



State of Ohio

2018–2019

Community Services Block Grant State Plan

Prepared by:
Ohio Development Services Agency
Community Services Division
Office of Community Assistance

August 2017



**Development
Services Agency**

John R. Kasich, Governor

David Goodman, Director



Ohio Development Services Agency: Summary of Changes

U.S. Department of Health and Human Services
Community Services Block Grant 2018-2019 State Plan Application

Section 3: State Plan Development and Statewide Goals

Feedback received from stakeholders:

- Additional opportunities for training specific to CSBG should be included as part of a statewide initiative.

Changes made to the CSBG State Plan:

- An additional goal was added to the current three goals: “(ODSA will) Provide training and technical assistance to Ohio CAAs on the development of the Community Action Plan (CSBG Grant Application) and understanding of Results Oriented Management and Accountability principals”.
- The plan was updated to reflect the steps ODSA took to involve eligible entities in the development of the CSBG State Plan (i.e. public/legislative hearing, listening sessions, online survey etc).
- Adjusted the entity satisfaction target score to “80”.

Section 4: CSBG Hearing Requirements

Feedback received from stakeholders:

- Additional opportunities for stakeholders to provide feedback on the development of the CSBG State Plan prior to the plan being drafted.

Changes made to the CSBG State Plan:

- The section was updated with the information on the public and legislative hearing held in 2016 prior to the CSBG State Plan being drafted.

Section 5: CSBG Eligible Entities

Feedback received from stakeholders:

- N/A

Changes made to the CSBG State Plan:

- Updated the organization names for “West Ohio CAP” and “Bridges Community Action Partnership”.

Section 6: Organizational Standards for Eligible Entities

Feedback received from stakeholders:

- More time is needed to respond to a “not met” finding for the CSBG Organizational Standards.

Changes made to the CSBG State Plan:

- Additional narrative was included to describe the process for monitoring the organizational standards. This includes how the monitoring tool is left with the agency after a monitoring visit allowing the agency additional time to obtain documentation for any standards not met, and transparency for what to anticipate when receiving in a monitoring visit.

Section 7: State Use of Funds

Feedback received from stakeholders:

- Funding for technical and training assistance and clarity on how to apply for those funds.
- The CSBG grant application process is not clear, the system is not user friendly and the process is time consuming.

Changes made to the CSBG State Plan:

- Previously 91% of funds were allocated via the formula allocation. For the 2018-2019 CSBG State Plan, 90% of funds will be allocated to eligible entities via the base and formula allocation and the remaining 1% will be allocated to eligible entities (via an application process) to be used for training and technical assistance.
- ODSA will be adjusting the CSBG grant application process in response to feedback received from eligible entities and in order to meet requirements of the newly approved Federal Annual Report.

ODSA Program Administration Changes:

- The ODSA will provide instruction to eligible entities during the 2018-2019 program year for the CSBG T&TA application process.

Section 8: State Training and Technical Assistance

Feedback received from stakeholders:

- To provide additional training opportunities on the CSBG grant application, CSBG administration, and Results Oriented Management Accountability (ROMA).
- An updated/revised CSBG policy and procedure Manual.

ODSA Program Administration Changes:

- Training on the revised CSBG grant application is tentatively scheduled for September of 2017.
- During the 2018-2019 grant period, ODSA will work eligible entities to assess needs for ROMA Implementer training and will partner with the national entities to plan and coordinate a training opportunity.
- The ODSA is in the process of updating the CSBG policy and procedures manual. The tentative release of the manual will be during the 2018-2019 grant period.

Section 9: State Linkages and Communication

Feedback received from stakeholders:

- The ODSA should work to enhance partnerships with state agencies in order to encourage partnerships with local agencies administering comparable programs.
- Additional means to obtain resource materials from the ODSA.

Changes made to the CSBG State Plan:

- The narrative was updated to include information on the ODSA's effort to engage in a memorandum of understanding with multiple state agencies an effort to better coordinate services under programs such as the Supplemental Nutrition Assistance Program and the Workforce Innovation and Opportunity Act.
- The narrative requesting information on the coordination among the State Association, eligible entities and the State was updated to include the recently convened working group with 11 CSBG Coordinators from eligible entities throughout Ohio. This working group provided feedback on the development of the CSBG Grant Application (Community Action Plan) and on developing training materials for the newly revised grant application.
- The ODSA is in the process of developing a "provider website" for eligible entities to easily obtain CSBG administration materials.

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: OHIO

Report Name: Model State Plan(CSBG)

Report Period: 10/01/2017 to 09/30/2018

Report Status: Saved -- Validated

Report Sections>

1. CSBG Cover Page (SF-424M)	2
2. Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter	4
3. Section 2: State Legislation and Regulation	5
4. Section 3: State Plan Development and Statewide Goals	6
5. Section 4: CSBG Hearing RequirementsÂ	8
6. Section 5: CSBG Eligible Entities	9
7. Section 6: Organizational Standards for Eligible Entities	12
8. Section 7: State Use of Funds	14
9. Section 8: State Training and Technical Assistance	18
10. Section 9: State Linkages and Communication	19
11. Section 10: Monitoring, Corrective Action, and Fiscal Controls	22
12. Section 11: Eligible Entity Tripartite Board	25
13. Section 12: Individual and Community Eligibility Requirements	26
14. Section 13: Results Oriented Management and Accountability (ROMA) System	27
15. Section 14: CSBG Programmatic Assurances and Information Narrative	28
16. Section 15: Federal CertificationsÂ	31

CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)				Form Approved OMB No: 0970-0382 Expires: 08/31/2016	
COVER PAGE					
* 1.a. Type of Submission: Plan		* 1.b. Frequency: Other (2 Year)		* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	
		2. Date Received:		* 1.d. Version: Initial	
		3. Applicant Identifier:		State Use Only:	
		4a. Federal Entity Identifier:			
		4b. Federal Award Identifier:		5. Date Received By State:	
				6. State Application Identifier:	
7. APPLICANT INFORMATION					
* a. Legal Name: Ohio					
* b. Employer/Taxpayer Identification Number (EIN/TIN): 31-1334820				* c. Organizational DUNS: 808847743	
* d. Address:					
* Street 1:	77 South High		Street 2:	P.O. Box 1001	
* City:	Columbus		County:	Franklin	
* State:	Oh		Province:		
* Country:	United States		* Zip / Postal Code:	43216 - 1001	
e. Organizational Unit:					
Department Name: Ohio Development Services Agency				Division Name: Office of Community Assistance	
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	* First Name: Megan		Middle Name:		* Last Name: Meadows
Suffix:	Title: Assistant Deputy Chief		Organizational Affiliation: Office of Community Assistance		
* Telephone Number: (614) 466-4394	Fax Number		* Email: megan.meadows@development.ohio.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 Community Services Block Grant					
12. Areas Affected by Funding: Entire State of Ohio					
13. CONGRESSIONAL DISTRICTS OF:					
* a. Applicant 03			b. Program/Project: Community Services Block Grant		
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? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	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.	

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:08/31/2016	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.			
1.1a. Lead agency	Ohio Development Services Agency		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Community Services Department			
1.1c. Division, bureau, or office of the CSBG authorized official	Director's Office		
1.1d. Authorized official of lead agency	Matthew Peters		
1.1e. Street Address	PO Box 1001, 77 South High Street		
1.1f. City	Columbus	1.1g. State OH	1.1h. Zip 43216
1.1i. Telephone number and extension (614) 466 - 8737 ext.		1.1j. Fax number: (614) 466 - 0829	
1.1k. Email address Matthew.Peters@development.ohio.gov		1.1l. Lead agency website http://development.ohio.gov/	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Ohio Development Services Agency		
1.2b. Name of the point of contact	Megan Meadows		
1.2c. Street address	PO Box 1001, 77 South High Street		
1.2d. City	Columbus	1.2e. State OH	1.2f. Zip 43215
1.2g. Point of contact telephone number (614) 728 - 0961 ext.		1.2h. Fax number (614) 466 - 6267	
1.2i. Point of contact email address Megan.meadows@development.ohio.gov		1.2j. Point of contact agency website http://development.ohio.gov/	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

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

Form Approved
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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? ☒ Yes ☐ No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? ☒ Yes ☐ No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

Ohio Revised Code 122.68 provides authority for the State of Ohio to "administer all federal funds appropriated to the state from the "Community Services Block Grant Act.....and comply with requirements imposed by that act in its application for, and administration of, the funds;

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes ☒ No

2.4b. Did the State establish or amend regulations for CSBG last year? ☐ Yes ☒ No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? ☒ Yes ☐ No

Section 3: State Plan Development and Statewide Goals

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

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

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

The Ohio Development Services Agency (ODSA) is committed to creating jobs and building strong communities, while ensuring accountability and transparency of taxpayer money and exceptional customer service. The ODSA's Office of Community Assistance (OCA) administers the Community Services Block Grant (CSBG), the Home Energy Assistance Program (HEAP) including the Summer and Winter Crisis Programs, the Home Weatherization Assistance Program (HWAP) and the electric Percentage of Income Payment Plan (PIPP) Plus, and its companion Electric Partnership Program (EPP). Additionally, the OCA administers programs to achieve the State of Ohio comprehensive energy policy such as the State Energy Program. Housed within the Community Services Division, the OCA coordinates its programs to form a comprehensive strategy to build stronger families and communities throughout Ohio.

3.2. State Plan Goals:

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

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

1. Support Ohio CAAs in meeting all organizational standards 2. Provide training and information to support better formation, understanding of responsibilities and accountability among CAA tri-partite boards 3. Provide training and technical assistance to Ohio CAAs on the development of the Community Action Plan (CSBG Grant Application) and understanding of Results Oriented Management and Accountability principals and, 4. Improve customer service to Ohio CAAs and CSBG recipients

3.3. State Plan Development:

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

3.3a. Analysis of *[Check all that apply and narrative 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)



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

Survey of Ohio Eligible Entities and listening sessions

3.3b. Consultation with *[Check all that apply and narrative where applicable]*



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



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe) State Association, State Departments of: Higher Education, Aging, Governor's Office of Faith-Based and Community Initiatives, Office of Workforce Development at Ohio Dept. of Job and Family Services, Ohio Association of Foodbanks, and The Breathing Association.



National organizations (describe)



Federal Office of Community Services



Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

The ODSA began seeking feedback from eligible entities on the development of the CSBG State Plan in January 2016 during the Ohio Association of Community Agency's (OACAA) winter conference. Additional listening sessions were held in July 2016 during the Summer OACAA conference, annual Corporation for Ohio Appalachian Development in August 2016 and during the winter OACAA conference in January 2017. These listening sessions provided an informal opportunity for eligible entities to discuss each section of the 2016-2017 State Plan in preparation for the 2018-2019 State Plan. ODSA held a public legislative hearing in August 2016 in an effort to solicit additional feedback on the development of the State Plan. ODSA created an online survey in February 2017, in an effort to broaden the outreach efforts and provide additional opportunities for feedback from eligible entities. This survey was sent to all Ohio Community Action Agency's Executive Directors and those identified as the CSBG Coordinator. The survey contained questions from each section of the State Plan. Responders either ranked items by importance or described the desired change to the current state plan. ODSA conducted one CSBG Advisory Committee meeting in May 2017. The CSBG Advisory Committee is comprised of eligible entities representing each of Ohio's five regions and community agencies that also serve CSBG eligible customers. The Advisory Committee meeting was held prior to drafting the State Plan. This allowed committee members to provide feedback during the development process. ODSA conducted one final informal listening session during the July 2017 summer OACAA conference. This session focused on the draft 2018-2019 State Plan and highlighted changes from previous years, and requested any additional feedback. A public hearing was held on August 1, 2017 as another opportunity for the community to provide feedback on the draft State Plan.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and
- 2) to 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.

(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form)

Based on feedback received from eligible entities via the American Customer Satisfaction Index survey, ODSA began soliciting feedback from eligible entities and the community prior to the plan being drafted. As reported in question 3.4a, ODSA provided opportunities for eligible entities and the community to give feedback on the current 2016-2017 State Plan in preparation for drafting the 2018-2019 State Plan. These opportunities included informal listening sessions, public and legislative hearings, a CSBG Advisory Committee meeting and an online survey. Based on the feedback, ODSA has adjusted the state- wide goals to include a goal related to providing technical training and assistance for the administration of CSBG (and ROMA).

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's **target** for eligible entity Overall Satisfaction during the performance period: **80**

(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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

Form Approved
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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

Prior to the CSBG Public Hearing, a copy of the draft plan is provided to each local agency for review and feedback and display in their lobbies along with a notice of the hearing and how agency customers or other stakeholders can provide input. The draft plan is also posted on the ODSA website.

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.

A formal notification of the hearing was released by ODSA in advance of the hearing and the date of the hearing is also posted on the public ODSA calendar. Notification of the date, time and location was also sent to eligible entities and announced during the summer OACAA conference. ODSA administered the Low-Income Home Energy Assistance Program that also conducts a public hearing seeking input on the LIHEAP State Plan. New this year, ODSA held both public hearings on the same day in the same location, one immediately after the other concluded. This was done in an effort to make it easier for those traveling to still provide meaningful feedback on both programs that serve overlapping populations.

4.3. Public and Legislative Hearings:

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.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing [Select an option]
1	08/01/2017	State Library of Ohio, 274 E. 1st Ave, Cols, OH 43201	Public
2	08/19/2016	Vern Riffe Building, 77 South High St. Columbus, Ohio	Combined

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

Documentation including copy of the agenda, attendance sheet, written and verbal testimony and a transcript of the public hearing are attached.

Section 5: CSBG Eligible Entities

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

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

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	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Adams/Brown Counties Economic Opportunities, Inc.	Nonprofit	Community Action Agency (CAA)	Adams County Brown County	
2	West Ohio CAP	Nonprofit	Community Action Agency (CAA)	Allen County Auglaize County Mercer County	
3	Kno-Ho-Co-Ashland Community Action Commission	Nonprofit	Community Action Agency (CAA)	Ashland County Holmes County Knox County	
4	Ashtabula County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Ashtabula County	
5	Hocking, Athens, Perry Community Action	Nonprofit	Community Action Agency (CAA)	Hocking County Perry County Athens County	
6	Community Action Commission of Belmont County	Nonprofit	Community Action Agency (CAA)	Belmont County	
7	Supports to Encourage Low-income Families, Inc. (SELF)	Nonprofit	Community Action Agency (CAA)	Butler County	
8	Har-Ca-Tus Tri-County Community Action Organization	Nonprofit	Community Action Agency (CAA)	Harrison County Carroll County Tuscarawas County	
9	Opportunities Industrialization Center of Clark County	Nonprofit	Community Action Agency (CAA)	Clark County	
10	Clermont County Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Clermont County	
11	Clinton County Community Action Program	Nonprofit	Community Action Agency (CAA)	Clinton County	
12	Community Action Agency of Columbiana County, Inc.	Nonprofit	Community Action Agency (CAA)	Columbiana County	
13	Ohio Heartland Community Action Commission (OHCAC)	Nonprofit	Community Action Agency (CAA)	Crawford County Marion County Morrow County	
14	Council for Economic Opportunities in Greater Cleveland	Nonprofit	Community Action Agency (CAA)	Cuyahoga County	
15	Community Action Partnership of the Greater Dayton Area	Nonprofit	Community Action Agency (CAA)	Darke County Greene County Montgomery County Preble County Warren County	
16	Northwestern Ohio Community Action Commission, Inc.	Nonprofit	Community Action Agency (CAA)	Defiance County Fulton County Henry County Paulding County Van Wert County Williams County	
17	Bridges Community Action Partnership	Nonprofit	Community Action Agency (CAA)	Madison County Union County Shelby County Champaign County Logan County	
18	Community Action Commission of Erie, Huron, & Richland Counties, Inc.	Nonprofit	Community Action Agency (CAA)	Erie County Huron County Richland County	
19	Community Action Program Commission of the Lancaster/Fairfield Area	Nonprofit	Community Action Agency (CAA)	Fairfield County	
	Community Action Commission		Community Action Agency		

20	of Fayette County	Nonprofit	(CAA)	Fayette County	
21	IMPACT Community Action	Nonprofit	Community Action Agency (CAA)	Franklin County	
22	Gallia-Meigs Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Gallia County Meigs County	
23	Geauga Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Geauga County	
24	G-M-N Tri-County Community Action Committee	Nonprofit	Community Action Agency (CAA)	Guernsey County Monroe County Noble County	
25	Cincinnati/Hamilton County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Hamilton County	
26	HHWP Community Action Commission	Nonprofit	Community Action Agency (CAA)	Hancock County Hardin County Wyandot County Putnam County	
27	Highland County Community Action Organization	Nonprofit	Community Action Agency (CAA)	Highland County	
28	Jackson/Vinton Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Jackson County Vinton County	
29	Jefferson County Community Action Council, Inc.	Nonprofit	Community Action Agency (CAA)	Jefferson County	
30	Lifeline for the Empowerment and Development of Consumers, Inc.	Nonprofit	Community Action Agency (CAA)	Lake County	
31	Ironton/Lawrence County Area Community Action Organization	Nonprofit	Community Action Agency (CAA)	Lawrence County	
32	LEADS	Nonprofit	Community Action Agency (CAA)	Licking County	
33	Lorain County Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Lorain County	
34	PATHWAY	Nonprofit	Community Action Agency (CAA)	Lucas County	
35	Mahoning Youngstown Community Action Partnership (MYCAP)	Nonprofit	Community Action Agency (CAA)	Mahoning County	
36	Community Action Wayne/Medina	Nonprofit	Community Action Agency (CAA)	Medina County Wayne County	
37	Miami County Community Action Council	Nonprofit	Community Action Agency (CAA)	Miami County	
38	Community Action Program Corporation of Washington/Morgan Counties	Nonprofit	Community Action Agency (CAA)	Morgan County Washington County	
39	Muskingum Economic Opportunity Action Group, Inc. (MEOAG)	Nonprofit	Community Action Agency (CAA)	Muskingum County	
40	WSOS Community Action Commission, Inc.	Nonprofit	Community Action Agency (CAA)	Ottawa County Sandusky County Seneca County Wood County	
41	Pickaway County CAO (PICCA)	Nonprofit	Community Action Agency (CAA)	Pickaway County	
42	Community Action Committee of Pike County	Nonprofit	Community Action Agency (CAA)	Pike County	
43	Community Action Council of Portage County, Inc.	Nonprofit	Community Action Agency (CAA)	Portage County	
44	Ross County Community Action Commission, Inc.	Nonprofit	Community Action Agency (CAA)	Ross County	
45	Community Action Commission of Scioto County	Nonprofit	Community Action Agency (CAA)	Scioto County	
46	Stark County Community Action Agency	Nonprofit	Community Action Agency (CAA)	Stark County	
47	Akron/Summit Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Summit County	
48	Trumbull Community Action Program	Nonprofit	Community Action Agency (CAA)	Trumbull County	

5.2 Total number of CSBG eligible entities 48

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? ☒ Yes ☐ No

If yes, please briefly describe the changes.

Two CAA's officially changed legal names. Lima/Allen Council on CA changed it's name to "West Ohio CAP". CAO of DMU also changed their legal name to "Bridges Community Action Partnership"

Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Community Services Block Grant (CSBG)

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SECTION 6 Organizational Standards for Eligible Entities

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

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☒ No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

- ☐ Regulation
- ☒ Policy
- ☒ Contracts with eligible entities
- ☐ Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? [Check all that apply.]

- ☐ Peer-to-peer review (with validation by the State or State-authorized third party)
- ☐ Self-assessment (with validation by the State or State-authorized third party)
- ☐ Self-assessment/peer review with State risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

6.4a. Describe the assessment process.

Each eligible entity received a full on-site monitoring visit in 2016-2017 using a monitoring tool that includes the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138). eligible entities will be asked to conduct a self-assessment in advance of the monitoring visit and assemble documentation of their performance on each standard. For each standard, eligible entities will be assessed as met or not met at the time of the visit. The eligible entity will receive a copy of the completed monitoring tool at the conclusion of the site visit as part of the standard exit interview. ODSA received feedback from eligible entities stating that 30 days following the receipt of a report was sometimes not enough time to collect documentation required in order to meet the standards (due largely to standards that require board approval). By providing a copy of the monitoring tool the eligible entity has more time to gather the necessary documentation prior to receiving the formal monitoring report. A follow up letter and report will be sent to the Executive Director, CSBG Coordinator (or equivalent), and the Board of Directors will indicate if any of the organizational standards were considered a "Not met" during the visit. The monitoring report will indicate if a response is required and the timeframe for that response (30 days after the receipt of the report). Eligible entities will have an opportunity to respond and provide evidence of meeting a standard or addressing any other compliance issue(s) subsequent to the on-site visit. If warranted, a Technical Assistance Plan (TAP) may be established. TAPs will be established in consultation with the eligible entity. Eligible Entities that do not meet the requirements of the TAP or if other areas of deficiencies are identified during the monitoring/standards review on-site visit, a Quality Improvement Plan (QIP) will be established in accordance with 678 C(a) (4) and related guidance from the Federal Office of Community Services.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 ☐ Yes ☒ No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) %

Section 7: State Use of Funds

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

Form Approved
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SECTION 7 State Use of Funds

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

7.1. Formula:

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

Base + Formula

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☒ Yes ☐ No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Adams/Brown Counties Economic Opportunities, Inc.	\$224,644	0.00%	\$224,644	0.00%
2	West Ohio CAP	\$399,472	0.00%	\$399,472	0.00%
3	Kno-Ho-Co-Ashland Community Action Commission	\$330,125	0.00%	\$330,125	0.00%
4	Ashtabula County Community Action Agency	\$250,268	0.00%	\$250,268	0.00%
5	Hocking, Athens, Perry Community Action	\$392,737	0.00%	\$392,737	0.00%
6	Community Action Commission of Belmont County	\$190,957	0.00%	\$190,957	0.00%
7	Supports to Encourage Low-income Families, Inc. (SELF)	\$506,714	0.00%	\$506,714	0.00%
8	Har-Ca-Tus Tri-County Community Action Organization	\$276,901	0.00%	\$276,901	0.00%
9	Opportunities Industrialization Center of Clark County	\$284,822	0.00%	\$284,822	0.00%
10	Clermont County Community Services, Inc.	\$279,250	0.00%	\$279,250	0.00%
11	Clinton County Community Action Program	\$137,525	0.00%	\$137,525	0.00%
12	Community Action Agency of Columbiana County, Inc.	\$235,375	0.00%	\$235,375	0.00%
13	Ohio Heartland Community Action Commission (OHCAC)	\$308,438	0.00%	\$308,438	0.00%
14	Council for Economic Opportunities in Greater Cleveland	\$3,229,246	0.00%	\$3,229,246	0.00%
15	Community Action Partnership of the Greater Dayton Area	\$1,829,922	0.00%	\$1,829,922	0.00%
16	Northwestern Ohio Community Action Commission, Inc.	\$431,117	0.00%	\$431,117	0.00%
17	Bridges Community Action Partnership	\$516,336	0.00%	\$516,336	0.00%
18	Community Action Commission of Erie, Huron, & Richland Counties, Inc.	\$507,455	0.00%	\$507,455	0.00%
19	Community Action Program Commission of the Lancaster/Fairfield Area	\$226,405	0.00%	\$226,405	0.00%
20	Community Action Commission of Fayette County	\$130,609	0.00%	\$130,609	0.00%
21	IMPACT Community Action	\$2,291,725	0.00%	\$2,291,725	0.00%
22	Gallia-Meigs Community Action Agency, Inc.	\$190,757	0.00%	\$190,757	0.00%
23	Geauga Community Action, Inc.	\$127,243	0.00%	\$127,243	0.00%
24	G-M-N Tri-County Community Action Committee	\$190,392	0.00%	\$190,392	0.00%

25	Cincinnati/Hamilton County Community Action Agency	\$1,887,525	0.00%	\$1,887,525	0.00%
26	HHWP Community Action Commission	\$268,162	0.00%	\$268,162	0.00%
27	Highland County Community Action Organization	\$163,254	0.00%	\$163,254	0.00%
28	Jackson/Vinton Community Action, Inc.	\$183,099	0.00%	\$183,099	0.00%
29	Jefferson County Community Action Council, Inc.	\$255,116	0.00%	\$255,116	0.00%
30	Lifeline for the Empowerment and Development of Consumers, Inc.	\$241,550	0.00%	\$241,550	0.00%
31	Ironton/Lawrence County Area Community Action Organization	\$208,144	0.00%	\$208,144	0.00%
32	LEADS	\$269,387	0.00%	\$269,387	0.00%
33	Lorain County Community Action Agency, Inc.	\$438,587	0.00%	\$438,587	0.00%
34	PATHWAY	\$1,193,862	0.00%	\$1,193,862	0.00%
35	Mahoning Youngstown Community Action Partnership (MYCAP)	\$764,767	0.00%	\$764,767	0.00%
36	Community Action Wayne/Medina	\$384,180	0.00%	\$384,180	0.00%
37	Miami County Community Action Council	\$166,960	0.00%	\$166,960	0.00%
38	Community Action Program Corporation of Washington/Morgan Counties	\$225,451	0.00%	\$225,451	0.00%
39	Muskingum Economic Opportunity Action Group, Inc. (MEOAG)	\$227,199	0.00%	\$227,199	0.00%
40	WSOS Community Action Commission, Inc.	\$431,962	0.00%	\$431,962	0.00%
41	Pickaway County CAO (PICCA)	\$141,673	0.00%	\$141,673	0.00%
42	Community Action Committee of Pike County	\$145,258	0.00%	\$145,258	0.00%
43	Community Action Council of Portage County, Inc.	\$298,310	0.00%	\$298,310	0.00%
44	Ross County Community Action Commission, Inc.	\$208,298	0.00%	\$208,298	0.00%
45	Community Action Commission of Scioto County	\$369,259	0.00%	\$369,259	0.00%
46	Stark County Community Action Agency	\$655,618	0.00%	\$655,618	0.00%
47	Akron/Summit Community Action, Inc.	\$1,168,523	0.00%	\$1,168,523	0.00%
48	Trumbull Community Action Program	\$399,994	0.00%	\$399,994	0.00%
Total		\$24,184,573	0.00%	\$24,184,573	0.00%

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).

