is due to National Association of State Community Services Programs (NASCS) at the end of each fiscal year.

**Program Requirements:** Standardize methods of data collection, reporting measurable outcomes, and submission of report per the deadline. NASCS compiles this information to produce the CSBG Report to Congress by contract as mandated in the CSBG Act.

**Question:** Determine how the State analyzed data for submission into report, including:

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676E(a)(2) -Annual Report</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Annual Report</b> - documentation of the State's annual report containing a summary of the evaluations required in subsection (b) and a listing off all activities assisted under this section.</li> <li><input type="checkbox"/> <b>National Goals</b> - documentation on the State's procedure to ensure eligible entity's compliance with the National Goals and outcome measures.</li> <li><input type="checkbox"/> <b>Training and Technical Assistance</b> - documentation of eligible entity training</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Records that identify the strategy each eligible entity uses to verify information</li> <li><input type="checkbox"/> Outcomes documents that demonstrate the difference between the planned vs. actual uses of funds</li> <li><input type="checkbox"/> State and eligible entity correspondence documenting the procedural guidance on National Goals and outcomes measures</li> <li><input type="checkbox"/> Training and technical assistance documents or records relating to outcomes, measures, national goals</li> <li><input type="checkbox"/> Records of processes for data gathering, recording and reporting</li> <li><input type="checkbox"/> State and eligible entity reports, publications, newsletters, awards etc.</li> <li><input type="checkbox"/> Other documents and records used by management for data collection and verification</li> </ul>

## PROGRAM OPERATIONS

### Child Support Services and Referrals

**Purpose:** Custodial parents in single-parent families need to be informed of their options as they relate to child support services such as locating non-custodial parents, establishing paternity, establishing support orders, collecting support payments, and services for Non-Custodial parents.

**Program Requirements:** Establish a referral system for single parents who need assistance from the local child support office. Provide training for single parents on their options as it relates to child support issues.

**Question:** Determine the process used to refer single-parents to local child support office, including;

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676G(b) - Child Support Services and Referrals</b></p>	<p><input type="checkbox"/> <b>Child Support Policies</b> - documentation of policies to guide eligible entities regarding child support issues.</p>	<p><input type="checkbox"/> Examples of policies and procedures for the child support referral process</p> <p><input type="checkbox"/> Examples of State's safeguards to substantiate proper child support services and referrals are conducted</p> <p><input type="checkbox"/> Records of the State's follow - up process after referrals have been conducted</p>

**CONTACT INFORMATION****PROGRAM REPRESENTATIVE** \_\_\_\_\_**TITLE** \_\_\_\_\_**PHONE NUMBER** \_\_\_\_\_ **FAX** \_\_\_\_\_**EMAIL** \_\_\_\_\_**STATE** \_\_\_\_\_ **DATE COMPLETED** \_\_\_\_\_**ALTERNATE CONTACT** \_\_\_\_\_**TELEPHONE NUMBER** \_\_\_\_\_**EMAIL** \_\_\_\_\_**PROGRAM WEBSITE** \_\_\_\_\_

**Alternative contact is person responsible for completing this form.**