An amendment included in Ohio's Biennial Budget passed in June 2015 established new requirements for distribution of CSBG funds in Ohio. Ninety-one percent (91%) is to go to eligible entities (CAAs). The process for distributing the 90 percent is as follows: Applications for funding for two-year CSBG grants are submitted to OCA in accordance with OCA policies and procedures. Applications are submitted electronically and subject to review and approval by an assigned field representative (community development analyst). This first comprehensive review takes about one work week per eligible entity application, on average. However, many variables outside of the state lead agency's control impact the time required, including, among others, the completeness and quality of the applications submitted and the size of the eligible entity and the number of community services programs the eligible entity is operating. Additional review of eligible entity applications are conducted by the Section Supervisor, Fiscal staff, Fiscal Manager and the Deputy Chief of the OCA. Final sign-off occurs in the Ohio Development Services Agency Director's office by the Assistant Director. Support staff upload fully executed grant agreements to the electronic grant management system where it can be accessed by eligible entities for signature. Funds equivalent to one month of the 12-month grant allocation can then be advanced to eligible entities. The remaining one percent of funds will be allocated to eligible entities that apply for additional technical training and assistance funds.

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. 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.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:

How is the State 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.

For the 2018-2019 grant application, ODSA is changing the application process for eligible entities. This is being done based on feedback received from eligible entities and in response to the recently approved federal Annual Report (replacing the current Information Survey Report). ODSA has received feedback from eligible entities stating that: the current application process is time-consuming, it is not clear as to what areas within the plan are reported on a federal level, and the system itself is not user-friendly. In response to these concerns, ODSA, in partnership with the Ohio Association of Community Action Agency's (OACAA) solicited volunteers from Ohio's CSBG network to commit to providing feedback during advisory group meetings. ODSA received responses from eleven eligible entities volunteering to attend meetings and give feedback on the current grant application and the development of the new grant application. ODSA and eligible entities are working together to ensure the application and subsequent reporting process captures all the information required in the federal annual report and does so in an efficient and meaningful manner. Ohio's grant applications operate on a calendar year basis, therefore the application is scheduled to launch in October 2017.

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

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage **4.5** ☐ \$ ☒ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **23**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **9**

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? ☒ Yes ☐ No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

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

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 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 row a and row c. 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 may pre-populate the State's annual report form

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	0.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	
c. Statewide coordination and communication among eligible entities	\$0.00	0.00%	\$0.00	0.00%	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	0.00%	\$0.00	0.00%	
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$0.00	50.00%	\$0.00	50.00%	Â To provide assistance in the case of an emergency Â To conduct an assessment of eligible entity T&TA Needs in FFY 1, Q.1.
Total	\$0.00	50.00%	\$0.00	50.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. *(Check all that apply and narrative where applicable)*

- ☒ CSBG eligible entities *(if checked, include the expected number of CSBG eligible entities to receive funds)* **10**
- ☒ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☒ Other Ohio Urban Resource Systems O.U.R.S
- ☐ None (the State will carry out activities directly)

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

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:

How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.

Section 8: State Training and Technical Assistance

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

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SECTION 8 State Training and Technical Assistance

8.1. 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. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Other	In FY1 Q1, the state lead agency will carry out a formal assessment of eligible entities training and technical assistance needs. The results of the needs assessment and eligible entity applications will inform OCA's determination of the types and quantity of programs and services to be provided over the course of the two-year CSBG program.

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

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? ☒ Yes ☐ No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

N/A

8.3. 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 applies and narrative where applicable]

- ☒ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- ☒ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting 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 current T&TA plan will not be adjusted.

Section 9: State Linkages and Communication

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

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans 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 or attach additional information as needed. [Check all that apply and narrative where applicable]

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 may pre-populate the State's annual report form.

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

The ODSA administers CSBG, LIHEAP (HEAP), HWAP, state-funded energy assistance and efficiency programs, the DOE-funded State Energy Program and others designed to meet multiple needs and improve the living conditions of Ohio citizens. Most (though not all) Ohio eligible entities operate this entire slate of programs locally. In addition, OCA is part of the Community Services Division containing an Office of Community Development (OCD) that administers funds directed to the provision of housing and prevention of homelessness; many Ohio CAAs are also subgrantees of OCD and of other ODSA programs, such as those directed to entrepreneurs. Representatives of other state agencies, such as the Departments of Education and Aging and state workforce agency serve on/or participate in CSBG Advisory Committee meetings hosted by the state lead agency. ODSA is working to engage in a memorandum of understanding with multiple state agencies in an effort to better coordinate services under programs such as the Supplemental Nutrition Assistance Program and the Workforce Innovation and Opportunity Act. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under [Section 675C\(b\)\(B\)](#) and as required by assurance under [Sections 676\(b\)\(5\)](#) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

ODSA reviews and tracks agency partnerships as part of the online CSBG grant application (Community Action Plan) submitted by eligible entities. Projects that involve multiple funding streams must be described in eligible entity plans and the nature of the partnership components and activities explained. In addition, eligible entities customarily recruit board members from among the key interests in their service territory. This enables regular exchange of information, coordination and co-funding of projects directed to households that are eligible for services provided by multiple programs. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)). *[Attach additional information as needed.]*

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

ODSA assures that eligible entities will coordinate and establish linkages by continuing to promote and track eligible entity partnerships and document how partners work together on cross-cutting community projects. *[Click paper clip to attach file]*

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.

ODSA asked eligible entities to demonstrate that referrals made to eligible customers have resulted in assistance being provided to that customer. This is done by requiring eligible entities to create processes in order to capture this data. ODSA is creating a culture of resolution among eligible entities and other agencies that work with low-income populations in Ohio communities. By encouraging appropriate follow-up, it can be better documented when referrals result in assistance or a benefit being

provided.

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

9.4b. 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.

ODSA and the Office of Workforce Development at the Ohio Department of Job and Family Services are working together to develop a common understanding of workforce transformation and development needs to assure there is not a duplication of services. This collaboration has manifested in participation of the Office of Workforce Development in CSBG Advisory Committee meetings. The Governors Office of Workforce Transformation established by Governor John R. Kasich in 2012 has prioritized its work with four strategic goals that drive its work and provide focus: Identify businesses' most urgent job needs, Connect Business & Individuals, Align Training to Business Needs and Evaluate Results. Recently, ODSA reviewed opportunities to enter into a memorandum of understanding with other state agencies in an effort increase partnership and participation in the WIOA program. By engaging in this relationship with other State agencies, ODSA is hoping it will encourage local level participation and coordination of services for the WIOA program.

9.5. Emergency Energy Crisis Intervention:

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

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

The ODSA administers LIHEAP and its Winter Crisis and Summer Crisis components. Through ODSA's oversight, local delegate agencies (most of them CAAs) are required to deliver energy assistance benefits on an emergency basis in strict conformance with ODSA's energy assistance guidelines.

9.6. State Assurance: 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.

Information on partnerships and collaborations, (including those with faith-based, charitable groups and community organizations) is submitted to ODSA by eligible entities as part of their CSBG Application (Community Action Plan). The plans are reviewed and approved by OCA. Such organizations are also represented on eligible entity tri-partite boards. *[Click paper clip to attach file]*

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.

CAAs coordinate through referrals, information sharing, and by subcontracting with other community organizations to provide the programs, services, and benefits identified through their service territory needs assessments. Such coordination is reflected in the CSBG grant application (Community Action Plan), and reported on a quarterly basis as part of agency workplans. Many Ohio CAAs are Ohio Benefit Bank sites where customers can use an online system to identify all programs and services for which they are likely to qualify. These efforts assure that CAA are coordinating CSBG funds with other public and private resources.

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.

The ODSA provides funding to the Ohio Association of Community Action Agency's (OACAA) to conduct two statewide conferences attended by eligible entities, provide technical assistance to agencies in need, and communicate with agencies on issues of interest locally and statewide, among other activities and initiatives. In partnership with OACAA, ODSA has convened a working group with 11 CSBG Coordinators from eligible entities throughout Ohio. This working group provided feedback on the development of the CSBG Grant Application (Community Action Plan) and on developing training materials for the newly revised grant application.

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

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	OCA routinely communicates with the State Community Action Agency Association and Eligible Entities.	Other	Other	Methods include: information updates, email blasts, posting on the state website, one-on-one leadership meetings, Visits to Eligible Entities attendance at monthly state association board meetings, CSBG Advisory Committee meetings presentations at Association conferences sponsored by the state lead agency, and, Single-purpose meetings involving Eligible Entities and the State Association An example is the one-day meeting on CSBG Organizational Standards that took place on May 1, 2015.
2	Grant application training	Annually	Mailing	
3	CSBG Hearings/mtgs	Annually	Other	In-person meeting
4	ROMA reporting	Quarterly	Email	Posting in electronic grant management system
5	OCA Updates	Semi-Annually	Meetings/Presentation	Also by providing Social Media Calendar
6	Program information	Other	Website	As warranted

7	Guidance	Other	Email	As warranted
8	Provider Website	Quarterly	Website	ODSA is in the process of creating a provider website where eligible entities can view program updates, download program materials and have access to links to other resources
9	Ohio Association of Community Action Agency's (OACAA) Newsletter	Monthly	Email	OACAA creates a monthly newsletter to send to eligible entities to provide updates on programs throughout Ohio and as an opportunity to spotlight upcoming training and events
10	OACAA	Monthly	Blog	OACAA publishes a blog monthly geared towards eligible entities with varying topics
11	OACAA Social Media	Other	Social Media	OACAA utilizes various social media pages to publicize events, newsletters and various topics of interest to eligible entities

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

Describe how the State will provide feedback 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). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

If feedback is received by ODSA from OSC, the ODSA will share information with eligible entities and the state community action association within 60 days of receiving feedback from OCS. Feedback will be provided in a letter from the Deputy Chief summarizing the feedback received from OCS.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting 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.

In response to feedback received from eligible entities, ODSA is working to increase communication to eligible entities from ODSA. This has been done by providing social media calendar and media template releases. The communication effort will continue with the development of an agency specific provider website, estimated launch in the fall of 2017.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities

(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.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"	
1	Adams/Brown Counties Economic Opportunities, Inc.	Full onsite	FY2 Q3	10/17/2016		
2	West Ohio CAP	Full onsite	FY2 Q3	11/15/2016		
3	Kno-Ho-Co-Ashland Community Action Commission	Full onsite	FY2 Q3	07/28/2016		
4	Ashtabula County Community Action Agency	Full onsite	FY2 Q3	06/09/2016		
5	Hocking, Athens, Perry Community Action	Full onsite	FY2 Q3	11/14/2016		
6	Community Action Commission of Belmont County	Full onsite	FY2 Q3	07/26/2016		
7	Supports to Encourage Low-income Families, Inc. (SELF)	Full onsite	FY2 Q3	08/02/2016		
8	Har-Ca-Tus Tri-County Community Action Organization	Full onsite	FY2 Q3	11/08/2016		
9	Opportunities Industrialization Center of Clark County	Full onsite	FY2 Q3	11/29/2016		
10	Clermont County Community Services, Inc.	Full onsite	FY2 Q3	11/16/2016		
11	Clinton County Community Action Program	Full onsite	FY2 Q3	11/22/2016		
12	Community Action Agency of Columbiana County, Inc.	Full onsite	FY2 Q3	08/09/2016		
13	Ohio Heartland Community Action Commission (OHCAC)	Full onsite	FY2 Q3	11/07/2016		
14	Council for Economic Opportunities in Greater Cleveland	Full onsite	FY2 Q3	05/17/2016		
15	Community Action Partnership of the Greater Dayton Area	Full onsite	FY2 Q3	11/17/2016		
16	Northwestern Ohio Community Action Commission, Inc.	Full onsite	FY2 Q3	07/21/2016		
17	Bridges Community Action Partnership	Full onsite	FY2 Q3	08/24/2016		
18	Community Action Commission of Erie, Huron, & Richland Counties, Inc.	Full onsite	FY2 Q3	11/21/2016		
19	Community Action Program Commission of the Lancaster/Fairfield Area	Full onsite	FY2 Q3	11/29/2016		
20	Community Action Commission of Fayette County	Full onsite	FY2 Q3	11/15/2016		
21	IMPACT Community Action	Full onsite	FY2 Q3	06/15/2016		
22	Gallia-Meigs Community Action					

	Agency, Inc.	Full onsite	FY2 Q3	06/07/2016	
23	Geauga Community Action, Inc.	Full onsite	FY2 Q3	05/10/2016	
24	G-M-N Tri-County Community Action Committee	Full onsite	FY2 Q3	07/26/2016	
25	Cincinnati/Hamilton County Community Action Agency	Full onsite	FY2 Q3	08/16/2016	
26	HHWP Community Action Commission	Full onsite	FY2 Q3	06/20/2016	
27	Highland County Community Action Organization	Full onsite	FY2 Q3	07/01/2016	
28	Jackson/Vinton Community Action, Inc.	Full onsite	FY2 Q3	11/28/2016	
29	Jefferson County Community Action Council, Inc.	Full onsite	FY2 Q3	07/25/2016	
30	Lifeline for the Empowerment and Development of Consumers, Inc.	Full onsite	FY2 Q3	11/21/2016	
31	Ironton/Lawrence County Area Community Action Organization	Full onsite	FY2 Q3	11/28/2016	
32	LEADS	Full onsite	FY2 Q3	07/19/2016	
33	Lorain County Community Action Agency, Inc.	Full onsite	FY2 Q3	05/24/2016	
34	PATHWAY	Full onsite	FY2 Q3	11/07/2016	
35	Mahoning Youngstown Community Action Partnership (MYCAP)	Full onsite	FY2 Q3	06/30/2016	
36	Community Action Wayne/Medina	Full onsite	FY2 Q3	12/05/2016	
37	Miami County Community Action Council	Full onsite	FY2 Q3	11/16/2016	
38	Community Action Program Corporation of Washington/Morgan Counties	Full onsite	FY2 Q3	12/07/2016	
39	Muskingum Economic Opportunity Action Group, Inc. (MEOAG)	Full onsite	FY2 Q3	11/22/2016	
40	WSOS Community Action Commission, Inc.	Full onsite	FY2 Q3	08/04/2016	
41	Pickaway County CAO (PICCA)	Full onsite	FY2 Q3	04/27/2016	
42	Community Action Committee of Pike County	Full onsite	FY2 Q3	08/01/2016	
43	Community Action Council of Portage County, Inc.	Full onsite	FY2 Q3	06/15/2016	
44	Ross County Community Action Commission, Inc.	Full onsite	FY2 Q3	10/28/2016	
45	Community Action Commission of Scioto County	Full onsite	FY2 Q3	07/28/2016	
46	Stark County Community Action Agency	Full onsite	FY2 Q3	11/30/2016	
47	Akron/Summit Community Action, Inc.	Full onsite	FY2 Q3	11/30/2016	
48	Trumbull Community Action Program	Full onsite	FY2 Q3	11/17/2016	

10.2. Monitoring Policies:

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

See attached monitoring tool

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.

45

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. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

See attached OCA Guide to Progressive, Corrective Action

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

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

1
10.6. Reporting of QIPs: Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
Within 30 days of approving a QIP, the Office of Community Assistance will send a letter to the assigned project officer at the HHS Office of Community Services (OCS).
10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8) , "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) ". <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
<p style="text-align: center;">Policies on Eligible Entity Designation, De-designation, and Re-designation</p>
10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities. Ohio Revised Code (ORC) 122.69 and 122.701 Endorsement of Community Action Agency
10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities. See attached OCA Guide to Progressive Corrective Action
10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. Per ORC 122.701, any agency whose designation is rescinded pursuant to this section may appeal an order rescinding such designation pursuant to section 119.12 of the Revised Code. See attached: OCA Guide to Progressive Corrective Action attached and referenced above.
<p style="text-align: center;">Fiscal Controls and Audits and Cooperation Assurance</p>
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 financial reporting process and controls preparation of SF425 are listed below: 1. All invoices are reviewed and approved by Office of Community Assistance fiscal /program manager. 2. Once the invoices are approved, they are submitted to the Ohio Administrative Knowledge System (OAKS, the State of Ohio Accounting System. 3. The reporting tool, Cognos used as a data warehouse to create professional reports from the OAKS system. 4. The ODSA staff prepares FFR excel spreadsheet based upon Cognos Data submit to Program/ Fiscal Office for review. 5. Once review is complete, staff enter the information into the HHS OLDC Financial Portal.
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 Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK HERE FOR LINK TO 45 CFR Â§75.521
<i>Note: This information is associated with State Accountability Measure 4Sd.</i>
The Audit Office within the Ohio Development Services Agency (ODSA) receives single audit reports from grantees awarded Community Services Block Grant (CSBG) funds. Within six months of receipt, each audit report is reviewed. The review includes verification of required schedules and reports, review and analysis of the financial statements and evaluation of any audit findings. If an audit does not contain findings and the financial reports are acceptable, the Audit Office issues correspondence closing the audit. When an audit contains findings related to ODSA grants, a Corrective Action Plan must be included in or submitted with the audit report. If the Corrective Action Plan is found acceptable, the Audit Office issues correspondence accepting the plan and closing the audit report. If the Corrective Action Plan is not submitted or is not acceptable, the Audit Office requests additional information until it is found acceptable. If the plan is not acceptable, the ODSA audit office will notify the Office of Community Assistance (OCA) and recommend that all current grant reimbursements be placed on hold until the grantee complies. At that time, the OCA will determine if reimbursements will be withheld and if special conditions should be placed on the grant in order to protect federal funds.
10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a) " of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No
<p style="text-align: center;"><i>If this is the first year filling out the automated State Plan, skip the following question.</i></p>
10.14. Performance Management Adjustment: How is the State adjusting 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.
<i>Note: This item is associated with State Accountability Measure 4Sband may pre-populate the State's annual report form.</i>
The current monitoring process will not be adjusted as it provides sufficient oversight.

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under [Section 676B](#) of the CSBG Act? *[Check all that applies and narrative where applicable]*



Attend Board meetings



Review copies of Board meeting minutes



Keep a register of Board vacancies/composition



Other As warranted, the OCA field unit will provide training during eligible entity board meetings in consultation with the Ohio Development Services Agency Legal Office. Regional trainings directed to tri-partite boards and tied to the organizational standards pertaining to Governance.

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*



Annually



Semiannually



Quarterly



Monthly



Other Eligible entities are required to submit a board roster with their biennial CSBG applications and provide their assigned OCA field representative with a revised roster whenever changes to the roster occur.

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under [Section 676\(b\)\(10\)](#) of the CSBG Act 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.

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

Eligible entity Board Policies and Manuals (or by-laws) are reviewed every other year as part of full on-site reviews. ODSA also reviews eligible entity board appointment letters and requests a roster of the Board of Directors to be sent to ODSA whenever changes are made.

11.4. 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 participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under [Section 676B\(b\)\(2\)](#) of the CSBG Act. ☐ Yes ☒ No

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

Section 12: Individual and Community Eligibility Requirements

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

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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

ATTACHMENT A OCA Policy Bulletin Client Eligibility and Income Documentation

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

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Census tract data may be utilized to demonstrate the incidence of poverty in the community where the emergency service is being provided. Proxy eligibility determinations could be used for those with a card or identification showing they are receiving TANF or other government-provided social services, for example.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

In cases where a community-wide benefit is being provided, the OCA would require eligible entities to utilize census tract data or other relevant data to document the incidence of poverty in the target area.

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



The Results Oriented Management and Accountability (ROMA) System



Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act



An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

ATTACHMENT

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



CSBG National Performance Indicators (NPIs)



NPIs and others



Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

The ODSA provides training and instruction on the Results-Oriented Management and Accountability (ROMA) system as part of each two-year grant application process. ROMA training is also available through OACAAs training and technical assistance grant with the Ohio Community Action Training Organization (OCATO). OCATO is the training affiliate of the state association. OCATO has a certified ROMA Trainer on staff. In 2014, OCA hosted the national Peer-to-Peer training program in Ohio. There are currently two certified ROMA trainers among Ohio's eligible entities.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

Note: This response will also link to the corresponding assurance, Item 14.12.

The ODSA begins reviewing each eligible entity CSBG grant application (Community Action Plan) by reviewing the community needs assessment. Each community needs assessment contains data on the territory being served. This data could include demographic information of the low-income population, needs assessed by the low-income and community and resources that are being provided by the eligible entity and other agencies within that community. By understanding the top needs within that community, ODSA Field Representatives can understand how the community action plan is structured so that programs and designed to meet those needs. Additionally, ODSA Field Representatives consult with local agencies on program outcomes and to what extent the outcomes suggest that changes should be made to the community action plan. Such consultations may occur at the time CSBG grant applications are submitted, when program revisions are submitted to ODSA for review and approval and when quarterly ROMA reporting is taking place.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

The ODSA requires each eligible entity to submit a CSBG grant application every two years. This CSBG grant application is what Ohio considers the Community Action Plan. The grant application is amended and a new approval process takes place when program areas or budget information is changed.

13.6. State Assurance:

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.

Eligible entities are required to undertake a community needs assessment at least every 3 years and provide a 10-page summary of the current assessment to ODSA as part of its 2-year CSBG application. It is also expected that community needs assessments will be updated in real time if there are major changes in a service area that impact the needs of target populations. An example would be a loss of a major employer or a natural disaster.

Section 14: CSBG Programmatic Assurances and Information Narrative

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

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SECTION 14

CSBG Programmatic Assurances 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;

Local coordination with social services delivery systems and the private sector is encouraged when planning and implementing programs. Eligible Entities will submit applications and community services workplans specifically designed to implement the above assurances. The ODSA staff will review the application for adherence to these assurances. At the State level, staff efforts to coordinate with other providers of social services to low-income Ohioans will continue and new opportunities will be explored. At the State level, staff efforts to coordinate with other providers of social services to low-income Ohioans will continue and new opportunities will be explored.

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;

Eligible entity applications for the 2017-2018 CSBG program will include a place for eligible entities to indicate whether program (s) are included in the plan to address the needs of youth in low-income communities. Quarterly ROMA reports also provide documentation. Partnerships may also provide documentation of programs to address the needs of youth in low-income communities.

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)

Local coordination with social services delivery systems and the private sector is encouraged and documented as eligible entities plan and operate programs. Coordination efforts are described in CSBG grant applications submitted to ODSA. The CSBG Advisory Committee has been expanded to include the Office of Workforce Development at the Ohio Department of Job and Family Services.

State Use of Discretionary Funds

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

purposes of this subtitle."
<i>Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10</i>
Eligible Entity Service Delivery, Coordination, and Innovation
14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;
As part of the biennial application for Community Services Block Grant funding, the State of Ohio requires all agencies to submit a CSBG grant application (Community Action Plans) that detail services to be provided and budgeted expenses. Such plans may and do include projects and initiatives pertaining to coordination and innovative community-based initiatives. Agencies may also apply for T&TA funds for special projects in some cases. Designated CAAs are providing services on a stand-alone basis or in partnership with other local public and private entities in all 88 Ohio counties.
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.</i>
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.</i>
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
Each of Ohio's designated eligible entities submits the above information for its service area as a part of the two-year CSBG grant application. Eligible entities will report in the revised annual report format, utilizing the national performance indicators and community level data.
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."
The State of Ohio will continue to use a Community Services Block Grant application which contains work plans for emergency and nutrition services. Ohio Community Action Agencies typically provide more nutrition-related services than any other type of assistance, except for emergency services. It is expected that this level of service will continue.
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.</i>
State Coordination/Linkages and Low-income Home Energy Assistance
14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.</i>
Federal Investigations
14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
Funding Reduction or Termination
14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>

<p align="center">Coordination with Faith-based Organizations, Charitable Groups, Community Organizations</p> <p>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."</p> <p><i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.</i></p>
<p align="center">Eligible Entity Tripartite Board Representation</p> <p>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."</p> <p><i>Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.</i></p>
<p align="center">Eligible Entity Community Action Plans and Community Needs Assessments</p> <p>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."</p> <p><i>Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.</i></p>
<p align="center">State and Eligible Entity Performance Measurement: ROMA or Alternate system</p> <p>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."</p> <p><i>Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.</i></p> <p align="center">Validation for CSBG Eligible Entity Programmatic Narrative Sections</p>
<p>14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."</p> <p><i>Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.</i></p>
<p><input checked="" type="checkbox"/> By checking this box, the State CSBG authorized official is certifying the assurances set out above.</p>

Section 15: Federal Certifications

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

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 15 Federal Certifications

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.

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).

(B) 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.

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.

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.



Ohio Development Services Agency: Summary of Changes

*U.S. Department of Health and Human Services
Community Services Block Grant 2018-2019 State Plan Application*

Attachments List:

- Governor and Director designee letter
- Listening Sessions:
 - January 25, 2017 OACAA Winter Conference
 - July 17, 2017 OACAA Summer Conference
- August 18, 2016 Public/Legislative Hearing
- August 1, 2017 Public Hearing
- Ohio Revised Code 122.68
- Notification of draft plan posted
- CSBG Network Survey
- May 19, 2017 CSBG Advisory Committee Meeting Minutes
- Ohio Training and Technical Assistance Plan
- Ohio Monitoring Tool
- Ohio Corrective/Progressive Action Plan
- OCA Policy Bulletin Regarding Client Eligibility
- ROMA Guidance



JOHN R. KASICH
GOVERNOR
STATE OF OHIO

September 4, 2014

Ms. Jeannie Chaffin, Director
Administration for Children and Families
U.S. Department of Health and Human Services
Office of Community Services
Division of State Assistance
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Chaffin:

This letter is to advise you that, until further notice, I hereby delegate authority to the Director of the Ohio Development Services Agency to act for the State of Ohio, and for me as Governor, in making applications and in providing certification to the assurances contained in the Community Services Block Grant Act, Title VI, of the Omnibus Reconciliation Act of 1981, as amended, for the Community Services Block Grant. The Ohio Development Services Agency will also make applications and provide certification to the 16 assurances contained in Title XXVI, Section 2605 (b) of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended in the administration, and operation of its Low-Income Home Energy Assistance Program.

Any questions regarding the implementation of these programs should be directed to Randall Hunt, Deputy Chief of the Ohio Development Services Agency's Office of the Community Assistance at (614) 644-6846 or by email at Randall.Hunt@development.ohio.gov.

Thank you for your consideration in this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "John R. Kasich", is written over a horizontal line.

John R. Kasich
Governor
State of Ohio



**Development
Services Agency**

John R. Kasich, Governor

David Goodman, Director

July 6, 2017

J. Janelle George, Acting Director
U.S. Department of Health and Human Services
Office of Community Services
370 L'Enfant Promenade, S.W., 5th Floor W.
Washington, D.C. 20447

Dear Ms. George,

This letter is to advise you that, until further notice, I hereby delegate authority to Matthew Peters, the Assistant Director of the Ohio Development Services Agency to act for the State of Ohio, and for me as Director of the Ohio Development Services Agency, in making applications and in providing certification to the assurances contained in the Community Services Block Grant Act, Title VI, of the Omnibus Reconciliation Act of 1981, as amended for the Community Services Block Grant. The Ohio Development Services Agency will also make applications and provide certification to the 16 assurances contained in Title XXVI, section 2605 (b) of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended in the administration, and operation of its Low-Income Home Energy Assistance Program.

Thank you for your consideration in this matter. Any questions regarding the implementation of these programs should be directed to Randall Hunt, Deputy Chief of the Ohio Development Services Agency's Office of Community Assistance at 614-644-6846 or by email at randall.hunt@development.ohio.gov.

Sincerely,

David Goodman
Director

**CSBG STATE PLAN LISTENING SESSION – JANUARY 25, 2017 OACAA WINTER LEGISLATIVE
CONFERENCE**

- **STATE PLAN DEVELOPMENT – WHAT OCA IS DOING**
 - A. Listening sessions
 - B. Survey
 - C. CSBG Advisory Committee Meetings – two this year
 - 1. WHAT ELSE SHOULD BE INCLUDED IN PLAN DEVELOPMENT?
 - a. It would be nice to see data across the network
 - b. To show comparison of ROMA Workplans
 - c. Share data that results from the ROMA Workplans
 - d. Have agencies share their workplan and the program setup which could help other agencies
 - e. Put a process in place that would allow CAA Board members to provide meaningful input
 - f. Provide clear definition of organizational capacity and what exactly CSBG can be used for
- **STATEWIDE GOALS - CURRENT**
 - A. Supporting CAAs in meeting org STDS
 - B. Providing Training and Info to support better formation, understanding of responsibilities and accountability among Tri-Partite Boards
 - C. Improving Customer Services
 - 2. FROM A CAA PERSPECTIVE, WHAT SHOULD OHIO'S STATEWIDE GOALS BE FOR 2018-2019?
 - a. To rectify the disconnect between information in OCEAN set-up of goals vs the Federal goals
 - b. Provide clarification of goals in OCEAN vs Federal goals
 - c. Align the OCEAN structure system to fit better with the Federal goals
 - d. To create a good way to report the unduplicated count for programs that are non-CSBG and not in OCEAN (for example, other programs have their own system).
 - e. To allow the ability to get out and use the data the agencies input into OCEAN
 - f. To be able to create a report from this data
 - g. Would like for OCEAN to allow for "ad hoc" reporting
 - h. To allow OCEAN data mining options to match up to other systems
 - i. To allow agencies to extract and download data from OCEAN into a raw database
 - 3. CSBG PUBLIC HEARING -
 - a. HOW CAN WE INCREASE CAA PARTICIPATION?
 - 1) Is there any way for the State to provide feedback on the measures taken as a result of agencies' input given during the CSBG public hearing? The preface to this feedback would be "As result of the input given at the public hearing" (the following was implemented)
 - 2) Public Hearing by webinar
 - 3) Interactive tool to help better engagement (polls, etc.). Allows for those who are not as vocal to provide input
 - b. HOW CAN WE INCREASE PUBLIC AND OTHER STAKEHOLDER PARTICIPATION?
 - 1) Make it regional
 - 4. *ORG STDS – OCA WILL ASSESS ALL STDS AGAIN IN 2018
 - a. WHAT WOULD MAKE THE ASSESSMENT PROCESS MOST USEFUL FOR CAAS?
 - 1) Can we have electronically and scanned documents ahead of time before the visit?
 - 2) Enjoyed visit onsite and appreciated being able to answer onsite.
 - 3) It provides a teaching moment onsite
 - b. ARE THERE THINGS ABOUT THE PROCESS THAT CAAS WOULD LIKE TO SEE CHANGED?
 - 1) New staff trainings for Standards
 - 2) Organizational standards

- c. *CORRECTIVE ACTION PROCEDURES
 - Suggestions? None at this time
- d. DESIGNATION AND DEDESIGNATION POLICIES
 - DO THESE NEED TO BE CHANGED? IMPROVED?
 - Make sure systems are working
 - Make sure that the State Office (Vern Riffe) building is able to accept certified letters and ensure that the documents are delivered to the appropriate authorities.
 - Is there a written plan that governs how agencies compete for territory so that politics don't get too heavily involved
- e. T&TA
 - WHAT DO CAAS WANT TO SEE IN 2018-2019 WITH RE TO T&TA FOR CAAS?
 - A CSBG Manual
 - ROMA Workplan Training
 - Provide the understanding that ROMA is an agency-wide management process not a reporting process
 - CSBG Guidelines
 - Audit checklist easily accessible to staff to use to audit their files
 - Checklist in every file for CSBG files (like the checklist for HEAP)
 - CONTRACTS WITH OCATO AND OURS
 - INDIVIDUAL AGENCY T&TA
- f. LINKAGES
 - WHAT SHOULD BE INCLUDED IN THE PLAN TO DEVELOP AND STRENGTHEN LINKAGES?
 - AT LOCAL LEVEL?
 - Ability to talk about how we collect and input that information and referrals into OCEAN.
 - What's in OCEAN is an internal referral system
 - AT STATE LEVEL?
 - To put a better electronic structure in place that permits the input of referral information into OCEAN which allows reporting that shows referrals made to external agencies and other partners

OACAA Conference 7/19/2017
Ohio Development Services Agency: CSBG Listening Session Notes

U.S. Department of Health and Human Services
Community Services Block Grant 2018-2019 State Plan Application

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

Notes:

Section 2: State Legislation and Regulation

Notes:

**Section 3: State Plan Development and
Statewide Goals**

Feedback received from stakeholders:

- Additional opportunities for training specific to CSBG should be included as part of a statewide initiative.

Changes made to the CSBG State Plan:

- An additional goal was added to the current three goals: "(ODSA will) Provide training and technical assistance to Ohio CAAs on the development of the Community Action Plan (CSBG Grant Application) and understanding of Results Oriented Management and Accountability principals".
- The plan was updated to reflect the steps ODSA took to involve eligible entities in the development of the CSBG State Plan (i.e. public/legislative hearing, listening sessions, online survey etc).
- Adjusted the entity satisfaction target score to "80".

Notes:

M: Explanation of the breakdown of how the 91% is allocated

Section 4: CSBG Hearing Requirements

Feedback received from stakeholders:

- Additional opportunities for stakeholders to provide feedback on the development of the CSBG State Plan prior to the plan being drafted.

Changes made to the CSBG State Plan:

- The section was updated with the information on the public and legislative hearing held in 2016 prior to the CSBG State Plan being drafted.

Notes:

Section 5: CSBG Eligible Entities

Feedback received from stakeholders:

- N/A

Changes made to the CSBG State Plan:

- Updated the organization names for "West Ohio CAP" and "Bridges Community Action Partnership".

Notes:

Section 6: Organizational Standards for Eligible Entities

Feedback received from stakeholders:

- More time is needed to respond to a "not met" finding for the CSBG Organizational Standards.

Changes made to the CSBG State Plan:

- Additional narrative was included to describe the process for monitoring the organizational standards. This includes how the monitoring tool is left with the agency after a monitoring visit allowing the agency additional time to obtain documentation for any standards not met, and transparency for what to anticipate when receiving in a monitoring visit.

Notes:

Section 7: State Use of Funds

Feedback received from stakeholders:

- Funding for technical and training assistance and clarity on how to apply for those funds.
- The CSBG grant application process is not clear, the system is not user friendly and the process is time consuming.

Changes made to the CSBG State Plan:

- Previously 91% of funds were allocated via the formula allocation. For the 2018-2019 CSBG State Plan, 90% of funds will be allocated to eligible entities via the base and formula allocation and the remaining 1% will be allocated to eligible entities (via an application process) to be used for training and technical assistance.
- ODSA will be adjusting the CSBG grant application process in response to feedback received from eligible entities and in order to meet requirements of the newly approved Federal Annual Report.

ODSA Program Administration Changes:

- The ODSA will provide instruction to eligible entities during the 2018-2019 program year for the CSBG T&TA application process.

Notes:

Section 8: State Training and Technical Assistance

Feedback received from stakeholders:

- To provide additional training opportunities on the CSBG grant application, CSBG administration, and Results Oriented Management Accountability (ROMA).
- An updated/revised CSBG policy and procedure Manual.

ODSA Program Administration Changes:

- Training on the revised CSBG grant application is tentatively scheduled for September of 2017.
- During the 2018-2019 grant period, ODSA will work eligible entities to assess needs for ROMA Implementer training and will partner with the national entities to plan and coordinate a training opportunity.
- The ODSA is in the process of updating the CSBG policy and procedures manual. The tentative release of the manual will be during the 2018-2019 grant period.

Notes:

Q: Any idea what training dates will be in September?

M: End of September, no dates yet.

Q: Are there opportunities for the agencies to provide feedback on rules put into place as a state?

M: We are trying to mimic the same process as with the guidelines, for the policy and procedures.

Comment: Try to come up with a shortened form

M Question: What feedback opportunities help the most?

Online surveys?: Response from audiences was a definite "yes"

Listening Sessions?

Public Hearings?

Section 9: State Linkages and Communication

Feedback received from stakeholders:

- The ODSA should work to enhance partnerships with state agencies in order to encourage partnerships with local agencies administering comparable programs.
- Additional means to obtain resource materials from the ODSA.

Changes made to the CSBG State Plan:

- The narrative was updated to include information on the ODSA's effort to engage in a memorandum of understanding with multiple state agencies an effort to better coordinate services under programs such as the Supplemental Nutrition Assistance Program and the Workforce Innovation and Opportunity Act.
- The narrative requesting information on the coordination among the State Association, eligible entities and the State was updated to include the recently convened working group with 11 CSBG Coordinators from eligible entities throughout Ohio. This working group provided feedback on the development of the CSBG Grant Application (Community Action Plan) and on developing training materials for the newly revised grant application.
- The ODSA is in the process of developing a "provider website" for eligible entities to easily obtain CSBG administration materials.

Notes:

Comment: There is a biased towards ODJFS

Q: The boxes checked in this section – some are checked and some are not, why?

M: Because the ones that are checked are ones that we have direct relationships with. If you feel there are any that are not checked that we should explore, please make suggestions.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

Notes:

Section 11: Eligible Entity Tripartite Board

Notes:

Section 12: Individual and Community Eligibility Requirements

Notes:

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

Notes:

Section 14: CSBG Programmatic Assurances and Information Narrative

Notes:

Section 15: Federal Certifications

Notes:

Additional Conversation:

Q: Where in the structure should referral and referral follow ups be?

M: Follow ups are hard to track and measure. Don't feel mandated to do it one way or the other.

M: The feds are moving towards being more number/data driven

Q: What do you do when you service people in January and then again in February?

M: Goals and services reporting should be unduplicated. Goal is to put together a narrative piece that can be handed to someone when they walk in the door that will tell the stories.

Public Hearing Notice

The Ohio Development Services Agency (ODSA) will hold a legislative and public hearing on its Federal Fiscal Year 2016-2017 State Plan governing the use and oversight of Community Services Block Grant (CSBG) funds. The legislative and public hearing will provide members of the Ohio General Assembly and members of the public an opportunity to comment on the two-year CSBG State Plan and Ohio's use of CSBG resources. Legislators and members of the public are also invited to provide recommendations in anticipation of Ohio's 2018-2019 CSBG State Plan. Input received will inform and assist ODSA with the development process for the 2018-2019 CSBG State Plan, to begin in January 2017.

The Ohio Development Services Agency, the state's CSBG administering agency, will hold the hearing on Thursday, August 18, 2016, at 2:00 P.M. at the Vern Riffe Center, 31st Floor Conference Center in Room East B located at 77 South High Street, Columbus, Ohio.

The hearing will proceed until all testimony is heard. Anyone unable to attend or preferring not to testify verbally may submit written testimony. Written comments may be sent in an email to CSBG@development.ohio.gov or mailed to the address shown below.

Copies of the 2016-2017 CSBG State Plan are available by request via email to CSBG@development.ohio.gov or on the website at https://www.development.ohio.gov/is/is_energyassist.htm.

Written comments or requests for copies of the state plan can be sent to:

**CSBG State Plan
Ohio Development Services Agency
Office of Community Assistance
P.O. Box 1001
Columbus, Ohio 43216-1001**

1 BEFORE THE OHIO DEVELOPMENT SERVICES AGENCY

2 OFFICE OF COMMUNITY ASSISTANCE

3
4 - - -

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6 In the Matter of:

7
8 Community Services Block Grant

9 2016-2017 State Plan Legislative and Public Hearing

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11 - - -

12 TRANSCRIPT OF PROCEEDINGS

13 - - -

14
15 Thursday, August 18, 2016
16 2:04 p.m.
17 Vern Riffe Center
18 77 South High Street, 31st Floor
19 Columbus, Ohio

20 - - -

21 TRACI E. PEOPLES
22 PROFESSIONAL COURT REPORTER

23 - - -

24 ANDERSON REPORTING SERVICES, INC.
25 3242 West Henderson Road
 Columbus, Ohio 43220
 (614) 326-0177
 FAX (614) 326-0214

1 SPEAKERS:

2

 Randy Hunt, Deputy Chief

3

 Melissa Stanford, Section Supervisor

 Philip Cole

4

 Lisa Hamler-Fugitt

 Tim Donnellan

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Page 3	Page 4
<p>1 THURSDAY AFTERNOON SESSION 2 August 18, 2016 3 2:04 p.m. 4 --- 5 PROCEEDINGS 6 --- 7 BE IT REMEMBERED THAT, on the 18th day of August, 2016, 8 this cause came on for hearing. And, the parties appearing in 9 person and/or by counsel, as hereinafter set forth, the 10 following proceedings were had: 11 --- 12 MR. HUNT: Good afternoon, everybody. My name is Randy 13 Hunt. I'm deputy chief in the Office of Community Assistance 14 with the Development Services Agency. I want to welcome you 15 all here today for the 2016-2017 State Plan Legislative and 16 Public Hearing. 17 As most of you know, we do have a two-year cycle for our 18 state plan, which we did submit last year. We are on the 19 two-year cycle as the calendar year 2016-2017. We will have a 20 new state plan, starting the process next year, in which we 21 will be seeking comments from folks and additional information 22 for the 2018-2019 State Plan. 23 Our federal funder, the U.S. Department of Health and 24 Human Services, does require that every three years we have a 25 legislative hearing, which is what is the purpose of us -- the main purpose of having the hearing today and being able to</p>	<p>1 meet that requirement. 2 We also think it's a good opportunity to take comments on 3 our current state plan and any feedback in terms of how -- 4 what's out there now and how the program is working. 5 This is also an opportunity to begin gathering input for 6 the next two-year state plan. So both of those are 7 opportunities for today. 8 I want to remind everybody to, if you haven't, please 9 sign in. And if you do wish to offer testimony today, if you 10 could please fill out a witness slip if you haven't done that 11 already and you -- and when we get to the section you want to 12 testify, you can come up and fill out the slip at that time. 13 So you don't need to feel that if you haven't filled out a 14 slip you can't testify. 15 With that, I would like to turn the program over to -- 16 the hearing over to Melissa Stanford. She's the section 17 supervisor for CSBG and HEAP. She'll be going over some of 18 the highlights of the plan and providing some information. 19 So Melissa? 20 MS. STANFORD: Thank you. 21 Good afternoon. I'm so pleased to see so many people 22 with us today to talk about our current 2016-2017 State Plan 23 for the State of Ohio for our use and implementation of the 24 Community Services Block Grant. 25 Part of what is contemplated with CSBG, which is our</p>
Page 5	Page 6
<p>1 short name for the block grant, is that the population being 2 served, the local agencies involved in its implementation and 3 other interested parties and stakeholders have a part in 4 helping us develop that plan. 5 And so, as Randy mentioned, this is an opportunity for 6 check-in on the current plan. It's an opportunity to begin to 7 think about the plan that we'll begin working on in earnest in 8 2017 for our next two-year state plan. 9 So we're glad you're here to be a part of this and to 10 hear a little bit about what's contained in our current plan. 11 And, as Randy mentioned, if you'd like to testify, we'd love 12 to hear from you today. But welcome one and all. 13 I wanted to start with talking a little bit about the 14 assurances that are contained in the CSBG State Plan, because 15 they really embody a lot of the purposes and the activities 16 that are associated with CSBG. 17 The assurances are part of the plan. They are in 18 Section 14. And they -- in a sense, they describe how CSBG 19 will be carried out at the state level and at the local level. 20 The assurances address who will be assisted, and that is 21 individuals and families at 125 percent of the federal poverty 22 level or below. And it addresses very specific things that 23 are contained in the grant. 24 CSBG is designed to help families and individuals remove 25 obstacles that block their ability to become self-sufficient,</p>	<p>1 to secure and retain meaningful employment, to attain an 2 adequate education and improved literacy. 3 So, as you can see already, those are broad areas that 4 are contemplated to be addressed with these federal funds -- 5 really, with this federal investment in each state to help 6 people who are at lower income levels. 7 In addition, it's designed to help recipients make better 8 use of their available income, to obtain and maintain housing 9 and a suitable living environment, to receive emergency 10 assistance to meet urgent needs. And the federal law calls 11 out specifically emergency food and nutrition services, for 12 example. 13 It also talks about lower income populations, such as 14 those around the state of Ohio being able to achieve 15 opportunities for grant participation in the affairs of the 16 communities where they live and work. This could include 17 partnerships that might exist with law enforcement agencies 18 and others in the community that can be important for having a 19 true community at the local level. Our local implementing 20 agencies, community action agencies, have an integral role in 21 this at the local level. 22 The assurances also cover the needs of youth, supporting 23 the role of the family, prevention of crime. It contemplates 24 community-based and coordinated youth development programs, 25 and certainly after-school programs. And many of our agencies</p>

1 do operate after-school programs.
2 It also states explicitly that there should be
3 coordination with other programs that support the purposes of
4 CSBG. It contemplates partnerships with those entities,
5 coordination to fill service gaps, and coordination
6 specifically on workforce and employment and training
7 activities. And this is all done within a management
8 framework known as ROMA, which I'm going to be talking about
9 in a few minutes.
10 But I first wanted to share with you another section of
11 the plan. This is found in Section 3. I won't be reviewing
12 all sections of the plan today. But this is important because
13 there were three statewide goals that were set as part of the
14 plan for '16-'17. And that included: To support community
15 action agencies in meeting all organizational standards.
16 These are standards that agencies were required to meet in
17 2016. And our review of agencies and implementation of these
18 is ongoing.
19 To provide information and training to support better
20 formation, understanding of responsibilities and
21 accountability of tripartite boards. The CSBG Block Grant has
22 a specific requirement for the type of board a local community
23 action agency should have. And this includes, very
24 importantly, local public officials. It also requires that
25 low-income persons have a role on those boards or those that

1 represent the low-income population who could be served by the
2 block grant. And the board also must include other interests
3 in the community. That could include law enforcement, as I
4 mentioned earlier; education -- educational entities; private
5 businesses; healthcare providers. All might participate on a
6 community action agency's tripartite board.
7 The third statewide goal is improving customer service.
8 And this is our goal for improving our customer service to the
9 grantee agencies who carry out this program at the local
10 level, assuring that those services are provided to the
11 ultimate customer and working well with our internal
12 customers. So we see that in a broad way. Both are very --
13 and it is also an important agency-wide goal of the Ohio
14 Development Services Agency.
15 The other thing I wanted to talk a little bit about that
16 is included in the plan is monitoring and oversight. The
17 federal law prescribes the State's duties with regard to
18 monitoring. And it ties in very well with the new
19 organizational standards.
20 It says in specific -- it says in Section 278(b) of the
21 CSBG Act that in order to determine whether eligible
22 entities -- eligible entities are the community action
23 agencies. They are the prescribed recipients of CSBG funds.
24 And this is directed in our role to them. In order to
25 determine whether eligible entities meet the performance

1 goals, the administrative standards financial management
2 requirements and other requirements of the state, the State
3 shall conduct reviews.
4 We have to be out for a full onsite review at lease once
5 during every three-year period. In Ohio, it is our practice
6 to go out to see an agency every other year. We also would
7 follow up with agencies onsite if there were particular
8 problems that were identified during the review and when a
9 community action agency is newly designated. There's a
10 special requirement that we go out early in their designation
11 period to see how they're getting along and make sure
12 everything is going well.
13 The State Plan that we're talking about today includes in
14 the plan that we will visit all 48 of our community action
15 agencies during calendar year 2016. That will be a CSBG full
16 onsite review, and it will include assessing the agencies in
17 relation to the organizational standards, as I mentioned, that
18 went into effect this year.
19 The organizational standards have been under development
20 for a while. And they are in force now. And all across the
21 country, state-led agencies are going out to local community
22 action agencies to determine if they are meeting the standards
23 that were set for all of us by the federal government.
24 The areas that are included in the standards are
25 organizational leadership, board governance -- and this

1 pertains to the tripartite board that I described before --
2 strategic planning, human resource management, financial
3 operations and oversight, data and analysis, obtaining
4 consumer input and involving consumers and demonstrating low
5 income individuals' participation in the activities of the
6 CAA.
7 And so those standards are now in effect. And it's part
8 of a new improvement process under way, led by the federal
9 government, but heavily vetted with community action agencies
10 and states to ensure capacity at the local level to carry out
11 the purposes of this grant and make sure customers are served.
12 Another area of the grant, Section 8, which pertains to
13 organizational capacity at the local level, is the training
14 and technical assistance component of the grant. This is an
15 area of our work that has changed a little bit. At the time
16 we were filing our original plan about a year ago, an
17 amendment was passed in Ohio that requires us to disburse four
18 percent of our discretionary and a half percent of our
19 administrative funds to entities that meet certain criteria.
20 And that criteria pertains to being in operation by a date
21 certain and having as its purpose to provide technical
22 assistance to community action agencies.
23 In Ohio, there are two entities that are receiving funds
24 currently under this new amendment, and that is the training
25 arm of the Ohio Association of Community Action Agencies --

Page 11	Page 12
<p>1 it's known as OCATO, the Ohio Community Action Training 2 Organization -- and the Ohio Urban Resources System, OURS. 3 And so both of those are in place to provide training. They 4 provide conferences. We had a wonderful conference a few 5 months ago -- I guess just last month -- that was put on by 6 the Association of Community Action Agencies, with whom we 7 work closely. And the OURS group is made up of the large 8 urban community action programs who have special needs and 9 concerns because of their size and because of the 10 concentration of poverty, in many cases in large urban areas. 11 So some of the other services that are provided through 12 the OCATO branch in particular, there are training 13 conferences. There is assistance to local agencies with 14 strategic planning, which are also -- which is also a 15 requirement of the organizational standards. And there are 16 also triage services for agencies that are facing challenges. 17 The Community Services Block Grant does provide that agencies 18 that are having difficulty have an opportunity to set 19 themselves right. And our state associations have a role in 20 doing this. 21 And so those are the areas of the plan that I wanted to 22 highlight today. As Randy mentioned, we are in the midpoint 23 of our two-year plan. We are beginning to think about and lay 24 the groundwork for the plan that we will be working on more 25 diligently in submitting to the federal government for 2018</p>	<p>1 and 2019. And that will happen about one year from now. So 2 it's a cycle that will continue. 3 So, with that, I will conclude my direct remarks. And I 4 do have one witness slip so far. I'll invite that individual 5 to come up. And if there are others that wish to testify, 6 please complete a witness slip for the record, and we would be 7 happy to hear from you today. 8 Please note that testimony doesn't have to be formal. 9 You -- it can be short and sweet if you'd like or -- don't 10 feel that if you weren't planning to testify today that you 11 can't do so if you are inspired to do so now. 12 When you testify, we do keep a record. And so please 13 state your full name and affiliation. And please try to limit 14 your remarks to about five minutes. 15 And, with that, I'll call up the executive director of 16 the Ohio Association of Community Action Agencies, Mr. Phil 17 Cole. 18 MR. COLE: Thank you, Melissa. That was great 19 presentation too. Thank you very much. 20 Good afternoon. I'm Phil Cole. I'm the executive 21 director of the Ohio Association of Community Action Agencies. 22 As you know, we are an organization that represents Ohio's 48 23 community action agencies that cover all 88 counties in Ohio. 24 Community action agencies are the primary providers of 25 services to eliminate poverty and to assist those who suffer</p>
Page 13	Page 14
<p>1 its ravages as they work to become self-sufficient. 2 I know the Development Services Agency is quite familiar 3 with community action, but, for the record, I will mention 4 some of the important numbers that you already know. As we 5 work to assist people in poverty, community action agencies 6 serve over 700,000 individual Ohioans. We employ over 6500 7 people, and we bring over a half a billion dollars to Ohio's 8 economy each year. That doesn't count the money created by 9 the people who we prepare for employment and then find jobs 10 for them. If you add that money in, it would be a over that. 11 I'm here to testify about the current two-year Community 12 Services Block Grant State Plan, as proposed by ODSA, the 13 Community Services Division, Office of Community Assistance. 14 And I will also ask for consideration on certain issues in the 15 next state plan. 16 I want to extend my appreciation to Mike Hiler, Randy 17 Hunt and Melissa Stanford for the time they put into this 18 plan, which has been a lot. Thank you very much. You guys do 19 good work. 20 The Community Services Block Grant is the core funding of 21 community action agencies, which makes the work of so many 22 other programs possible and allows us to assist people 23 effectively and efficiently. The plan offers limited -- the 24 plan offers a limited description of the effects of the CSBG 25 program, the leveraging of these funds by these agencies, and</p>	<p>1 its wise use in Ohio's communities. 2 Now, we regret that the template required by the federal 3 government now does not include space for the significant 4 narratives about Ohio's Community Action Agencies -- 5 narratives which Ohio supplied before the template was 6 created. Often working together -- usually working together, 7 both our community action agencies and the Development 8 Services Agency do significant work for the people of Ohio. 9 I do want to point out that the Federal Reserve of 10 Cleveland this week issued its "Special Report on Addressing 11 Employment Needs through Sector Partnerships." And, in their 12 narratives, they discussed some significant work of Ohio's 13 community action agencies. One of the five case studies they 14 listed -- or of the five case studies they listed, two 15 involved our agencies -- WSOS Community Action Commission and 16 the West Ohio Community Action Partnership, under its previous 17 name of Lima-Allen Council on Community Affairs. 18 One of the characteristics that makes Community Action 19 Agencies special is that people must trust and know they will 20 be treated with respect. As you know, the people we serve 21 elect representatives to our board, which means some members 22 of the low-income community serve on our boards and make 23 decisions that affect them and their neighbors. This is 24 significant and separates us from most other organizations or 25 from government agencies.</p>

1 One of the ways this is significant is reflected in the
2 state plan in Section 3.1, "CSBG Lead Agency Mission and
3 Responsibilities." This section of the plan states that:
4 "The Ohio Development Services Agency is committed to creating
5 jobs and building strong communities." And I'll return to
6 this part in a moment. And it continues with: "The Office of
7 Community Assistance administers CSBG, the Home Energy
8 Assistance Program, Home Weatherization Assistance Program and
9 others to form a comprehensive strategy to build stronger
10 families and healthier communities throughout Ohio."

11 It is through the coordination of these programs and the
12 comprehensive strategy of DSA and our local community action
13 agencies working together that so much good is accomplished.
14 Through our agencies, and specifically our boards and the
15 people of lower incomes who serve on them and design solutions
16 for their needs, we work these programs to make them as
17 effective and as efficient as possible.

18 CSBG has the flexibility to meet individual community
19 needs. And programs like HEAP and CSBG make more efficient --
20 are more efficient by bringing to our agencies people who will
21 not go to other agencies, including especially groups like
22 veterans and newly laid-off employees. It is the trust in us
23 and our programs that allow these individuals to be served.
24 When we are able to begin to serve them, we are able to begin
25 to assist them with plans to leave the economic cycle that

1 be spent to comply with these requirements. I hope that DSA
2 will understand what a burden this is and work with us to
3 lessen this. And we appreciate your work and the help that
4 you have given us so far on this. And we are looking forward
5 to your continued help, because we're really going to need it.

6 Last, as you know, the Ohio Revised Code Section 122.702
7 and federal law requires the plan to be presented to a
8 committee of the General Assembly for discussion. This has
9 been a challenge over the last several years, and the State
10 has done as best as possible to meet this requirement. And
11 you are certainly commended for that, because the General
12 Assembly did make this difficult.

13 However, I do ask that in the future to clear this hurdle
14 you recall that the Ohio House of Representatives Committee on
15 Community and Family Development was created to discuss
16 poverty programs, poverty problems and propose poverty
17 solutions. This committee holds issues hearings, and I am
18 sure that new Chairman Tim Ginter would be willing to hold the
19 hearing on the CSBG State Plan, as he is very familiar with
20 the work of community action. And this would be a great
21 opportunity to discuss what DSA plans for the proposed use of
22 CSBG for the next year and also to bring them up-to-date on
23 what has been accomplished in previous years. It's always a
24 good idea to let the General Assembly know what's going on and
25 keep them informed.

1 brings them to our agencies in the first place. Most other
2 nonprofits and government agencies are not created to actually
3 work with people to get them out of poverty.

4 In the State Plan, Section 3.3B includes, as a state
5 partner or stakeholder in the development of the State Plan,
6 the Ohio Office of Workforce Development at ODJFS. We think
7 it will help very much in the mission and responsibilities
8 listed of DSA in Section 3.1 to create jobs in communities if
9 involvement of that office and the governor's office of
10 Workforce Transformation extended beyond this consultation.

11 We have a proven record of being able to prepare people for
12 employment and help them gain employment, especially with the
13 hard to employ that are not helped in other places. Again, I
14 mention the special report by the Federal Reserve of
15 Cleveland, and I encourage you to read that.

16 We hope that as the State looks to community action
17 agencies and the CSBG Program as the next CSBG State Plan is
18 developed, that DSA will make good use of our experience and
19 success in job training and employment.

20 Also, we look to -- as we look to the next State Plan, we
21 hope that the Development Services Agency will keep in mind
22 the excess costs which it appears will be imposed on local
23 agencies by the federal government to comply with ROMA Next
24 Generation. From the input of our agencies, it appears that
25 10 percent and 16 percent of each agency's CSBG dollars will

1 Again, I want to thank all of the individuals at DAS,
2 especially Melissa and Randy, in the creation of this plan and
3 for all your hard work. I thank you very much.

4 MS. STANFORD: I'd like to invite Lisa Hamler-Fugitt up
5 from the Ohio Association of Food Banks to testify today.

6 MS. HAMLER-FUGITT: Good afternoon. My name is Lisa
7 Hamler-Fugitt, and I serve as the executor director of the
8 Ohio Association of Food Banks, Ohio's largest charitable
9 response to hunger. We are also home of the Ohio Benefit
10 Bank, and we serve as the lead agency for the Federal
11 Navigator Grant from the centers for Medicare and Medicaid,
12 connecting Ohioans in need who live in poverty to a broad
13 array of work support, health care, tax credits and
14 educational benefits.

15 I'd like to start my brief remarks today by echoing the
16 statements of my colleague, Phil Cole, that the association
17 applauds and commends the management staff and leadership of
18 Ohio Department of Services Agency, Community Services
19 Division, the Office of Community Assistance and Ohio's
20 community action agencies and the thousands of staff people
21 who fight hunger and poverty every day in communities across
22 this great state. Their partnership and efforts to help
23 remove obstacles and provide vital basic services to combat
24 poverty and hunger in our communities are critically
25 important.

Page 19	Page 20
<p>1 As Ohio's largest charitable response to hunger, we have 2 the great good fortune every day to work with many of the 3 community action agencies across the state. In fact, of our 4 12 food banks, one of our food banks, the Second Harvest Food 5 Bank of Southeast Ohio, is a program of the 6 Hocking-Athens-Perry Community Action Agency. And many of the 7 community action agencies not only run local food pantries to 8 serve their hungry friends and neighbors, but a broad array of 9 other critical nutrition assistant programs; including, but 10 not limited to: The outside school hour care center program, 11 serving low-income children who are involved in after-school 12 activities; the child/adult care food program for those who 13 are being served within your Head Start centers; and, most 14 importantly, the summer food service program for children. 15 And I'd like to feature just a couple of wonderful 16 collaborations that have been so important in our partnership 17 to ensure that service delivery, coordination and innovation 18 are the key spokes of the Community Services Block Grant 19 across our state. 20 Before I highlight just a few of the accomplishments of 21 these important partnerships, I'd also like to say that I do 22 believe that current format as mandated by HHS does a 23 disservice to the work of community action agencies. As Phil 24 Cole stated -- and I believe we had this conversation last 25 year -- the current narrow format of CSBG without the</p>	<p>1 narratives available, again, warrant a revisiting with HHS for 2 further expansion and exploration and an opportunity to 3 highlight exactly the accomplishments, the coordination, the 4 leveraging and the innovations achieved by our community 5 action agencies in the areas of innovation and linkages. 6 The partnerships that the community action agencies 7 provide to our network and direct program services are to be 8 highlighted and focused, that the work of the 9 Washington-Morgan Community Action Agency, the 10 Hocking-Athens-Perry Community Action Agency, as well as the 11 Pike -- Community Action Agency of Pike County have been 12 invaluable in the area of providing services through the 13 Navigator Grant, connecting uninsured or underinsured Ohioans 14 with healthcare, the partnership with the governor's office of 15 faith-based and community initiatives by providing weekend 16 take-home grocery programs -- as well as home delivery 17 programs have had a significant impact in the communities and 18 are reaching individuals where they live, work, play, pray and 19 learn. And, again, leveraging scarce resources at the 20 community level to ensure good coordination, linkages, as well 21 as emergency food services and nutrition assistance to those in 22 need. 23 I would also like to state that I believe that it's 24 absolutely critically important to our CSBG grants, the 25 community action agency and the work of the Ohio Department</p>
Page 21	Page 22
<p>1 Services Agency's Community Service Division to be 2 incorporated in the State's Workforce Innovation and 3 Opportunity Act, or WIOA plan. There continues to be a 4 significant disconnect from the services that are being 5 provided within our CSBG funded agencies, the clients that 6 need the assistance and the work at the local community levels 7 through our workforce investment boards. 8 In closing, the Ohio Association of Food Banks strongly 9 supports and highly recommends the Community Services Block 10 Grant, federal fiscal year State Plan that's being submitted 11 by the Ohio Development Services Agency, Community Services 12 Division, Office of Community Assistance and Ohio's community 13 action agencies, we applaud your efforts and thank you deeply 14 for your efforts to fight poverty in communities in serving 15 our most vulnerable citizens, helping to meet their basic 16 needs and ultimately achieve self-sufficiency. 17 Thank you for your time. 18 MS. STANFORD: Thank you both for your testimony today. 19 Is there anybody else in the room that would like to 20 testify today? 21 Before I turn the podium back over to my boss, Randy 22 Hunt, I would also like to acknowledge my team. We have a 23 group of five field representatives who do the monitoring for 24 this program and renew grant applications for CSBG funded 25 programs. And that includes -- if you'll raise your hand when</p>	<p>1 I call your name -- Alicia Sullivan -- many of you know 2 Alicia -- Tamara Johnson; Mark Alderman; Michael Higgins, who 3 may have stepped out of the room. And she is not with us 4 today, but our fifth field rep is Celeste Krolak. 5 I would also like to acknowledge my other boss, Megan 6 Meadows, and thank her for being here today. 7 Is there anyone else who would like to testify today? 8 Yes? 9 Mr. Tim Donnellan. 10 MR. DONNELLAN: Thank you. My name is Tim Donnellan. I 11 am the president of the Community Action Partnership of the 12 Greater Dayton area. 13 And there's two things about this that -- well, you've 14 given us five minutes. There's something very sadistic about 15 telling an Irishman to limit his time to five minutes, number 16 one. Number two, if somebody asks you to make additional 17 comments, if your name is Donnellan, you just have to say 18 something. 19 I'd like to just say one thing. Melissa, your 20 presentation and comments and everything, one of the purposes 21 of your office is the oversight and monitoring and that sort 22 of thing of agencies. Our experience with your office in the 23 community services field has always been very positive. That 24 is from the field and from the heart. And I just can't say 25 anything better or more positive. I just needed to say that.</p>

1 The second thing, just to follow up on Phil's point about
2 ROMA Next Generation, there is -- one of our jobs, we get to
3 collect data for -- not really. But we've been collecting
4 data for a long time about this. We have an agency, one of
5 our sister agencies, said they pay something like \$65,000 of a
6 \$400 CSBG Grant to comply with the requirements. And there's
7 just something about that.

8 Our own agency, we would, as a minimum, have to provide
9 another full-time staff person dedicated completely to ROMA
10 New Generation. Here's the point of all of that. There's an
11 irony to that. Because with the Community Services Block
12 Grant, there is an enormous opportunity that probably nobody
13 else has. There's a magic -- there's something compelling
14 about it. And that is for years we've been able to address
15 the needs of poverty, individual agencies in our local
16 communities with creativity and vision.

17 And it's just ironic that that much money of CSBG dollars
18 really is a diminishment of the vision and the service that we
19 are supposed to be providing. So CSBG dollars are really
20 being used against itself. Maybe it's just me, but I just
21 don't understand that. And I think just to follow up on what
22 Phil said, I think that just needed to be said.

23 Thank you.

24 MS. STANFORD: Are there others that would like to share
25 remarks today?

1 If not, you can see on the screen that you can send us
2 comments to our e-mail address or mail it to us. If you would
3 like to send comments to us following the meeting, you are
4 certainly welcome to so.

5 I would now like to call Randy Hunt back up to the
6 podium. And, again, from me, thank you so much for coming.

7 Randy Hunt, our office chief in the Office of Community
8 Assistance.

9 MR. HUNT: Thanks, Melissa. And thanks to all of people
10 for taking the time to come here today. I know some folks
11 traveled a long distance to come here. I especially want to
12 thank Phil and Lisa and Tim for your testimony and your
13 remarks. It's very much appreciated.

14 With that, that does conclude our public hearing and
15 legislative hearing for the Community Services Block Grant in
16 Ohio. Again, thank you for coming, and we look forward to
17 working with you in the future.

18 ---

19 And, thereupon, the proceeding was concluded at
20 approximately 2:41 p.m.

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C-E-R-T-I-F-I-C-A-T-E

I do hereby certify that the foregoing is a true, correct
and complete written transcript of the proceedings in this
matter, taken by me on the _____ day of _____,
and transcribed from my stenographic notes.

Traci E. Peoples
Professional Reporter and
Notary Public in and for the
State of Ohio

My commission expires on July 15, 2019.

<u>WORD INDEX</u>				
< \$ >	326-0214	Act 8:21	administrati	7:23
\$400 23:6	1:25	21:3	ve 9:1	8:14 9:6,
\$65,000	< 4 >	action	10:19	9 13:2
23:5	43220 1:24	6:20	adult	14:8
	48 9:14	7:15, 23	19:12	15:2, 4
	12:22	8:6, 22	affairs	16:21
		9:9, 14,	6:15	18:10, 18
< 1 >		22 10:9,	14:17	19:6
10 16:25	< 6 >	22, 25	affect	20:9, 10,
12 19:4	614 1:24,	11:1, 6, 8	14:23	11, 25
122.702	25	12:16, 21,	affiliation	21:11
17:6	6500 13:6	23, 24	12:13	23:4, 8
125 5:21		13:3, 5,	AFTERNOON	agency's
14 5:18	< 7 >	21 14:4,	3:1, 11	8:6
15 25:16	700,000	7, 13, 15,	4:21	16:25
16 16:25	13:6	16, 18	12:20	21:1
16-'17	77 1:16	15:12	18:6	agency-wide
7:14		16:16		8:13
18 1:15	< 8 >	17:20	after-school	ago 10:16
3:1	8 10:12	18:20	6:25 7:1	11:5
18th 3:6	88 12:23	19:3, 6, 7,	19:11	Alderman
		23 20:5,	agencies	22:2
< 2 >	< A >	6, 9, 10,	5:2 6:17,	Alicia
2:04 1:15	ability	11, 25	20, 20, 25	22:1, 2
3:2	5:25	21:13	7:15, 16,	allow
2:41 24:20	able 3:25	22:11	17 8:9,	15:23
2016 1:15	6:14	activities	23 9:7,	allows
3:1, 6	15:24, 24	5:15 7:7	15, 16, 21,	13:22
7:17 9:15	16:11	10:5	22 10:9,	amendment
2016-2017	23:14	19:12	22, 25	10:17, 24
1:9 3:14,	absolutely	add 13:10	11:6, 13,	analysis
18 4:22	20:24	addition	16, 17	10:3
2017 5:8		6:7	12:16, 21,	ANDERSON
2018 11:25	accomplished	additional	23, 24	1:23
2018-2019	15:13	3:20	13:5, 21,	anybody
3:21	17:23	22:16	25 14:4,	21:19
2019 12:1	accomplishme	address	7, 13, 15,	appearing
25:16	nts 19:20	5:20	19, 25	3:7
278 8:20	20:3	23:14	15:13, 14,	appears
	accountabili	24:2	20, 21	16:22, 24
< 3 >	ty 7:21	addressed	16:1, 2,	applaud
3 7:11	achieve	6:4	17, 23, 24	21:13
3.1 15:2	6:14	addresses	18:20	applauds
16:8	21:16	5:22	19:3, 7,	18:17
3.3B 16:4	achieved	Addressing	23 20:5,	applications
31st 1:16	20:4	14:10	6 21:5,	21:24
3242 1:23	acknowledge	adequate	13 22:22	appreciate
326-0177	21:22	6:2	23:5, 15	17:3
1:24	22:5	administers	AGENCY	
		15:7	1:1 3:13	

appreciated 24:13	18:5, 8, 16 21:8	bit 5:10, 13 8:15 10:15	< C > CAA 10:6 calendar 3:18 9:15	characterist ics 14:18 charitable 18:8 19:1
appreciation 13:16	associations 11:19	Block 1:8 4:24 5:1, 25 7:21	call 12:15	check-in 5:6
approximatel y 24:20	assurances 5:14, 17, 20 6:22	8:2 11:17	22:1 24:5 calls 6:10	Chief 2:1 3:12 24:7
area 10:12, 15 20:12 22:12	assuring 8:10	13:12, 20 19:18	capacity 10:10, 13	child 19:12
areas 6:3 9:24 11:10, 21	attain 6:1 August 1:15 3:1, 6	21:9 23:11 24:15	care 18:13 19:10, 12	children 19:11, 14
ares 20:5 arm 10:25	available 6:8 20:1	board 7:22 8:2, 6 9:25	carried 5:19	citizens 21:15
array 18:13 19:8	< B > back 21:21	10:1 14:21	carry 8:9 10:10	clear 17:13
asks 22:16	24:5	boards 7:21, 25	case 14:13, 14	Cleveland 14:10 16:15
Assembly 17:8, 12, 24	Bank 18:10	14:22 15:14	cases 11:10	clients 21:5
assessing 9:16	19:5	21:7	cause 3:7	closely 11:7
assist 12:25 13:5, 22 15:25	Banks 18:5, 8 19:4, 4 21:8	boss 21:21 22:5	Celeste 22:4	closing 21:8
ASSISTANCE 1:2 3:12 6:10 10:14, 22 11:13 13:13 15:7, 8, 8 18:19 21:6, 12 24:8	basic 18:23 21:15	branch 11:12	Center 1:16 19:10	Code 17:6 Cole 2:3 12:17, 18, 20 18:16 19:24
assistant 19:9 20:21	beginning 11:23	brief 18:15	centers 18:11 19:13	collaboratio ns 19:16
assisted 5:20	believe 19:22, 24 20:23	bring 13:7 17:22	certain 10:19, 21 13:14	colleague 18:16
associated 5:16	Benefit 18:9	bringing 15:20	certainly 6:25 17:11 24:4	collect 23:3
Association 10:25 11:6 12:16, 21	benefits 18:14	brings 16:1	C-E-R-T-I-F- I-C-A-T-E 25:5	collecting 23:3
	best 17:10	broad 6:3 8:12 18:12 19:8	certify 25:7	Columbus 1:17, 24
	better 6:7 7:19 22:25	build 15:9	Chairman 17:18	combat 18:23
	beyond 16:10	building 15:5	challenge 17:9	come 4:12 12:5 24:10, 11
	billion 13:7	businesses 8:5	challenges 11:16	coming 24:6, 16
			changed 10:15	commended 17:11

commends 18:17	6, 9, 10, 11, 15, 20,	contained 5:10, 14, 23	created 13:8 14:6 16:2 17:15	cycle 3:16, 18 12:2 15:25
comments 3:20 4:2 22:17, 20 24:2, 3	25 21:1, 6, 9, 11, 12, 12 22:11, 23 23:11	contemplated 4:25 6:4	creating 15:4	< D >
Commission 14:15 25:16	24:7, 15	contemplates 6:23 7:4	creation 18:2	DAS 18:1
committed 15:4	community-ba sed 6:24	continue 12:2	creativity 23:16	data 10:3 23:3, 4
committee 17:8, 14, 17	compelling 23:13	continued 17:5	credits 18:13	date 10:20
communities 6:16 14:1 15:5, 10 16:8 18:21, 24 20:17 21:14 23:16	complete 12:6 25:8	continues 15:6 21:3	crime 6:23	day 3:6 18:21 19:2 25:9
COMMUNITY 1:2, 8 3:12 4:24 6:18, 19, 20 7:14, 22 8:3, 6, 22 9:9, 14, 21 10:9, 22, 25 11:1, 6, 8, 17 12:16, 21, 23, 24 13:3, 5, 11, 13, 13, 20, 21 14:4, 7, 13, 15, 16, 17, 18, 22 15:7, 12, 18 16:16 17:15, 20 18:18, 19, 20 19:3, 6, 7, 18, 23 20:4,	completely 23:9 comply 16:23 17:1 23:6 component 10:14 comprehensiv e 15:9, 12 concentratio n 11:10 concerns 11:9 conclude 12:3 24:14 concluded 24:19 conduct 9:3 conference 11:4 conferences 11:4, 13 connecting 18:12 20:13 consideratio n 13:14 consultation 16:10 consumer 10:4 consumers 10:4	conversation 19:24 coordinated 6:24 coordination 7:3, 5, 5 15:11 19:17 20:3, 20 core 13:20 correct 25:7 costs 16:22 Council 14:17 counsel 3:8 count 13:8 counties 12:23 country 9:21 County 20:11 couple 19:15 COURT 1:21 cover 6:22 12:23 create 16:8	critically 18:24 20:24 CSBG 4:17, 25 5:14, 16, 18, 24 7:4, 21 8:21, 23 9:15 13:24 15:2, 7, 18, 19 16:17, 17, 25 17:19, 22 19:25 20:24 21:5, 24 23:6, 17, 19 current 4:3, 22 5:6, 10 13:11 19:22, 25 currently 10:24 customer 8:7, 8, 11 customers 8:12 10:11	decisions 14:23 dedicated 23:9 deeply 21:13 delivery 19:17 20:16 demonstratin g 10:4 Department 3:22 18:18 20:25 Deputy 2:1 3:12 describe 5:18 described 10:1 description 13:24 design 15:15 designated 9:9 designation 9:10 designed 5:24 6:7 determine 8:21, 25 9:22

develop 5:4	18:19 21:1, 12	elect 14:21	exactly 20:3	5, 10 8:17
developed 16:18	doing 11:20	eligible 8:21, 22,	example 6:12	9:23 10:8
DEVELOPMENT 1:1 3:13	dollars 13:7	25	excess 16:22	11:25 14:2, 9
6:24	16:25	eliminate 12:25	executive 12:15, 20	16:14, 23 17:7
8:14	23:17, 19	e-mail 24:2	executor 18:7	18:10 21:10
9:19	Donnellan 2:4 22:9,	embody 5:15	exist 6:17	feedback 4:3
13:2	10, 10, 17	emergency 6:9, 11	expansion 20:2	feel 4:13 12:10
14:7	DSA 15:12	20:21	experience 16:18	field 21:23
15:4	16:8, 18	employ 13:6	22:22	22:4, 23,
16:5, 6,	17:1, 21	16:13	expires 25:16	24
21 17:15	duties 8:17	employees 15:22	explicitly 7:2	fifth 22:4 fight 18:21
21:11	< E >	employment 6:1 7:6	exploration 20:2	21:14 filing 10:16
difficult 17:12	earlier 8:4	13:9	extend 13:16	fill 4:10, 12 7:5
difficulty 11:18	early 9:10	14:11	extended 16:10	filled 4:13
diligently 11:25	earnest 5:7	16:12, 12,	< F >	financial 9:1 10:2
diminishment 23:18	echoing 18:15	19	facing 11:16	find 13:9 first 7:10 16:1
direct 12:3 20:7	economic 15:25	encourage 16:15	fact 19:3	fiscal 21:10
directed 8:24	economy 13:8	Energy 15:7	faith-based 20:15	five 12:14
director 12:15, 21	education 6:2 8:4	enforcement 6:17 8:3	familiar 13:2	14:13, 14 21:23
18:7	educational 8:4 18:14	enormous 23:12	17:19	22:14, 15
disburse 10:17	effect 9:18 10:7	ensure 10:10	families 5:21, 24	flexibility 15:18
disconnect 21:4	effective 15:17	19:17	15:10	Floor 1:16
discretionar y 10:18	effectively 13:23	20:20	family 6:23	focused 20:8
discuss 17:15, 21	effects 13:24	entities 7:4 8:4,	17:15	folks 3:20
discussed 14:12	efficient 15:17, 19,	22, 22, 25	far 12:4	24:10
discussion 17:8	20	10:19, 23	17:4	
disservice 19:23	efficiently 13:23	environment 6:9	FAX 1:25	
distance 24:11	efforts 18:22	especially 15:21	feature 19:15	
Division 13:13	21:13, 14	16:12	federal 3:22	
		18:2	5:21 6:4,	
		24:11		
		everybody 3:11 4:8		

follow 9:7 23:1, 21	future 17:13 24:17	14:3, 25 16:2, 23	happen 12:1	highlight 11:22
following 3:9 24:3	< G >	governor's 16:9	happy 12:7	19:20
food 6:11	gain 16:12	20:14	hard 16:13	20:3
18:5, 8	gaps 7:5	Grant 1:8	18:3	highlighted 20:8
19:4, 4, 4, 7, 12, 14	gathering 4:5	4:24 5:1, 23 6:15	Harvest 19:4	highlights 4:18
20:21	General 17:8, 11, 24	7:21 8:2	Head 19:13	highly 21:9
21:8	Generation 16:24	10:11, 12, 14 11:17	Health 3:22	Hiler 13:16
force 9:20	23:2, 10	13:12, 20	18:13	Hocking-Athe
foregoing 25:7	getting 9:11	18:11	healthcare 8:5 20:14	ns-Perry 19:6
form 15:9	Ginter 17:18	19:18	healthier 15:10	20:10
formal 12:8	given 17:4	20:13	HEAP 4:17	hold 17:18
format 19:22, 25	22:14	21:10, 24	15:19	holds 17:17
formation 7:20	glad 5:9	23:6, 12	hear 5:10, 12 12:7	Home 15:7, 8 18:9
forth 3:8	go 9:6, 10 15:21	24:15	Hearing 1:9 3:7, 15, 24, 25	20:16
fortune 19:2	goal 8:7, 8, 13	grantee 8:9	4:16	hope 16:16, 21
forward 17:4	goals 7:13 9:1	grants 20:24	17:19	17:1
24:16	going 4:17 7:8	great 12:18	24:14, 15	hour 19:10
found 7:11	9:12, 21	17:20	hearings 17:17	House 17:14
four 10:17	17:5, 24	18:22	heart 22:24	housing 6:8
framework 7:8	Good 3:11	19:2	heavily 10:9	Human 3:23 10:2
friends 19:8	4:2, 21	Greater 22:12	help 5:24	hunger 18:9, 21, 24 19:1
full 9:4, 15 12:13	12:20	grocery 20:16	6:5, 7	hungry 19:8
full-time 23:9	13:19	groundwork 11:24	16:7, 12	Hunt 2:1 3:11, 12
funded 21:5, 24	15:13	21:23	17:3, 5	13:17
funder 3:22	16:18	groups 15:21	18:22	21:22
funding 13:20	17:24	guess 11:5	helped 16:13	24:5, 7, 9
funds 6:4	18:6	guys 13:18	helping 5:4 21:15	hurdle 17:13
8:23	19:2	< H >	Henderson 1:23	< I >
10:19, 23	20:20	half 10:18	hereinafter 3:8	idea 17:24
13:25	governance 9:25	13:7	HHS 19:22	identified 9:8
further 20:2	government 9:23	Hamler-Fugit t 2:4	20:1	
	10:9	18:4, 6, 7	Higgins 22:2	
	11:25	hand 21:25	High 1:16	

impact 20:17	individual 12:4	Irishman 22:15	largest 18:8 19:1	literacy 6:2
implementati on 4:23	13:6	ironic 23:17	law 6:10,	little 5:10, 13
5:2 7:17	23:15	irony 23:11	17 8:3,	8:15
implementing 6:19	individuals 5:21, 24	issued 14:10	lay 11:23	10:15
important 6:18	10:5	issues 13:14	Lead 15:2	live 6:16
7:12	15:23	17:17	18:10	18:12
8:13	18:1	its 5:2	leadership 9:25	20:18
13:4	20:18	10:21	18:17	living 6:9
18:25	information 3:20	13:1	learn 20:19	local 5:2,
19:16, 21	4:18 7:19	14:1, 10,	lease 9:4	19 6:19,
20:24	informed 17:25	16	leave 15:25	19, 21
importantly 7:24	initiatives 20:15	< J >	led 10:8	7:22, 24
19:14	innovation 19:17	job 16:19	Legislative 1:9 3:14,	8:9 9:21
imposed 16:22	20:5 21:2	jobs 13:9	24 24:15	10:10, 13
improved 6:2	innovations 20:4	15:5	lessen 17:3	11:13
improvement 10:8	input 4:5	16:8 23:2	level 5:19, 19,	15:12
improving 8:7, 8	10:4	Johnson 22:2	22 6:19,	16:22
include 6:16 8:2,	16:24	July 25:16	21 8:10	19:7
3 9:16	inspired 12:11	< K >	10:10, 13	21:6
14:3	integral 6:20	keep 12:12	20:20	23:15
included 7:14	interested 5:3	16:21	levels 6:6 21:6	long 23:4
8:16 9:24	interests 8:2	17:25	leveraging 13:25	24:11
includes 7:23	internal 8:11	key 19:18	20:4, 19	look 16:20, 20
9:13	invaluable 20:12	know 3:16	Lima-Allen 14:17	24:16
16:4	investment 6:5 21:7	12:22	limit 12:13	looking 17:4
21:25	invite 12:4 18:4	14:19, 20	22:15	looks 16:16
including 15:21	involved 5:2	17:6, 24	limited 13:23, 24	lot 5:15
19:9	14:15	22:1	19:10	13:18
income 6:6, 8, 13	19:11	24:10	linkages 20:5, 20	love 5:11
10:5	involvement 16:9	known 7:8	Lisa 2:4	low 10:4
incomes 15:15	involving 10:4	11:1	18:4, 6	lower 6:6,
incorporated 21:2		Krolak 22:4	24:12	13 15:15
		< L >	listed 14:14, 14	low-income 7:25 8:1
		laid-off 15:22	16:8	14:22
		large 11:7, 10		19:11
				< M >
				magic 23:13
				mail 24:2
				main 3:25
				maintain 6:8

management	midpoint	needs	OFFICE	operation
7:7 9:1	11:22	6:10, 22	1:2 3:12	10:20
10:2	Mike 13:16	11:8	13:13	operations
18:17	mind 16:21	14:11	15:6	10:3
mandated	minimum	15:16, 19	16:6, 9, 9	opportunitie
19:22	23:8	21:16	18:19	s 4:7
Mark 22:2	minutes	23:15	20:14	6:15
Matter	7:9	neighbors	21:12	opportunity
1:6 25:9	12:14	14:23	22:21, 22	4:2, 5
Meadows	22:14, 15	19:8	24:7, 7	5:5, 6
22:6	Mission	network	officials	11:18
meaningful	15:2 16:7	20:7	7:24	17:21
6:1	moment	new 3:19	OHIO 1:1,	20:2
means	15:6	8:18	17, 24	21:3
14:21	money	10:8, 24	4:23	23:12
Medicaid	13:8, 10	17:18	6:14	order
18:11	23:17	23:10	8:13 9:5	8:21, 24
Medicare	monitoring	newly 9:9	10:17, 23,	Organization
18:11	8:16, 18	15:22	25 11:1,	11:2
meet 4:1	21:23	nonprofits	2 12:16,	12:22
6:10	22:21	16:2	21, 23	organization
7:16	month 11:5	Notary	14:5, 8,	al 7:15
8:25	months	25:15	16 15:4,	8:19
10:19	11:5	note 12:8	10 16:6	9:17, 19,
15:18	< N >	notes	17:6, 14	25 10:13
17:10	name 3:11	25:10	18 19:5	11:15
21:15	5:1	number	20:25	organization
meeting	12:13	22:15, 16	21:8, 11	s 14:24
7:15	14:17	numbers	24:16	original
9:22 24:3	18:6	13:4	25:16	10:16
Megan 22:5	22:1, 10,	nutrition	Ohioans	outside
Melissa	17	6:11	13:6	19:10
2:3 4:16,	narratives	19:9	18:12	oversight
19 12:18	14:4, 5,	20:21	20:13	8:16
13:17	12 20:1	< O >	Ohio's	10:3
18:2	narrow	obstacles	12:22	22:21
22:19	19:25	5:25	13:7	< P >
24:9	Navigator	18:23	14:1, 4,	p.m 1:15
members	18:11	obtain 6:8	12 18:8,	3:2 24:20
14:21	20:13	obtaining	19 19:1	pantries
mention	need 4:13	10:3	21:12	19:7
13:3	17:5	OCATO	once 9:4	Part 4:25
16:14	18:12	11:1, 12	ongoing	5:3, 9, 17
mentioned	20:22	ODJFS 16:6	7:18	7:13
5:5, 11	21:6	ODSA 13:12	onsite	10:7 15:6
8:4 9:17	needed	offer 4:9	9:4, 7, 16	participate
11:22	22:25	offers	operate	8:5
Michael	23:22	13:23, 24	7:1	
22:2				

participatio n 6:15 10:5	pertains 10:1, 12, 20	pleased 4:21	previous 14:16 17:23	provide 7:19 10:21
particular 9:7 11:12	Phil 12:16, 20	podium 21:21 24:6	primary 12:24	11:3, 4, 17 18:23
parties 3:7 5:3	18:16 19:23	point 14:9 23:1, 10	private 8:4	20:7 23:8
partner 16:5	23:22 24:12	population 5:1 8:1	probably 23:12	provided 8:10 11:11
Partnership 14:16 18:22 19:16 20:14 22:11	Philip 2:3 Phil's 23:1 Pike 20:11, 11 place 11:3 16:1 places 16:13 Plan 1:9 3:14, 17, 19, 21 4:3, 6, 18, 22 5:4, 6, 7, 8, 10, 14, 17 7:11, 12, 14 8:16 9:13, 14 10:16 11:21, 23, 24 13:12, 15, 18, 23, 24 15:2, 3 16:4, 5, 17, 20 17:7, 19 18:2 21:3, 10	populations 6:13 positive 22:23, 25 possible 13:22 15:17 17:10 poverty 5:21 11:10 12:25 13:5 16:3 17:16, 16, 16 18:12, 21, 24 21:14 23:15 practice 9:5 pray 20:18 prepare 13:9 16:11 prescribed 8:23 prescribes 8:17 presentation 12:19 22:20 presented 17:7 president 22:11 prevention 6:23	problems 9:8 17:16 proceeding 24:19 PROCEEDINGS 1:12 3:9 25:8 process 3:19 10:8 PROFESSIONAL 1:21 25:15 program 4:4, 15 8:9 13:25 15:8, 8 16:17 19:5, 10, 12, 14 20:7 21:24 programs 6:24, 25 7:1, 3 11:8 13:22 15:11, 16, 19, 23 17:16 19:9 20:16, 17 21:25 propose 17:16 proposed 13:12 17:21 proven 16:11	providers 8:5 12:24 providing 4:18 20:12, 15 23:19 Public 1:9 3:15 7:24 24:14 25:15 purpose 3:24, 25 10:21 purposes 5:15 7:3 10:11 22:20 put 11:5 13:17 < Q > quite 13:2 < R > raise 21:25 Randy 2:1 3:11 5:5, 11 11:22 13:16 18:2 21:21 24:5, 7 ravages 13:1 reaching 20:18 read 16:15

really 5:15 6:5 17:5 23:3, 18, 19	represent 8:1 representati ves 14:21 17:14 21:23 represents 12:22 require 3:23 required 7:16 14:2 requirement 4:1 7:22 9:10 11:15 17:10 requirements 9:2, 2 17:1 23:6 requires 7:24 10:17 17:7 Reserve 14:9 16:14 resource 10:2 Resources 11:2 20:19 respect 14:20 response 18:9 19:1 responsibili ties 7:20 15:3 16:7 retain 6:1 return 15:5 review 7:17 9:4, 8, 16 reviewing 7:11 reviews 9:3	Revised 17:6 revisiting 20:1 Riffe 1:16 right 11:19 Road 1:23 role 6:20, 23 7:25 8:24 11:19 ROMA 7:8 16:23 23:2, 9 room 21:19 22:3 run 19:7 < S > sadistic 22:14 says 8:20, 20 scarce 20:19 school 19:10 screen 24:1 Second 19:4 23:1 Section 2:3 4:11, 16 5:18 7:10, 11 8:20 10:12 15:2, 3 16:4, 8 17:6 sections 7:12 Sector 14:11 secure 6:1 see 4:21 6:3 8:12	9:6, 11 24:1 seeking 3:20 self-suffici ency 21:16 self-suffici ent 5:25 13:1 send 24:1, 3 sense 5:18 separates 14:24 serve 13:6 14:20, 22 15:15, 24 18:7, 10 19:8 served 5:2 8:1 10:11 15:23 19:13 service 7:5 8:7, 8 19:14, 17 21:1 23:18 SERVICES 1:1, 8, 23 3:13, 23 4:24 6:11 8:10, 14 11:11, 16, 17 12:25 13:2, 12, 13, 20 14:8 15:4 16:21 18:18, 18, 23 19:18 20:7, 12, 21 21:1, 4, 9, 11, 11 22:23	23:11 24:15 serving 19:11 21:14 SESSION 3:1 set 3:8 7:13 9:23 11:18 share 7:10 23:24 She'll 4:17 short 5:1 12:9 sign 4:9 significant 14:3, 8, 12, 24 15:1 20:17 21:4 sister 23:5 size 11:9 slip 4:10, 12, 14 12:4, 6 solutions 15:15 17:17 somebody 22:16 sort 22:21 South 1:16 Southeast 19:5 space 14:3 SPEAKERS 2:1 special 9:10 11:8 14:10, 19 16:14
--	--	---	---	--

specific 5:22 7:22 8:20	17:9, 19 18:22 19:3, 19 20:23	suitable 6:9 Sullivan 22:1	5:11 12:5, 10, 12 13:11 18:5	13:17 21:17 22:15 23:4
specifically 6:11 7:6 15:14	21:10 25:16 stated 19:24	summer 19:14 Supervisor 2:3 4:17	21:20 22:7 testimony 4:9 12:8	24:10 today 3:14, 25 4:7, 9, 22
spent 17:1 spokes 19:18	state-led 9:21 statements 18:16	supplied 14:5 support 7:3, 14,	21:18 24:12 Thank 4:20	5:12 7:12 9:13 11:22
staff 18:17, 20 23:9	states 7:2 10:10 15:3	19 18:13 supporting 6:22 supports 21:9	12:18, 19 13:18 18:1, 3 21:13, 17,	12:7, 10 18:5, 15 21:18, 20 22:4, 6, 7
stakeholder 16:5	State's 8:17 21:2 statewide 7:13 8:7	supposed 23:19 sure 9:11 10:11	10 23:23 24:6, 12, 16 Thanks 24:9, 9	23:25 24:10 TRACI 1:17 25:14
stakeholders 5:3 standards 7:15, 16 8:19 9:1, 17, 19, 22, 24 10:7 11:15	stenographic 25:10 stepped 22:3 strategic 10:2 11:14	17:18 sweet 12:9 System 11:2 < T > take 4:2 take-home 20:16	thing 8:15 22:19, 22 23:1 things 5:22 22:13	training 7:6, 19 10:13, 24 11:1, 3, 12 16:19 transcribed 25:10
Stanford 2:3 4:16, 20 13:17 18:4 21:18 23:24	strategy 15:9, 12 Street 1:16 strong 15:5 stronger 15:9 strongly 21:8	taken 25:9 talk 4:22 8:15 talking 5:13 7:8 9:13 talks 6:13 Tamara 22:2	think 4:2 5:7 11:23 16:6 23:21, 22 third 8:7 thousands 18:20 three 3:23 7:13	TRANSCRIPT 1:12 25:8 Transformati on 16:10 traveled 24:11 treated 14:20 triage 11:16
start 5:13 18:15 19:13 starting 3:19 State 1:9 3:14, 17, 19, 21 4:3, 6, 22, 23 5:8, 14, 19 6:5, 14 9:2, 2, 13 11:19 12:13 13:12, 15 15:2 16:4, 4, 5, 16, 17, 20	studies 14:13, 14 submit 3:17 submitted 21:10 submitting 11:25 success 16:19 suffer 12:25	tax 18:13 team 21:22 technical 10:14, 21 telling 22:15 template 14:2, 5 terms 4:3 testify 4:12, 14	three-year 9:5 Thursday 1:15 3:1 ties 8:18 Tim 2:4 17:18 22:9, 10 24:12 time 4:12 10:15	tripartite 7:21 8:6 10:1 true 6:19 25:7 trust 14:19 15:22 try 12:13 turn 4:15 21:21

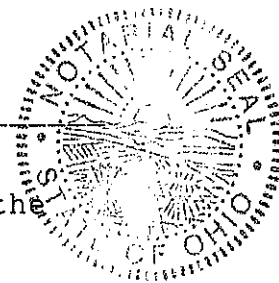
two 10:23 14:14 22:13, 16	vulnerable 21:15	wonderful 11:4 19:15		
two-year 3:16, 18 4:6 5:8 11:23 13:11	< W > want 3:13 4:8, 11 13:16 14:9 18:1 24:11	work 6:16 10:15 11:7 13:1, 5, 19, 21 14:8, 12 15:16 16:3 17:2, 3, 20 18:3, 13 19:2, 23 20:8, 18, 25 21:6		
type 7:22	warrant 20:1	workforce 7:6 16:6, 10 21:2, 7		
< U > U.S 3:22	wanted 5:13 7:10 8:15 11:21	working 4:4 5:7 8:11 11:24 14:6, 6 15:13 24:17		
ultimate 8:11	Washington-M organ 20:9	written 25:8		
ultimately 21:16	way 8:12 10:8	WSOS 14:15		
underinsured 20:13	ways 15:1	< Y >		
understand 17:2 23:21	Weatherizati on 15:8	year 3:17, 18, 19 9:6, 15, 18 10:16 12:1 13:8 17:22 19:25 21:10		
understandin g 7:20	week 14:10	years 3:23 17:9, 23 23:14		
uninsured 20:13	weekend 20:15	youth 6:22, 24		
up-to-date 17:22	welcome 3:13 5:12 24:4			
Urban 11:2, 8, 10	well 8:11, 18 9:12 20:10, 16, 20 22:13			
urgent 6:10	went 9:18			
use 4:23 6:8 14:1 16:18 17:21	we're 5:9 9:13 17:5			
usually 14:6	West 1:23 14:16			
< V > Vern 1:16	we've 23:3, 14			
veterans 15:22	willing 17:18			
vetted 10:9	WIOA 21:3			
vision 23:16, 18	wise 14:1			
visit 9:14	wish 4:9 12:5			
vital 18:23	witness 4:10 12:4, 6			

1
2
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4
5
6
7
8
9
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C-E-R-T-I-F-I-C-A-T-E

I do hereby certify that the foregoing is a true, correct and complete written transcript of the proceedings in this matter, taken by me on the 18th day of August, 2016, and transcribed from my stenographic notes.

Traci E. Peoples
Traci E. Peoples
Professional Reporter and
Notary Public in and for the
State of Ohio



My commission expires on July 15, 2019.

OHIO DEVELOPMENT SERVICES AGENCY

- - -

Ohio Development Services Agency
U.S. Department of Health and Human Services
Community Services Block Grant
2018-2019 State Plan Application
August 1, 2017 Public Hearing

- - -

PUBLIC HEARING

before Randall Hunt, Deputy Chief, Office of
Community Assistance, at the State Library of Ohio,
274 East 1st Avenue, Board Room, Columbus, Ohio,
called at 9:41 a.m. on Tuesday, August 1, 2017.

- - -

ARMSTRONG & OKEY, INC.
222 East Town Street, 2nd Floor
Columbus, Ohio 43215-5201
(614) 224-9481 - (800) 223-9481

- - -

APPEARANCES:

Ohio Development Services Agency
 By Mr. Randall Hunt, Deputy Chief
 Ms. Tracey Ballas, Assistant Deputy Chief
 Office of Community Assistance
 77 South High Street
 P.O. Box 1001
 Columbus, Ohio 43216-1001

On behalf of the Office of Community
 Assistance.

- - -

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	INDEX	
	- - -	
WITNESSES		PAGE
Frank Prihoda		10

- - -

Tuesday Morning Session,
August 1, 2017.

- - -

DEPUTY CHIEF HUNT: I'd like to go ahead
and call the public hearing to order. Today is
August 1st, 2017. The time is 9:41.

My name is Randy Hunt with the Office of
Community Assistance in the Ohio Development Services
Agency. I want to welcome everybody here for the
Community Services Block Grant public hearing in
preparation for the submission of the 2018-2019 CSBG
State Plan to the U.S. Department of Health and Human
Services.

I'd like to take this opportunity to
thank the Office of Community Assistance Field Staff
for their hard work in ensuring CSBG funds are used
efficiently and effectively to serve Ohioans in need
every year. Thank you.

Today's public hearing is an opportunity
to hear from the public on the draft 2018-2019 CSBG
State Plan in preparation for submission to Health
and Human Services by September 1st, 2017. I do hope
that we get to hear from some of you in terms of your
comments and your view of the draft state plan.

Prior to hearing testimony, I'd like to

1 provide an overview of the process that OCA has taken
2 in developing this year's CSBG State Plan. We've
3 heard from stakeholders that they would appreciate
4 additional opportunities to provide feedback on the
5 state plan prior to the development of this draft
6 state plan.

7 We heard your concerns and began
8 providing opportunities for feedback in July of 2016.
9 The first opportunity for feedback was during the
10 Ohio Association of Community Action Agencies' annual
11 summer conference where a listening session was held
12 to gather feedback on the current state plan.

13 In August 2016, a combined public hearing
14 and legislative hearing was held to gather additional
15 feedback.

16 In August 2016 and January 2017,
17 listening sessions were held at the Annual
18 Corporation for Ohio Appalachian Development and Ohio
19 Association of Community Action Agencies'
20 conferences.

21 A CSBG Advisory Committee meeting was
22 held on May -- in May 2017. And one final listening
23 session was held after the draft plan was developed,
24 during the Ohio Association of Community Action
25 Agencies' summer 2017 conference.

Those wishing to submit feedback outside of today's meeting may do so by e-mail and that e-mail address is CSBG@development.ohio.gov.

The following is an overview of changes made to the 2018-2019 CSBG State Plan from the prior two-year plan based on feedback received.

Section 3. State Plan Development and Statewide Goals. The changes: Made additional goal -- an additional goal was added to the current three goals: "(ODSA will) Provide training and technical assistance to Ohio Community Action Agencies on the development of the Community Action Plan (the CSBG Grant Application) and understanding of the Results Oriented Management and Accountability Principles."

The plan was updated to reflect the steps Ohio Development Services Agency took to involve eligible entities in the development of the CSBG State Plan (public/legislative hearing, listening sessions, online survey, et cetera.) Next, we've adjusted the entity satisfaction target to a score of "80."

Section 4. CSBG Hearing Requirements. Changes: This section was updated with the information on the public and legislative hearing held in 2016 prior to the CSBG State Plan being

1 drafted.

2 Section 5. CSBG Eligible Entities.

3 Changes: Updated the organization names for "West
4 Ohio CAP" and "Bridges Community Action Partnership."

5 Section 6. Organizational Standards for
6 Eligible Entities. Changes: Additional narrative
7 was included to describe the process for monitoring
8 the organizational standards. This includes how the
9 monitoring tool is left with the agency after the
10 monitoring visit to allow -- allowing the agency
11 additional time to obtain documentation for any
12 standards not met, and transparency for what to
13 anticipate when receiving a monitoring visit.

14 Section 7. State Use of Funds. Changes
15 to the CSBG State Plan: Previously 91 percent of
16 funds were allocated by the formula allocation. For
17 the 2018-2019 CSBG State Plan, 90 percent of the
18 funds will be allocated to eligible entities via the
19 base formula allocation and the remaining 1 percent
20 will be allocated to eligible entities (via an
21 application process) to be used for training and
22 technical assistance.

23 ODSA will be adjusting the CSBG grant
24 application process in response to feedback received
25 from eligible entities and in order to meet the

requirements of the newly-approved Federal Annual Report.

Section 9. State Linkages and Communication. Changes: The narrative was updated to include information on the ODSA effort to engage in a memorandum of understanding with multiple state agencies in an effort to better coordinate services under programs such as the Supplemental Nutrition Assistance Program and the Workforce Innovation and Opportunity Act.

The narrative requesting information on the coordination among the State Association, eligible entities, and the State was updated to include the recently-convened working group with 11 CSBG Coordinators from eligible entities throughout Ohio. This working group provided feedback on the development of the CSBG Grant Application (the Community Action Plan) and on developing training materials for the newly-revised grant application.

Next, ODSA is in the process of developing a "provider website" for eligible entities to easily obtain CSBG administration materials.

Based on feedback received from the network, ODSA will be making administrative adjustments during the 2018-2019 program year.

1 First, ODSA will provide instruction to
2 eligible entities during the 2018-2019 program year
3 for the Community Services Block Grant Training and
4 Technical Assistance application process.

5 Next, training on the revised CSBG grant
6 application is tentatively scheduled for
7 September 2017.

8 Next, during the 2018-2019 grant period,
9 ODSA will work with eligible entities to assess needs
10 for the ROMA Implementer training and will partner
11 with the national entities to plan and coordinate the
12 training opportunities.

13 Next, ODSA is in the process of updating
14 the CSBG policy and procedures manual. The tentative
15 release of the manual will be during the 2018-2019
16 grant period.

17 At this time we will now like to receive
18 public testimony. If you do intend to provide
19 testimony, if you could please fill out a witness
20 slip that is on the table there. The witness slip is
21 white. The green slip is for those wanting a copy of
22 the transcript. There's also a copy of the State
23 Plan available on the table.

24 So, hearing that, is there anyone who
25 would like to provide testimony?

1 MR. PRIHODA: I'm just excited to hear
2 that you got more training.

3 DEPUTY CHIEF HUNT: Okay.

4 MR. PRIHODA: I've been there a while,
5 but training is --

6 MR. HIGGINS: Your name.

7 DEPUTY CHIEF HUNT: Please state your
8 name for the record.

9 MR. PRIHODA: I'm sorry. Frank Prihoda,
10 Lorain County Community Action Agency.

11 That's all I wanted to add, that the
12 training is excellent, because turnover is high
13 within the social service industry, and training is
14 constant. Plus rules change, too. Very good.

15 DEPUTY CHIEF HUNT: Thank you.

16 Okay. Any other input or comments or
17 testimony?

18 Okay. Hearing none, we'll go ahead and
19 close this public hearing and reconvene for the HEAP
20 State Plan public hearing at --

21 ASSISTANT DEPUTY CHIEF BALLAS: At
22 11:00 a.m.

23 DEPUTY CHIEF HUNT: -- 11:00. So we have
24 some time for a break. Thank you.

25 (Thereupon, at 9:51 a.m., the public

1 hearing was adjourned.)

2 - - -

3 CERTIFICATE

4 I do hereby certify that the foregoing is a
5 true and correct transcript of the proceedings taken
6 by me in this matter on Tuesday, August 1, 2017, and
7 carefully compared with my original stenographic
8 notes.

9
10
11 Carolyn M. Burke, Registered
12 Professional Reporter, and
Notary Public in and for the
State of Ohio.

13 My commission expires July 17, 2018.

14 - - -
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122.68 Powers and duties.

The community services division shall:

(A) Administer all federal funds appropriated to the state from the "Community Services Block Grant Act," 95 Stat. 511, 42 U.S.C.A. 9901, and comply with requirements imposed by that act in its application for, and administration of, the funds;

(B) Designate community action agencies to receive community services block grant funds;

(C)

(1) Subject to division (C)(2) of this section, disburse at least ninety-one per cent of the funds received in the state from the "Community Services Block Grant Act" to community action agencies that comply with the requirements of section 122.69 of the Revised Code and migrant and seasonal farm worker organizations that are not designated community action agencies but which provide the services described in division (B)(1) of section 122.69 of the Revised Code;

(2) Disburse at least four and one-half per cent of the funds received in the state from the "Community Services Block Grant Act" to one or more nonprofit organizations to which both of the following apply:

(a) The organization or organizations were incorporated under the laws of this state before January 1, 2015.

(b) The primary purpose of the organization or organizations is to provide training and technical assistance to community action agencies that comply with the requirements of section 122.69 of the Revised Code.

(D) Provide technical assistance to community action agencies to improve program planning, development, and administration;

(E) Conduct yearly performance assessments, according to criteria determined by development services agency rule, to determine whether community action agencies are in compliance with section 122.69 of the Revised Code;

(F) Annually prepare and submit to the United States secretary of health and human services, the governor, the president of the Ohio senate, and the speaker of the Ohio house of representatives, a comprehensive report that includes:

(1) Certification that all community action agencies designated to receive funds from the "Community Services Block Grant Act" are in compliance with section 122.69 of the Revised Code;

(2) A program plan for the next federal fiscal year that has been made available for public inspection and that details how community services block grant funds will be disbursed and

used during that fiscal year;

(3) Information detailing how funds were expended for the current fiscal year;

(4) An audit of community services block grant expenditures for the preceding federal fiscal year that is conducted in accordance with generally accepted accounting principles by an independent auditing firm that has no connection with any community action agency receiving community services block grant funds or with any employee of the division.

(G) Serve as a statewide advocate for social and economic opportunities for low-income persons.

Amended by 131st General Assembly File No. TBD, HB 64, §101.01, eff. 9/29/2015.

Amended by 130th General Assembly File No. 25, HB 59, §101.01, eff. 9/29/2013.

Effective Date: 10-08-1984 .

Meadows, Megan

From: McCormick, Stephanie
Sent: Wednesday, July 12, 2017 4:46 PM
To: Alderman, Mark; Anunike, Manny; Ballas, Tracey; Bass, Cheryl; Bell, Lori; Bingmer, Lauren; Boone, Preston; Brinkmeyer-Conrad, Suzanne; Langner, Bruce; Carlson, Jan; Cotton, Donna; Cramer, Brian; Creachbaum, Tera; Daniels, Quentyn; Davis, Benita; Doss, Michael; Edwards, Teresa; Egan, Allan; Harris, Keri; Hayden, Wamu; Higgins, Michael; Hiler, Michael; Hines, Jesse; Howard, Anthony; Hunt, Randall; Jamison, Brian; Johnson, Donnella; Johnson, Tamara; Kashuba, Scott; Kauffman, Tom; Krolak, Celeste; Laffitte, Tiffany; Long, Robin; Lu, Tu; Maalik-Ul-Mulk, Christine; Mack, David; Manning, Ahri; Martin, Penny; McCormick, Stephanie; Meadows, Megan; Miller, Susan; Morris, Steven; Moser, Susan; Mulk, Ahsan; Murphy, Kevin; Pate, Pamela; Patton, Pamela; Payne, Gregory; Petrides, Timothy; Ragland, Teresa; Rakes, Michelle; Ray, Sheryl; Gouch, Nichol; Sandys, Eric; Spencer, Kenya; Starr, Tiffany; Stevens, April; Stewart, Rochelle; Stuart, Patrick; Sullinger, Whitney; Sullivan, Alicia; Sutherland, Kristy; Tatum, Christina; Thomas, Michelle; Tibbs, Howard; Torres, Claudia; van Blaricom, Annie; Varga, Nora; Vaughn, Joseph; Walz, Shaun; Wheeler, Lyneth; Wood, Cheri
Subject: FW: OCA EMAIL BLAST Draft 2018-2019 CSBG State Plan Available for Review
Attachments: DRAFT 2018.2019 CSBGstatePlanCombined Posted 7.12.17.pdf; 2017 CSBG State Plan Public Hearing Notice.pdf

This info was just sent out to CSBG ED/Prgm Coords.

Thanks,
Stephanie



Stephanie McCormick
Administrative Professional 2
Office of Community Assistance

77 South High Street
Columbus, Ohio 43215
614.466.8608 F: 614.728.6832

Stephanie.McCormick@development.ohio.gov

Email to and from the Ohio Development Services Agency is open to public inspection under Ohio's public record law. Unless a legal exemption applies, this message and any response to it will be released if requested.

The State of Ohio is an Equal Opportunity Employer and Provider of ADA Services.

From: McCormick, Stephanie
Sent: Wednesday, July 12, 2017 4:44 PM
To: McCormick, Stephanie <Stephanie.McCormick@development.ohio.gov>
Subject: OCA EMAIL BLAST Draft 2018-2019 CSBG State Plan Available for Review

Good Afternoon,

The *draft* 2018-2019 Community Services Block Grant (CSBG) State Plan is now available for review. The draft CSBG State Plan is available at: <https://development.ohio.gov/is/energyassist.htm> and is attached. As a reminder, the Ohio Development Services Agency will hold a public hearing on the draft plan on Tuesday, August 1, 2017, at 9:30 A.M. at the State Library of Ohio, 274 East First Ave, Columbus, Ohio 43201, in the Boardroom. Anyone unable to attend or preferring not to testify verbally may submit written comments. Written comments may be sent in an email to CSBG@development.ohio.gov or mailed to the address shown below.

CSBG State Plan
Ohio Development Services Agency
Office of Community Assistance
P.O. Box 1001
Columbus, Ohio 43216-1001

Thanks,
Stephanie



Stephanie McCormick
Administrative Professional 2
Office of Community Assistance

77 South High Street
Columbus, Ohio 43215
614.466.8608 F: 614.728.6832

Stephanie.McCormick@development.ohio.gov

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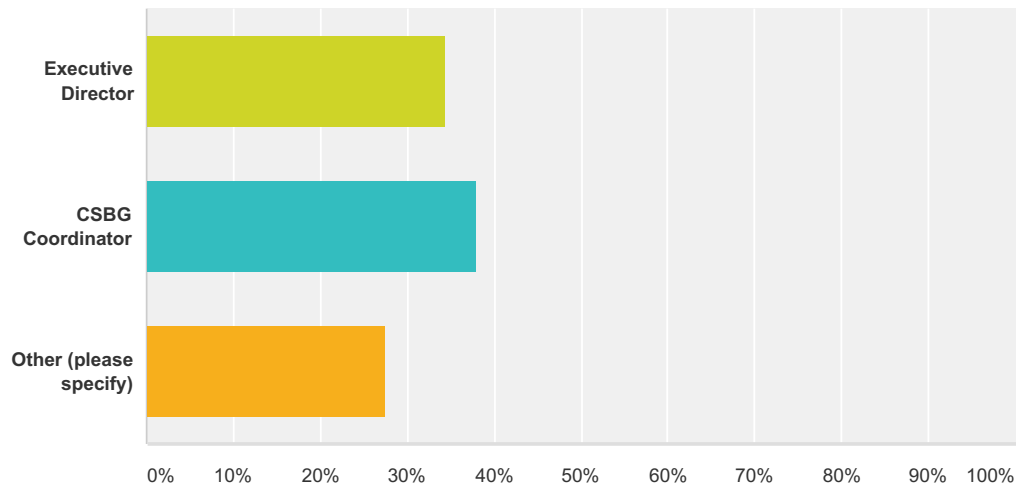
Home Development Services Agency | Calendar of Events

Today Tuesday, August 01, 2017 Day Week Month

ay	
am	
am	
am	Home Energy Assistance Program Public Hearing
am	Community Services Elder Grant Public Hearing
pm	
pm	
pm	
pm	
pm	

Q1 Please indicate your role within your Community Action Agency:

Answered: 29 Skipped: 0



Answer Choices	Responses
Executive Director	34.48% 10
CSBG Coordinator	37.93% 11
Other (please specify)	27.59% 8
Total	29

#	Other (please specify)	Date
1	CSBG Assistant	2/6/2017 10:06 AM
2	HEAP Director/Emergency Service Director	1/30/2017 10:12 AM
3	Center Director	1/30/2017 9:00 AM
4	County Director	1/24/2017 1:53 PM
5	Intake Specialist/Home Repair Specialist	1/20/2017 2:08 PM
6	Community Services Director	1/20/2017 11:46 AM
7	Senior Outreach HEAP case manager	1/20/2017 11:37 AM
8	ROMA Coordinator	1/17/2017 9:39 AM

Community Services Block Grant (CSBG) State Plan

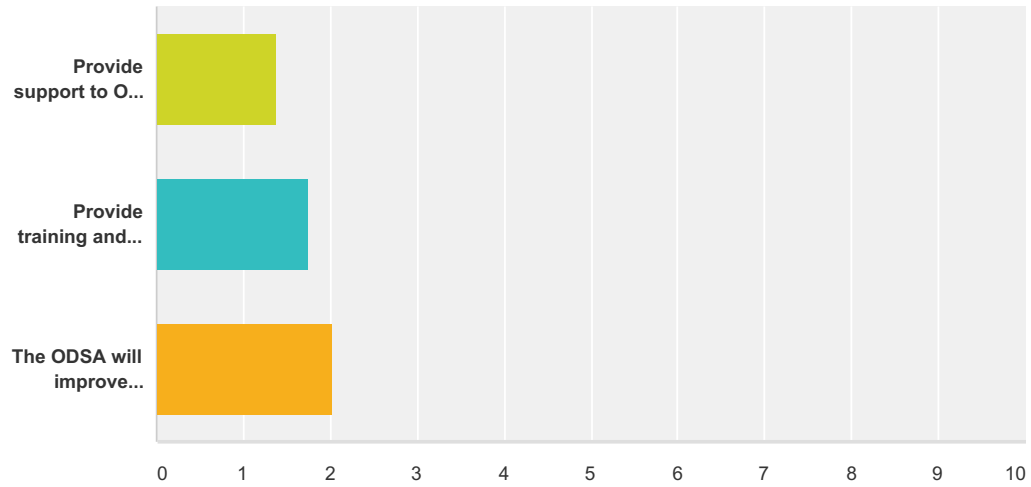
Q2 Please tell us the number of years you have been participating in the administration of the Community Services Block Grant (CSBG)?

Answered: 29 Skipped: 0

#	Responses	Date
1	6	2/28/2017 10:36 AM
2	7 months although I was the original OCEAN point person	2/6/2017 10:06 AM
3	3 yrs	2/3/2017 3:33 PM
4	Approximately 15 years	1/30/2017 10:12 AM
5	6	1/30/2017 9:00 AM
6	25	1/25/2017 9:37 AM
7	seven	1/24/2017 1:53 PM
8	16	1/24/2017 11:30 AM
9	27 Years	1/24/2017 9:46 AM
10	15	1/23/2017 11:57 AM
11	1+	1/20/2017 2:08 PM
12	5	1/20/2017 12:29 PM
13	14	1/20/2017 11:46 AM
14	10	1/20/2017 11:37 AM
15	4	1/19/2017 4:46 PM
16	1 year	1/18/2017 1:42 PM
17	3	1/17/2017 1:20 PM
18	1 year	1/17/2017 11:37 AM
19	15	1/17/2017 11:29 AM
20	From the beginning	1/17/2017 10:43 AM
21	<1	1/17/2017 10:20 AM
22	13 years	1/17/2017 10:05 AM
23	10	1/17/2017 9:46 AM
24	9	1/17/2017 9:39 AM
25	1998	1/17/2017 9:33 AM
26	Since it was created.	1/17/2017 9:27 AM
27	30	1/17/2017 9:24 AM
28	less than one year	1/17/2017 9:16 AM
29	23	1/17/2017 9:14 AM

Q3 Please rank from 1-3 (1 being most important and 3 being least important), the following Statewide goals relating to State administration of CSBG:

Answered: 29 Skipped: 0



	1	2	3	Total	Weighted Average
Provide support to Ohio CAA's to meet the CSBG organizational standards.	65.52% 19	31.03% 9	3.45% 1	29	1.38
Provide training and information to support formation, understanding of responsibilities and accountability amount CAA tri-partite boards.	44.83% 13	34.48% 10	20.69% 6	29	1.76
The ODSA will improve customer service.	37.93% 11	20.69% 6	41.38% 12	29	2.03

Community Services Block Grant (CSBG) State Plan

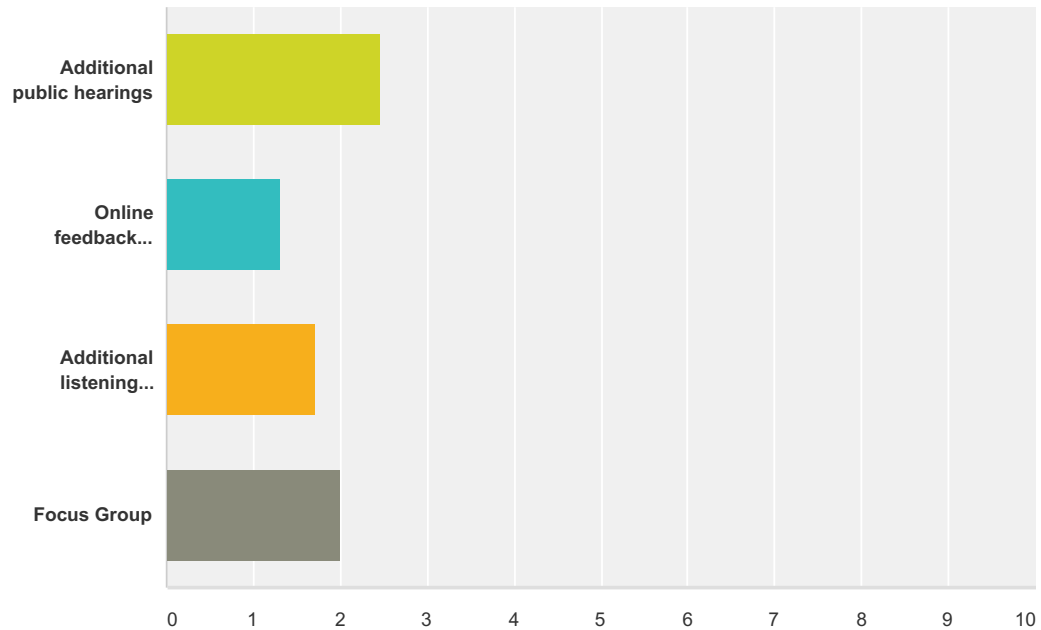
Q4 Please indicate an additional goal related to State administration of CSBG you would like ODSA to include in the 2017 CSBG State Plan:

Answered: 10 Skipped: 19

#	Responses	Date
1	It may be part of your customer service goal, but I would like to see the timeliness of revisions, OCEAN issues, response to OCEAN reports that are available, etc. be addressed.	2/28/2017 10:36 AM
2	Training for ROMA and the new CS-IS Report	1/25/2017 9:37 AM
3	T/TA funds to help agencies with areas of compliance.	1/24/2017 9:46 AM
4	Work toward common reporting of ROMA outcomes across CAA's in the State. A set of common reporting that every CAA reports on.	1/20/2017 12:29 PM
5	CAC training or a CSBG Conference.	1/17/2017 11:37 AM
6	N/A	1/17/2017 10:43 AM
7	More financial support for the CAA's - there are many requirements for this program that are above and beyond the allocation or adm percent. The expectation of the Coordinator's time is substantial in meeting the requirements beyond that amount allocated for adm	1/17/2017 9:33 AM
8	Continue to improve OCEAN function	1/17/2017 9:27 AM
9	Increase sharing of best practices/templates etc.	1/17/2017 9:16 AM
10	More statewide media promotion of CSBG accomplishments- focusing out positive outcomes	1/17/2017 9:14 AM

Q5 In addition to the events described in ODSA's 2018-2019 CSBG State Plan timeline (below), please rank from 1-3 (1 being most important and 3 being least important) methods you would like ODSA to use to collect feedback during the development of the CSBG State plan.

Answered: 29 Skipped: 0

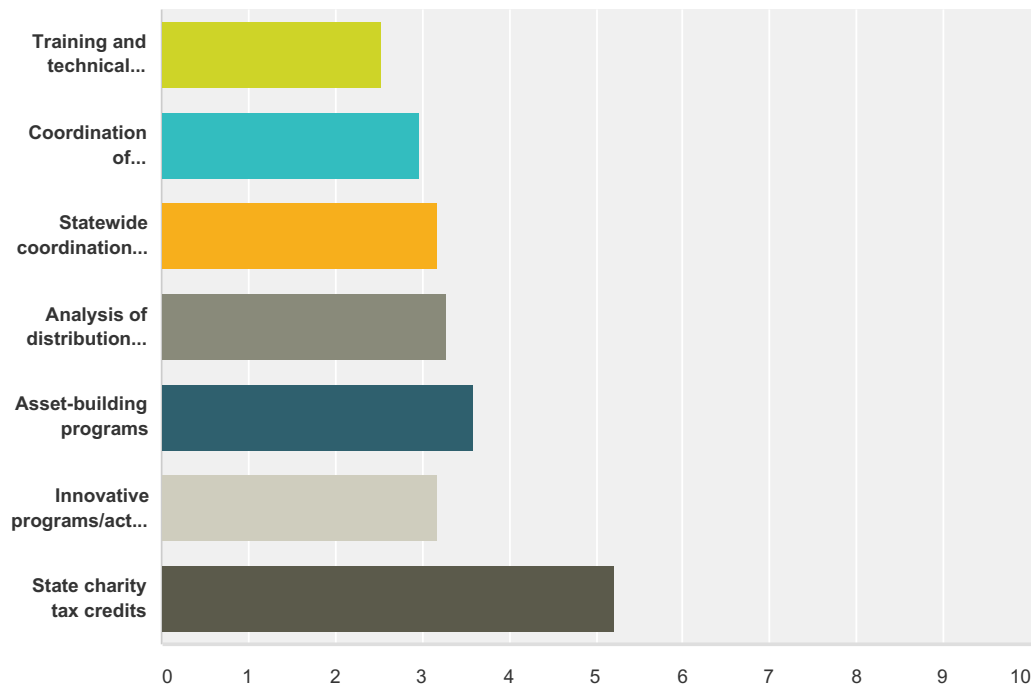


	1	2	3	Total	Weighted Average
Additional public hearings	11.54% 3	30.77% 8	57.69% 15	26	2.46
Online feedback (through a survey or other means)	71.43% 20	25.00% 7	3.57% 1	28	1.32
Additional listening sessions	51.72% 15	24.14% 7	24.14% 7	29	1.72
Focus Group	22.22% 6	55.56% 15	22.22% 6	27	2.00

#	Other (please specify)	Date
1	Perhaps regional meetings, as only certain staff attend conferences	1/17/2017 11:29 AM
2	Focus group discussion conducted through the use of OACAA District meeting process.	1/17/2017 9:24 AM

Q6 Please rank in order of importance (1 being most important and 7 being least important) use of discretionary CSBG funds (when available):

Answered: 29 Skipped: 0



	1	2	3	4	5	6	7	Total	Weighted Average
Training and technical assistance to eligible entities	37.93% 11	31.03% 9	6.90% 2	6.90% 2	3.45% 1	10.34% 3	3.45% 1	29	2.52
Coordination of State-operated programs and/or local programs	17.24% 5	27.59% 8	24.14% 7	10.34% 3	17.24% 5	0.00% 0	3.45% 1	29	2.97
Statewide coordination and communication among eligible entities	17.24% 5	27.59% 8	13.79% 4	20.69% 6	6.90% 2	10.34% 3	3.45% 1	29	3.17
Analysis of distribution of CSBG funds to determine if targeting greatest need	20.69% 6	27.59% 8	10.34% 3	13.79% 4	10.34% 3	6.90% 2	10.34% 3	29	3.28
Asset-building programs	17.24% 5	17.24% 5	20.69% 6	17.24% 5	3.45% 1	10.34% 3	13.79% 4	29	3.59
Innovative programs/activities by eligible entities or other neighborhood groups	31.03% 9	20.69% 6	6.90% 2	3.45% 1	20.69% 6	13.79% 4	3.45% 1	29	3.17
State charity tax credits	3.45% 1	10.34% 3	13.79% 4	10.34% 3	6.90% 2	6.90% 2	48.28% 14	29	5.21

#	Other (please specify)	Date
1	Additional funds to CAA to provide additional services	1/24/2017 9:46 AM

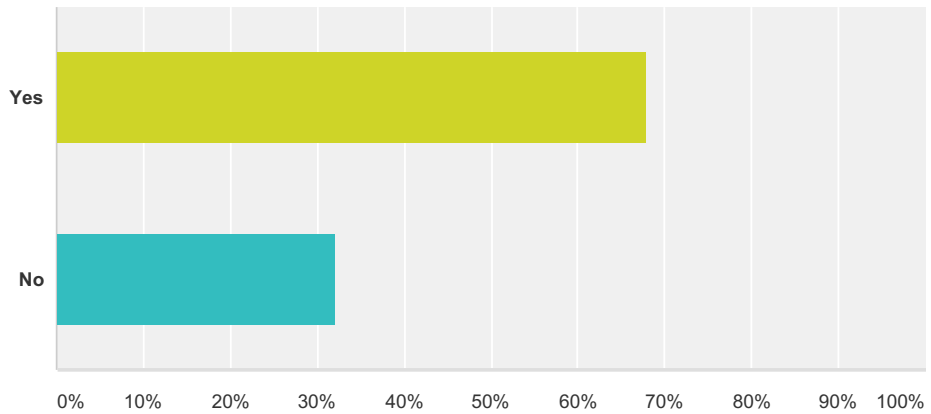
Q7 What CSBG related training opportunities would you like ODSA to administer?

Answered: 16 Skipped: 13

#	Responses	Date
1	I would like to see more ROMA training, more training on how to set up CSPs so that they track the information you want when writing the grant, training on the reports that are available, and meetings where best practices can be shared.	2/28/2017 10:36 AM
2	board training opportunities	2/6/2017 10:06 AM
3	ROMA training and what documentation is needed to met standards.	2/3/2017 3:33 PM
4	Provide different level ROMA training based on agency staff experience and begin conversations/training about the new CS Annual Report	1/25/2017 9:37 AM
5	Board Goverance	1/24/2017 9:46 AM
6	Central Intake utilizing OCEAN Orientation for new full time staff	1/20/2017 11:46 AM
7	It would be great to know what programs other agencies are operating with CSBG funds (especially those that are evidence-based and/or showing promising/positive outcomes)--perhaps a best practices for CSBG training? Something related to content as opposed to just the organizational standards.	1/19/2017 4:46 PM
8	overview of program. Conference	1/17/2017 11:37 AM
9	Anything new	1/17/2017 10:43 AM
10	a new CSBG procedure manual	1/17/2017 10:05 AM
11	More OCEAN training (including grants in OCEAN) Reporting and ROMA training Help with Grants and understanding how OCEAN works with the milestones etc.	1/17/2017 9:46 AM
12	ODSA needs to do more line staff training as well as supervisors. It seems to always be that the coordinator for CSBG in each agency also has this ultimate responsibility which again is too much for what adm cost the agency is allowed in the budget. Webinars for line staff would be appropriate to help train and get buy-in from staff	1/17/2017 9:33 AM
13	Resource development	1/17/2017 9:27 AM
14	ROMA and OCEAN	1/17/2017 9:24 AM
15	best practices in ROMA workplans, next gen 101, panel of CAO fiscal directors on how they use CSBG dollars,	1/17/2017 9:16 AM
16	Board responsibilities Social enterprise	1/17/2017 9:14 AM

Q8 Part of ODSA’s responsibility in administering the CSBG is to coordinate and establish links between government and other social services programs to assure the effective delivery of services to low-income individuals and to avoid duplication of such services. Do you feel ODSA has accomplished this?

Answered: 28 Skipped: 1



Answer Choices	Responses	
Yes	67.86%	19
No	32.14%	9
Total		28

Q9 If not, how can ODSA increase coordination efforts?

Answered: 7 Skipped: 22

#	Responses	Date
1	I'm not sure that it is ODSA's responsibility to make agencies reach out locally. It would be great if ODSA could manage to get agencies such as SS, Child Support, and JFS to share info with agencies for our client's sake.	2/28/2017 10:36 AM
2	ODSA may have accomplished this but I am not aware of the efforts or how they feel its been accomplished. It may be as easy as providing the data the State uses to the network so CAAs are aware.	1/25/2017 9:37 AM
3	If there has been efforts to coordinate and establish links between government and other social services programs, I am not aware of it. Perhaps a PR push to show those coordination effort and/or links would be helpful.	1/20/2017 12:29 PM
4	Provide semi-annual forums for exploring these "links" and reducing duplication of services.	1/20/2017 11:46 AM
5	The data base system does not collect all unduplicated customers that a program assists. The OCEAN program does not link to Head Start data, WIOA data, or Health Center data. We are under-reporting CSBG unduplicated assistance because of this.	1/17/2017 9:33 AM
6	ODSA can only increase coordination with the cooperation of other agencies and programs. While ODSA can work to encourage this, it can't control it.	1/17/2017 9:27 AM
7	Work with DJFS on work prep and job opportunity programs	1/17/2017 9:14 AM

Community Services Division Office of Community Assistance

Community Services Block Grant Program Advisory Committee
77 S. High Street, 19th Floor Room 1948, 1:30 p.m.
May 19, 2017

DRAFT MINUTES

Board Members in Attendance

Rodney Reasonover	Stark County CAA
David Shea	Portage

Ohio Development Services Agency Staff in Attendance

Mark Alderman	Office of Community Assistance
Tracy Ballas	Office of community Assistance
Randall Hunt	Office of Community Assistance
Stephanie McCormick	Office of Community Assistance
Megan Meadows	Office of Community Assistance
Whitney Sullinger	Community Services Division, Legal Office

Others Present

T.J. Armstrong	Department of Higher Education
Terry Boehm	LEADS
Malcolm Costa	Akron-Summit
Frank Prihoda	Lorain County
Josh Summer	Ohio Association of Community Action Agencies

- Randall Hunt called the meeting to order at 1:35 p.m. and welcomed everyone to the meeting. He stated ODSA was holding the meeting before drafting the 2018-2019 CSBG State Plan. This process is being done to ensure stakeholders can provide valuable feedback on the development of the State Plan. Mr. Hunt further stated that Deborah Gerken has stepped down as Chairperson. It was noted that there was no quorum, thus the August 18, 2015 board minutes would not be voted on and were tabled until the next meeting.
- Megan Meadows asked if any changes or recommendations needed to be made to the timeline for the CSBG State Plan process and public hearing currently planned to occur August 2017. Previous ideas provided to ODSA in a January 25, 2017 listening session and survey were all taken into account for the State Plan development. Ms. Meadows mentioned possibly holding another CSBG advisory committee meeting the day of the State Plan public hearing. Josh Summer asked if the State Plan would be drafted based on the previous year's plan. Ms. Meadows went over the Model State Plan, and stated that the previous plan is typically auto uploaded but edits would be made in drafting the new plan.
- Ms. Meadows reviewed sections of the State Plan. Section 9-State Linkages and Communication of the Model State Plan describe state and local activities that fill the gaps for needs in communities and ensure there is not a duplication of services. Rodney Reasonover asked where the linkages and communications would be discussed.

Mr. Summer mentioned that there has been difficulty in the past with distinguishing between Job and Family Services locations and Community Action Agencies. He asked if there can be more coordination at the state level. Mr. Hunt stated that coordination among state agencies is continually improving and conversations take place to ensure services are meeting needs.

- Ms. Meadows discussed the layout of the State Plan and how communication with the network will work. Frank Prihoda mentioned that he'd like to see continuous training to educate the staff and Mr. Reasonover added that cross training may be helpful as well. Mr. Summer mentioned two-way conversation opportunities. Malcom Costa and Terry Boehm both agreed that districts would be more manageable if regional trainings, like HEAP, were held.
- Section 13-ROMA: Results Oriented Management and Accountability (ROMA) performance management system discusses the performance measurement system that the state and eligible entities will use. Mr. Prihoda asked if the current reporting format would stay the same for reports due in March 2018. Ms. Meadows indicated the reporting process would be the same for 2018, but in 2019, the process will change due to the revised federal annual report. The basics of the system have not been changed, but the previous six goals have now been condensed into three. They will be reported in a different manner. Mr. Prihoda mentioned that the categories may need to be redone and more training will be needed. It was suggested that some definitions should be made universal so there are no gray areas. Mr. Reasonover agreed on more training. Mr. Summer mentioned that agencies need to collect and evaluate the data as well to make it easier to pull and analyze the information.
- Section 14-CSBG Programmatic Assurances and Information Narrative describes the use of funds supporting local activities. Ms. Meadows pointed out that this section will assure that the funds meet the needs of the community based on the information provided from the eligible entities in the grant application. Mr. Reasonover questioned how it is possible to have categorical eligibility or target areas based on resources in said targeted areas.
- Mr. Summer mentioned Section 3 of the State Plan and the Statewide Goals. Mr. Summer indicated that the three goals represent the goals for the entire state. Ms. Meadows responded by indicating the three current State goals seem to be acceptable for the entire state, but amendments are possible to add additional goals or elaborate on the set three.
- There was mention of raising or lowering the poverty limit to help more people. Ms. Meadows stated that federal statute and Ohio Revised Code might not allow it, but it might be able to be discussed with the federal funder. It was noted that a waiver has been requested in the past and to possibly put the specific waivers in the state plan.
- Terry Boehm asked if a revised CSBG Policy and Procedure Manual would be available soon. Ms. Meadows responded that they are aware of the need and it's being discussed. Mr. Hunt mentioned developing a provider's page on the website for a resource. Ms. Meadows asked if there are any further questions, comments, or concerns. Seeing as there were none, Ms. Meadows mentioned people may reach out to ODSA if there are further questions.
- Ms. Meadows thanked everyone for attending. The meeting was adjourned at 2:32 p.m.

Training and Technical Assistance Plan

Overview and Purpose

The purpose of the State T/TA Plan Template is to provide a tool that can assist in the development of a comprehensive summary of the collective T/TA resources and activities in a particular state that include:

- T/TA needs of local Community Action Agencies in the state;
- T/TA resources available from key partners: the State CSBG Lead Agency, State Association, and Regional Performance and Innovation Consortium (RPIC);
- T/TA strategies to be implemented in the upcoming year and the associated outcomes; and
- T/TA implementation plan/timeline.

This template is provided as part of the Organizational Standards Center of Excellence (OSCOE) to assist in one of its key tasks: *Facilitating the Development of State-Specific T/TA Plans to Assess Organizational Capacity and Performance*. All State CSBG Lead Agencies report their T/TA activities in their CSBG State Plans. State Associations also report on their T/TA activities, but often use different reporting formats for different funding sources (e.g. State CSBG Lead Agencies, RPICs). The purpose of the State T/TA Plan Template is to collect this important information into a single document to:

- Support communication and collaboration at the state level on the planning and use of T/TA resources;
- Enhance the capacity for regional collaboration on T/TA by providing a uniform method for states to share information;
- Strengthen the ability of the CSBG Network's national partners to provide targeted T/TA on high-priority issues at the national, regional, and state levels; and
- Provide a comprehensive picture of the CSBG Network's T/TA investments and activities.

Most of the information requested in this template should be available in other reporting documents. Information on State CSBG Lead Agency T/TA investments and activities can be found in the CSBG State Plan. Similar State Association information can be found in sub-contract work plans or similar documents submitted to RPICs, State CSBG Lead Agencies, and other funders who support T/TA activities. It is recommended that states use this template as a way to collect information on T/TA needs, resources, and activities into a single document.

Instructions

A State T/TA Plan should be developed by the State Association in collaboration with the State CSBG Lead Agency and RPIC lead as appropriate. If the state does not have a State Association, the State CSBG Lead Agency should work with its network of local CAAs

and the RPIC to complete the template. It is intended that the State T/TA Plan be completed and submitted to the RPIC lead and the Organizational Standards Center of Excellence (currently the Partnership) by October 1st to coincide with the completion of State CSBG Lead Agency State Plans. The State T/TA Plan is not intended to be a binding document because T/TA activities often change over the course of the year and the State CSBG Lead Agency and State Association may revise the State T/TA Plan as necessary during the year if they so choose.

The RPIC will use the State T/TA Plans to support regional collaboration that improves the effectiveness and efficiency of T/TA resources. The OSCOE will aggregate the data from all State T/TA Plans in cooperation with its national partners, who include the Office of Community Services (OCS), the National Association for State Community Services Programs (NASCS), CAPLAW, and the Association for Nationally Certified ROMA Trainers (ANCRT). The national partners will use the data to develop a comprehensive picture of the CSBG Network's overall investment in T/TA, prioritize the development of T/TA resources, and support T/TA efforts at the national, regional, and state level. Additional guidance on completing the template is included in each section below.

Respondents can attach additional documentation of T/TA activities as available and necessary. Examples of such documents could include:

- Sections of the State CSBG Lead Agency's State Plan related to T/TA;
- State Association work plans related to T/TA;
- Summary results of T/TA needs assessments;
- Planning documents describing T/TA strategies and activities; and
- Evaluation plans for T/TA

I. Training and Technical Assistance Needs

This section summarizes (1) the T/TA needs assessment process conducted by the State Association and State CSBG Lead Agency and (2) the main T/TA needs addressed by the plan.

T/TA Needs Assessment Process

Briefly describe in one or two paragraphs the process used by the State CSBG Lead Agency and State Association to assess the T/TA needs of the state's CSBG Network. Include any promising practices used to assess T/TA needs or lessons learned that would benefit other states. Attach any documents summarizing the results of T/TA needs assessment that will provide additional detail about the state's T/TA needs.

State CSBG Lead Agency

State Association

High Priority T/TA Needs

Use the section below to list the ten highest priority T/TA needs as identified by the State CSBG Lead Agency and State Association. Use the Additional Comments section to add any narrative necessary to explain the state's T/TA needs.

List the top ten T/TA needs identified in your state with a brief description of each need.

Additional Comments

II. Training and Technical Assistance Resources

This section describes the financial and other resources available to support T/TA in the state from the State CSBG Lead Agency, State Association, and RPIC. The choices selected are understood to be budgeted amounts may change over the course of the year.

For total funding, check the box to indicate the total dollar amount available to spend on T/TA (including salaries for staff that provide direct T/TA) for the current fiscal year from all grants and cooperative agreements (federal, state, and philanthropic) and other revenue sources (e.g. State Association member dues dedicated to T/TA). Include all direct and indirect costs as long as they directly support T/TA activities. Do not “double count” sub-contract revenues (e.g. a State Association should not count a sub-contract from a State CSBG Lead Agency to provide T/TA since those dollars will already be included in the Lead Agency’s total).

Use the Other Resources option to provide details on other significant T/TA resources (e.g. in-kind support provided by a local university, training staff provided by other units of state government).

Use the Notes section at the end to provide any additional contextual information about funding for T/TA (e.g. percentage of the state’s CSBG allocation provided to the State CSBG Lead Agency, limits on State Association funding given the state’s CSBG allocation and/or number of agencies in the state, etc).

State CSBG Lead Agency Resources

Total State CSBG Lead Agency funding dedicated to T/TA

\$0-24,999	\$200,000-299,999
\$25,000-49,999	\$300,000-399,999
\$50,000-99,999	\$400,000-499,999
\$100,000-149,999	\$500,000+
\$150,000-199,999	

Other State CSBG Lead Agency Resources

State Association Resources

Total State Association funding dedicated to T/TA

\$0-24,999	\$200,000-299,999
\$25,000-49,999	\$300,000-399,999
\$50,000-99,999	\$400,000-499,999
\$100,000-149,999	\$500,000+
\$150,000-199,999	

Other State Association Resources

RPIC Resources

Total RPIC funding for the state dedicated to T/TA

\$0-25,000
\$25,000-50,000
\$50,000-75,000
\$75,000-100,00
\$100,00-150,000
\$150,000+

Other RPIC and/or Regional Resources

Total Funding:_____

Notes:

III. Training and Technical Assistance Plan

The section describes the primary activities that comprise the state's T/TA Plan. It should be completed by the State Association in collaboration with the State CSBG Lead Agency and RPIC as necessary. This section is divided into two parts. The first lists the broader T/TA Strategies and Outcomes for both the State CSBG Lead Agency and the State Association. The second lists specific T/TA Activities, Providers, and Delivery Methods.

Section III A

The T/TA Strategies column should include a brief narrative description (3-5 sentences) of the T/TA strategies that will be used by the State CSBG Lead Agency and State Association.

Examples might include:

- Plan a state conference for local CAAs. Tracks will include ROMA, Organizational Standards, finance, human resources, advocacy, and innovative programs. Trainers will include State Association and State CSBG Lead Agency staff and local and national consultants.
- Fund a cohort of ten ROMA implementers. Develop a ROMA Implementers network to support ongoing professional development and peer learning opportunities.
- Provide a series of six in-person workshops for CAAs on board development issues. Trainings will be provided by State CSBG Lead Agency staff on topics based on agency feedback over the course of the year.

The Lead column should note whether the State CSBG Lead Agency, State Office, or another provider is the lead on each T/TA strategy.

The T/TA Outcomes column should include a brief narrative description (3-5 sentences) of the primary outcomes that each T/TA Strategy aims to achieve. The use of Results Oriented Management Accountability principles is also strongly encouraged and would include outcomes that are:

- Specific
- Measurable
- Attainable
- Results-oriented; and
- Time trackable.

Section IIIB

The T/TA Activities column provides a list of different T/TA topics. Check every topic on which training will be provided in the upcoming year. If a training covers multiple topics, choose all that apply. If a topic is covered by multiple trainings, use the Notes column (see below) to indicate the number of events or similar information to distinguish between different activities. Use the "Other" option to enter topics not listed.

The Provider column provides a list to indicate who provides the training. If multiple trainings are offered by different providers on a given topic, choose all that apply and list who provides which trainings in the Notes column.

The Delivery Method column provides a list to indicate how the training will be provided. If multiple trainings are offered through multiple methods, choose all that apply and note which trainings correspond with which methods in the Notes column.

The Notes column provides an open ended space to note how many trainings are provided on a given topic or other additional information. For example, If multiple trainings are offered on the same topic, note the provider and delivery method for each one.

State Training and Technical Assistance Plan
Section III A Strategies and Outcomes

Strategies	Lead	Outcomes

State Training and Technical Assistance Plan
Section III A Strategies and Outcomes

Strategies	Lead	Outcomes

IV. Implementation Plan

In two to three paragraphs, describe how the State CSBG Lead Agency, State Association, and RPIC will work together to implement the State T/TA Plan. Include (1) communication and coordination processes (e.g. regular conference calls, reporting procedures) that will be used to manage implementation of the Plan, and (2) a brief summary of how the Plan's outcomes will be evaluated. Attach any additional documents that provide further details on implementation and evaluation plans if available.

2016 OHIO CAA STANDARDS MONITORING TOOL

AGENCY _____ FIELD MONITOR _____ VISIT DATE: _____

MAXIMUM FEASIBLE PARTICIPATION - CATEGORY 1: CONSUMER INPUT & INVOLVEMENT		MET	NOT MET
1.1	The organization demonstrates low-income individuals' participation in its activities.		
<p>Guidance: • This Standard is meant to embody "maximum feasible participation." • The intent of this Standard is to go beyond board membership; however, board participation may be counted toward meeting this Standard if no other involvement is provided. The tripartite board is only one of many mechanisms through which CAAs engage people with low-incomes. • Participation can include activities such as Head Start Policy Council, tenant or neighborhood councils, and volunteering, etc. • Though not mandatory, many CAAs meet this Standard by including advisory bodies to the board.</p>			
Documentation used (check all that apply in support of meeting the standard):			
a	Advisory group documents		
b	Advisory group minutes		
c	Activity participation lists		
d	Board minutes		
e	Board pre-meeting materials/packet		
f	Volunteer lists and documents		
g	Other documentation:		
1.2	The organization analyzes information collected directly from low-income individuals as part of the community assessment.		
<p>Guidance: • This Standard reflects the need for CAAs to talk directly with low-income individuals regarding the needs in the community. • Data can be collected through a variety of ways including, but not limited to, focus groups, interviews, community forums, customer surveys, etc. • Analyzing the information can be met through review of the collected data by staff and/or board, including a review of collected data in the written community assessment, with notations of this review in the Assessment's Appendix, committee minutes, etc.</p>			
Documentation used (check all that apply in support of meeting the standard):			
a	Community assessment document (including appendices)		
b	Backup documentation/data summaries		
c	Community forum summaries		
d	Interview transcripts		
e	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION - CATEGORY 1: CONSUMER INPUT & INVOLVEMENT (CONTINUED)		MET	NOT MET
1.3	The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.		
<p>Guidance: • This reflects the need for any business to gather information regarding customer satisfaction. All organizations need to be aware of how satisfied their customers are of the services they receive.</p> <ul style="list-style-type: none"> • This Standard does not imply that a specific satisfaction level needs to be achieved. • Documentation is needed to demonstrate all three components in order to meet the Standard: 1) collection, 2) analysis, and 3) reporting of data. • A systematic approach may include, but not be limited to, surveys or other tools being distributed to customers annually, quarterly, or at the point of service (or on a schedule that works for the individuation CAA). Such collection may occur by program or agency-wide at a point in time. • Analyzing the findings is typically completed by staff. • The reporting component to the board must be documented in the form of full board or committee meeting minutes. One should remember that it is OCA policy that compliance to the standards must be documented. If key components of the standards are not documented, OCA may assess the standard as "Not Met" due to a lack of documentation. <u>Verbal accounts are not an acceptable form of documentation. If one speaks at a board meeting, the contents of those comments should be documented in meeting minutes.</u> 			
Documentation used (check all that apply in support of meeting the standard):			
a	Customer satisfaction policy and/or procedures		
b	Customer satisfaction instruments, e.g., surveys, data collection tools, and schedule		
c	Customer satisfaction reports to organizational leadership, board and/or broader community		
d	Board/committee minutes		
e	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 2: COMMUNITY ENGAGEMENT		MET	NOT MET
2.1	The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.		
<p>Guidance:</p> <ul style="list-style-type: none"> • Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise and/or resources. • Specifically identified purposes may include but are not limited to: shared projects; community collaborations/coalitions with an identified topic e.g. domestic violence, homelessness, teen pregnancy prevention, transportation task forces, community economic development projects, etc.; contractually coordinated services; etc. • The IS Report already asks for a list of partners. The intent of this standard is not to have another list, but to have documentation that shows what these partnerships entail and/or achieve. • These could be documented through MOUs, contracts, agreements, documented outcomes, coalition membership, etc. • This standard does not require that every partnership is a formal, fully documented relationship. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Partnership documentation: agreements, emails, MOU/MOAs		
b	Sub contracts with delegate/partner agencies		
c	Coalition membership lists		
d	Strategic plan update/report if it demonstrates partnerships		
e	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 2: COMMUNITY ENGAGEMENT (CONTINUED)		MET	NOT MET
2.2	The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.		
<p>Guidance: • If gathered during the community assessment, it would be documented in the assessment. If done during “other times” this may be reflected in reports, data analysis, or staff/board meeting minutes.</p> <p>• Engagement may include: key informant interviews, staff participation in other community groups/advisory bodies, community-wide processes, etc.</p> <p>• Documentation is needed to demonstrate that all five sectors have been engaged: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions. There is no requirement for how many individual organizations the CAA must contact, or what data is collected.</p> <p>• If one or more of these sectors are not present in the community or refuses to participate, then the CAA needs to demonstrate the gap or a good faith effort to engage the sector(s).</p> <p>• Demonstrating that you have “gathered” and “used” the information may be met in a variety of ways including, but not limited to: summarizing the data in the community assessment or its appendices; documentation of phone calls, surveys interviews, focus groups in CAA files (hard copy or electronic); documentation in planning team minutes; summary reports on the data shared at board meetings or board committees; etc.</p>			
Documentation used (check all that apply in support of meeting the standard):			
a	Community assessment document (including appendices)		
b	Other written or online reports		
c	Backup documentation of involvement: surveys, interview documentation, community meeting minutes, etc.		
d	Board/committee or staff meeting minutes		
e	Other documentation:		
2.3	The organization communicates its activities and its results to the community.		
<p>Guidance: • This may be met through a CAAs annual report, Social Media activity, traditional news media, community outreach activities, etc.</p> <p>• Community would be defined by the CAA but needs to include those outside of the staff and board of the CAA.</p>			
Documentation used (check all that apply in support of meeting the standard):			
a	Annual Report		
b	Website, Facebook Page, Twitter account, etc. (regularly updated)		
c	Media files of stories published		
d	News release copies		
e	Community event information		
f	Communication plan		
g	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 2: COMMUNITY ENGAGEMENT (CONTINUED)			MET	NOT MET
2.4	The organization documents the number of volunteers and hours mobilized in support of its activities.			
Guidance: • There is no requirement to utilize volunteers, only to document their number and hours, if utilized. • This information should already be collected as part of current National Performance Indicators.				
Documentation used (check all that apply in support of meeting the standard):				
a	Data on number of volunteers and hours provided			
b	Board minutes			
c	Documentation of tracking system(s)			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 3: COMMUNITY ASSESSMENT				MET	NOT MET
3.1	The organization conducted a community assessment and issued a report within the past 3 years.				
Guidance: <ul style="list-style-type: none"> • This Standard refers to what is sometimes called a community needs assessment, and requires that CAAs assess both needs and resources in the community. The requirement for this assessment is outlined in the CSBG Act. • This may require CSBG Lead Offices to adjust timeframes for required submission. • The report may be electronic or print, and may be circulated as the CAA deems appropriate. This can include: websites, mail/email distribution, social media, press conference, etc. • It may be helpful for CAAs to document the report release date such as April 2014 or December 2015. 					
Documentation used (check all that apply in support of meeting the standard):					
a	Community assessment document with date noted	DATE:			
b	Other documentation:				
3.2	As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).				
Guidance: <ul style="list-style-type: none"> • Documentation is needed to demonstrate all four categories in order to meet the Standard: gender, age, race, and ethnicity. • Data on poverty is available from the U.S. Census Bureau. 					
Documentation used (check all that apply in support of meeting the standard):					
a	Community assessment document (including appendices)				
b	Backup information including census and other demographic data				
c	Other documentation:				

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 3: COMMUNITY ASSESSMENT (CONTINUED)		MET	NOT MET
3.3	The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.		
Guidance: • Documentation is needed to demonstrate that both types of data are collected in order to meet the Standard: • Qualitative: this is opinions, observations, and other descriptive information obtained from the community through surveys, focus groups, interviews, community forums, etc. • Quantitative: this is numeric information, e.g. Census data, program counts, demographic information, and other statistical sources. • Documentation on data analysis is also required in order to meet the Standard.			
Documentation used (check all that apply in support of meeting the standard):			
a	Community assessment document (including appendices)		
b	Backup documentation		
c	Broader community-wide assessment		
d	Other data collection process on poverty		
e	Committee/team minutes reflecting analysis		
f	Summary Analysis of Data or Key Findings Report		
g	Other documentation:		
3.4	The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.		
Guidance: • The organization may choose to include a key findings section in the assessment report and/or executive summary. • Conditions of poverty may include items such as: numbers of homeless, free and reduced school lunch statistics, SNAP participation rates, etc. • Causes of poverty may include items such as: lack of living wage jobs, lack of affordable housing, low education attainment rates, etc.			
Documentation used (check all that apply in support of meeting the standard):			
a	Community assessment document (including appendices)		
b	Backup documentation		
c	Committee/team meeting minutes reflecting analysis		
d	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

MAXIMUM FEASIBLE PARTICIPATION – CATEGORY 3: COMMUNITY ASSESSMENT (CONTINUED)			MET	NOT MET
3.5	The governing board formally accepts the completed community assessment.			
Guidance: • This would be met through the Board voting on a motion to accept the Assessment at a regular board meeting and documenting this in the minutes.				
Documentation used (check all that apply in support of meeting the standard):				
a	Community assessment document			
b	Board minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 4: ORGANIZATIONAL LEADERSHIP			MET	NOT MET
4.1	The governing board has reviewed the organization’s mission statement within the past 5 years and assured that: 1) The mission addresses poverty; and 2) The organization’s programs and services are in alignment with the mission.			
Guidance: • “Addresses poverty” does not require using the specific word poverty in the organization’s mission. • Language such as but not limited to: low-income, self-sufficiency, economic security, etc. is acceptable. • It is the board that determines if the programs and services are in alignment with the mission. This review and formal determination would be recorded in the board minutes.				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Strategic plan			
c	Mission statement			
d	Needs Assessment summary or key findings			
e	Other documentation:			
4.2	The organization’s Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.			
Guidance: • The State Lead Agency is responsible for determining the plan’s format, and needs to ensure that the three components are readily identifiable. • The plan needs to be focused on outcomes, i.e., changes in status (such as hunger alleviation vs. food baskets). • The Community Action plan is sometimes referred to as the CSBG plan or CSBG workplan.				
Documentation used (check all that apply in support of meeting the standard):				
a	CAP Plan (The CAP Plan is sometimes referred to as the CSBG Plan or CSBG Workplan)			
b	Community assessment			
c	Needs Assessment summary or key findings			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 4: ORGANIZATIONAL LEADERSHIP (CONTINUED)		MET	NOT MET
4.3	The organization's Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.		
<p>Guidance:</p> <ul style="list-style-type: none"> • There is no requirement to have a certified ROMA trainer on staff at the organization. • While a ROMA trainer (or equivalent) must be involved, it is up to the organization to determine the manner in which this individual is utilized. Examples include: involving the trainer in strategic planning meetings, consultation on implementation, etc. • This includes involving a ROMA trainer (or equivalent) in the course of ROMA-cycle activities such as the community assessment, strategic planning, data and analysis, and does not need to be a separate activity. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Certified ROMA trainer in the organization		
b	Agreement with certified trainer not within the organization to provide ROMA services.		
c	Strategic plan (including appendices)		
d	Community action plan (including appendices)		
e	Meeting summaries of ROMA trainer participation		
f	Other documentation:		
4.4	The governing board receives an annual update on the success of specific strategies included in the Community Action plan.		
<p>Guidance:</p> <ul style="list-style-type: none"> • The CSBG Act requires that boards be involved with assessment, planning, implementation, and evaluation of the programs: this standard supports meeting that requirement. • This standard is met by an update being provided at a regular board meeting, and documented in the minutes. • The update provided to the board should include specific strategies outlined in the Community Action plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year. <u>The reporting component to the board must be documented in the form of full board or committee meeting minutes. One should remember that it is OCA policy that compliance to the standards must be documented. If key components of the standards are not documented, OCA may assess the standard as "Not Met" due to a lack of documentation.</u> 			
Documentation used (check all that apply in support of meeting the standard):			
a	Community Action Plan update/report		
b	Board minutes		
c	Board pre-meeting materials/packet		
d	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 4: ORGANIZATIONAL LEADERSHIP (CONTINUED)		MET	NOT MET
4.5	The organization has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.		
Guidance: • Board approval would most likely occur through a board vote at a regular board meeting • Documentation must include both elements: 1) plan for emergency/unplanned absence and 2) policy for filling a permanent vacancy.			
Documentation used (check all that apply in support of meeting the standard):			
a	Board minutes		
b	Succession plan/policy		
c	Short term succession plan		
d	Other documentation:		
4.6	An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.		
Guidance: • Reporting to the governing board would most likely occur at a regular board meeting and should be reflected in minutes. • It is important to note that to meet the Standard the organization only has to complete the assessment and report to the board. The results of the assessment are internal to the organization and therefore private. • There is no one mandatory tool for completing this task. This comprehensive assessment is more than the financial risk assessment contained in the audit and may also include such areas as: insurance, transportation, facilities, staffing, property, etc. To meet the Standard, the tools(s) used needs to address organization-wide functions, not only individual program requirements.			
Documentation used (check all that apply in support of meeting the standard):			
a	Risk assessment policy and/or procedures		
b	Board minutes		
c	Completed risk assessment tool		
d	Risk assessment reports		
e	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 5: BOARD GOVERNANCE			MET	NOT MET
5.1	The organization's governing board is structured in compliance with the CSBG Act: 1) At least one third democratically-selected representatives of the low-income community; 2) One-third local elected officials (or their representatives); and 3) The remaining membership from major groups and interests in the community.			
Guidance: • This standard is based on the CSBG Act and addresses the composition structure of the board only. • See the CSBG Act and IM 82 for comprehensive guidance. • Per Ohio policy, the by-laws must contain a maximum length of service for private and low income governing board members.				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Board roster			
c	Bylaws			
d	Letters of appointment			
e	Election results of low income representatives			
f	Other documentation:			
5.2	The organization's governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.			
Guidance: • See the CSBG Act and IM 82 for comprehensive guidance. • See definitions list for additional clarity on democratic selection – please note that the CSBG Act requires a democratic selection process. • Examples of democratic selection procedures for low-income sector directors include: (1) election by ballots cast by the CAA's clients and/or by other low-income people in the CAA's service area (ballots could be cast, for example, at designated polling place(s) in the service area, at the CAA's offices, or via the Internet); (2) vote at a community meeting of low-income people (the meeting could serve not simply to select low-income sector directors but also to address a topic of interest to low-income people); (3) designation of one or more community organization(s) composed predominantly of and representing low-income people in the service area (for example, a Head Start policy council, low-income housing tenant association, or the board of a community health center) to designate representative(s) to serve on the CAA's board.				
Documentation used (check all that apply in support of meeting the standard):				
a	Board policies and procedures			
b	Board minutes			
c	Bylaws			
d	Letters of appointment from organizations that serve the low income			
e	Election results for low income representatives who are elected from entities stated in the above			
f	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 5: BOARD GOVERNANCE (CONTINUED)			MET	NOT MET
5.3	The organization's bylaws have been reviewed by an attorney within the past 5 years.			
Guidance: • <i>There is no requirement that the attorney be paid.</i> • <i>Documentation of an attorney's review who serves on the board is permissible. An agency may seek pro bono legal work as well.</i>				
Documentation used (check all that apply in support of meeting the standard):				
a	Board policies and procedures			
b	Board minutes			
c	If applicable, new date stamped bylaws with inclusions from the attorney's review			
d	Other documentation:			
5.4	The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.			
Guidance: • <i>Distribution may be accomplished through electronic or hard copy distribution.</i> • <i>Acknowledgment of receipt may be accomplished through a signed and dated written acknowledgement, email acknowledgement, board minutes documenting receipt for those in attendance, etc.</i>				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Board pre-meeting materials/packet			
c	Bylaws			
d	List of signatures			
e	Copies of acknowledgments			
f	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 5: BOARD GOVERNANCE (CONTINUED)			MET	NOT MET
5.5	The organization's governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.			
Guidance: <ul style="list-style-type: none"> • Boards must meet at least quarterly. • Board vacancies must be filled within 90 days per OCA board requirements. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Board roster			
c	Board bylaws			
d	Board appointment letters			
e	Other documentation:			
5.6	Each governing board member has signed a conflict of interest policy within the past 2 years.			
Guidance: <ul style="list-style-type: none"> • There is no requirement to use a specific conflict of interest policy, only that the organization utilizes one that meets its needs. • The signed conflict of interest policies are collected, reviewed, and stored by the organization. • 2 CFR Part 200 (Super Circular) is in effect for any grant periods after December 26, 2014 and has additional information on conflict of interest policies and specific disclosures. • As a point of reference, the 990 asks: Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? Did the organization regularly and consistently monitor and enforce compliance with the policy? If so, describe how. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Conflict of interest policy/procedures			
c	Signed policies/signature list			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 5: BOARD GOVERNANCE (CONTINUED)			MET	NOT MET
5.7	The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.			
<p>Guidance: • There is no specific curricula requirement, or training methodology required; Board Orientation should have many organization-specific elements. These may include bylaws, overview of programs, and review of fiscal reports.</p> <p>• Training may be delivered at board meetings, special sessions, in person, through electronic media, or through other modalities as determined by the board.</p> <p>• The organization must have documentation of its process (including content), as well as documentation that each board member has been provided with the opportunity for orientation.</p>				
Documentation used (check all that apply in support of meeting the standard):				
a	Board policy/procedures			
b	Board training materials			
c	Board member acknowledgement/signature			
d	Other documentation:			
5.8	Governing board members have been provided with training on their duties and responsibilities within the past 2 years.			
<p>Guidance: • There is no specific curricula requirement, or training methodology required.</p> <p>• Training may be delivered at board meetings, special sessions, conferences, through electronic media, or other modalities as determined by the board.</p> <p>• The organization needs to have documentation that the training occurred (including content) as well as documentation that each board member has been provided with training opportunities.</p>				
Documentation used (check all that apply in support of meeting the standard):				
a	Training agendas			
b	Attendee list			
c	Board minutes			
d	Documentation of board attendance at offsite training conferences/events/webinars etc.			
e	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 5: BOARD GOVERNANCE (CONTINUED)		MET	NOT MET
5.9	The organization's governing board receives programmatic reports at each regular board meeting.		
<p>Guidance: • This Standard does not require a report on each program at every board meeting; however it does call for some level of programmatic reporting at every board meeting. organizations determine their own process to report programs to the board. For example, some organizations may cycle through their programs semi-annually, others may do so on a quarterly basis, and yet others may do a brief summary at every board meeting.</p> <ul style="list-style-type: none"> • Board minutes should reflect that programmatic reports have been received documentation. • Programmatic reporting may be in writing (reports, dashboards) and/or verbal. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Board minutes		
b	Board pre-meeting materials/packet		
c	Programmatic reports		
d	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 6: STRATEGIC PLANNING		MET	NOT MET
6.1	The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.		
Guidance: <ul style="list-style-type: none"> • This is intended to be an organization-wide document, not a list of individual program goals • This would be met through the Board voting on a motion to accept the strategic plan at a regular board meeting and documenting this in the minutes. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Board minutes		
b	Strategic plan		
c	Other documentation:		
6.2	The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.		
Guidance: <ul style="list-style-type: none"> • These are the purposes of CSBG as laid out in the Act. • These specific terms are not required, but the Plan needs to include one or more of the themes noted in the Standard. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Strategic plan		
b	Other documentation:		
6.3	The approved strategic plan contains family, agency, and/or community goals.		
Guidance: <ul style="list-style-type: none"> • These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators. • These specific terms are not required, but the plan must address one or more of these dimensions. • There is no requirement to address all three: family, agency, and community. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Strategic plan		
b	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

VISION AND DIRECTION – CATEGORY 6: STRATEGIC PLANNING (CONTINUED)		MET	NOT MET
6.4	Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.		
Guidance: <ul style="list-style-type: none"> • This Standard links the community assessment with strategic planning. • There is no requirement to do additional data collection. • Please see guidance and glossary under Customer Engagement for more information on customer satisfaction and customer input. • The standard may be documented by references to the analysis of customer satisfaction data and input within the plan, or by including the analysis of customer satisfaction data in the plan or its appendices, with a brief explanation of how it was used. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Strategic plan including appendices		
b	Notes from strategic planning process		
c	Customer satisfaction data/reports		
d	Customer input data/reports		
e	Other documentation:		
6.5	The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.		
Guidance: <ul style="list-style-type: none"> • The CSBG Act requires that Boards be involved with assessment, planning, implementation, and evaluation of programs; this standard supports meeting that requirement. • This standard would be met by an update being provided at a regular board meeting, or a planning session, and documented in the minutes. • The update provided to the board may be written or verbal. • The update provided to the board should include goals outlined in the strategic plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Strategic plan update/report		
b	Board minutes		
c	Board pre-meeting materials/packet		
d	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 7: HUMAN RESOURCE MANAGEMENT			MET	NOT MET
7.1	The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.			
Guidance: <ul style="list-style-type: none"> • There is no requirement that the attorney be paid, but should be a currently practicing attorney. • Note that the review needs to have occurred at some point during in the past five calendar years. • Agencies may work with human resource professionals (such as SHRM certified staff) and others (attorneys on staff or on the board) prior to the legal review to minimize cost. • Note that not all attorneys are familiar with Human Resource issues and agencies are encouraged to use attorneys with this type of expertise. • Although it is preferable for the review to be done by an attorney independent of the board, documentation of an attorney's review who serves on the board is permissible. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Personnel policies			
b	Board pre-meeting materials/packet			
c	Board minutes			
d	Statement/invoice from an attorney reflecting the review			
e	Other documentation:			
7.2	The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.			
Guidance: <ul style="list-style-type: none"> • The Handbook may be made available in electronic (such as an agency intranet, a location on a shared server, or distributed via email) or print formats. • The process for notification of changes is up to the individual organization. • Agencies are encouraged to have staff sign off that they have received and read the Employee Handbook. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Employee handbook/personnel policies			
b	Identified process for notifying staff of updates (may be included within the handbook/policy)			
c	Documentation of location and availability of handbook/policies			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 7: HUMAN RESOURCE MANAGEMENT (CONTINUED)			MET	NOT MET
7.3	The organization has written job descriptions for all positions, which have been updated within the past 5 years.			
Guidance: <ul style="list-style-type: none"> • This references job descriptions for each type of position, not each staff person. • To meet the Standard, job descriptions may include date of last review/update; the Standard does not require changes when descriptions are reviewed. • The time frame is defined as within the past 5 calendar years. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Organizational chart/staff list			
b	Job descriptions			
c	Board or committee minutes noting documents have been updated			
d	Other documentation:			
7.4	The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.			
Guidance: <ul style="list-style-type: none"> • There is no specific appraisal tool required to be used. • This may be accomplished through a committee or the full board; however, the full board should receive and accept via board vote the appraisal, with the acceptance reflected in the board minutes. • The approval of the performance appraisal is often done in conjunction with setting the CEO compensation. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Other documentation:			
7.5	The governing board reviews and approves CEO/executive director compensation within every calendar year.			
Guidance: <ul style="list-style-type: none"> • The full board should review and approve the total compensation at a regular board meeting and have it reflected in the board minutes. • This includes salary, fringe, health and dental insurance, expense/travel account, vehicle, etc. • As a point of reference, the 990 asks: Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?...and if yes, describe the process. • The compensation review and approval often happens in conjunction with the CEO performance appraisal. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Board minutes			
b	Executive Director/CEO contract (if applicable)			
c	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 7: HUMAN RESOURCE MANAGEMENT (CONTINUED)			MET	NOT MET
7.6	The organization has a policy in place for regular written evaluation of employees by their supervisors.			
Guidance: • The Standard calls for a policy being in place. • Staff are to receive annual reviews.				
Documentation used (check all that apply in support of meeting the standard):				
a	Evaluation process/policy (likely found in personnel policies and procedures)			
b	Personnel files			
c	Other documentation:			
7.7	The organization has a whistleblower policy that has been approved by the governing board.			
Guidance: • Once the whistleblower policy is approved and in place, there is no requirement for additional review under this Standard. It is good policy for boards to periodically review their whistleblower policy to ensure that they are operating in compliance with it. • This would be met through a vote by the board at a regular meeting and noted in the minutes. Many organizations incorporate their whistleblower policy into their Personnel Policies or Employee Handbook. If not included, the Whistleblower policy should be made available to staff via other means.				
Documentation used (check all that apply in support of meeting the standard):				
a	Whistleblower policy			
b	Board minutes			
c	Board pre-meeting materials/packet			
c	Personnel Policy Manual			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 7: HUMAN RESOURCE MANAGEMENT (CONTINUED)			MET	NOT MET
7.8	All staff participate in a new employee orientation within 60 days of hire.			
Guidance: <ul style="list-style-type: none"> • There are not curricula requirements for the orientation; it is up to the organization to determine the content. Some examples of content include time and effort reporting, ROMA, data collection, mission, history of Community Action, etc. • This may be met through individual or group orientations, and documented in personnel files. • The date of hire is considered to be the first day the employee works at the organization. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Personnel policies/employee handbook			
b	Orientation materials			
c	Sampling of HR/personnel files for documentation of attendance			
d	Other documentation:			
7.9	The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.			
Guidance: <ul style="list-style-type: none"> • There are no specific requirements for training topics, with the exception of ROMA (or comparable system if one is used and approved by the State). • This Standard may be met through in-house, community-based, conference, online and other training modalities. Agencies may conduct their own training in-house, or may make online or outside training available to staff. This may be training involving multiple staff or be encompassed in individual staff training plans similar to those done in Head Start or Early Head Start. • This should be documented in personnel files. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Training plan(s) or staff development plans that include ROMA.			
b	Documentation of trainings: presentations, evaluations, attendee lists			
c	Documentation of attendance at offsite training events/conferences			
d	HR/personnel files			
e	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT			MET	NOT MET
8.1	The Organization's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administration Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.			
Guidance: <ul style="list-style-type: none"> • Please see and follow state and federal guidance related to audits. • Completed by a Certified Public Accountant on time in accordance with Single Audit Guidelines. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Completed audit			
b	Other documentation:			
8.2	All findings from the prior year's annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.			
Guidance: <ul style="list-style-type: none"> • This Standard can be met through board discussion and decisions at a regular board meeting with decisions noted in the minutes. • Findings are those noted in the Audit itself, not the Management Letter. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Completed audit			
b	Management response to the audit			
c	Board minutes			
d	Other documentation:			
8.3	The organization's auditor presents the audit to the governing board.			
Guidance: <ul style="list-style-type: none"> • The presentation to the board should be reflected in the Minutes. • This Standard can be met via the auditor meeting with the full board or appropriate committee including Finance, Finance/Audit, Audit, or Executive. If done via committee, a report to the full board by the Committee Chair to confirm the meeting occurred needs to be completed and documented in the minutes. • The Auditor may make the presentation in person or via web or conference call as allowed by state law. In addition, ensure that the bylaws allow for electronic communication if the auditor or their representative presents in this way. • The presentation may be made by a representative(s) of the audit firm and is not required to be the Partner of the firm engaged in the audit. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Completed audit			
b	Board minutes/committee minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT (CONTINUED)			MET	NOT MET
8.4	The governing board formally receives and accepts the audit.			
Guidance: • This Standard can be met through a board vote accepting the audit at a regular board meeting and reflected in the minutes. • Each board member should be provided a copy of the audit, either in hard or electronic format, with this distribution noted in the board minutes.				
Documentation used (check all that apply in support of meeting the standard):				
a	Completed audit			
b	Board minutes			
c	Other documentation:			
8.5	The organization has solicited bids for its audit within the past 5 years.			
Guidance: • The Standard does not require that an organization switch auditors or partners, only that the audit is put out to bid within the past 5 years. • If an organization is currently under contract with a firm that has been conducting the audit for 5 or more at the time of the first Standards assessment, the bid process needs to occur as soon as the current contract is completed.				
Documentation used (check all that apply in support of meeting the standard):				
a	Organization procurement policy			
b	Documentation of bid process, including RFP/RFQ, list of vendors receiving notice, proof of any publication of the process			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT (CONTINUED)			MET	NOT MET
8.6	The IRS Form 990 is completed annually and made available to the governing board for review.			
	<p>Guidance: • The IRS Form 990 is a publically available document, and specifically asks if the board has reviewed the document prior to its submission. It also asks for a description of the review process.</p> <ul style="list-style-type: none"> • The Standard would be met by documenting the review process in the board minutes; the Standard does not require board acceptance or approval of the IRS Form 990. • The IRS Form 990 can be made available by sharing a copy electronically or in hard copy to governing board members with the process noted in the minutes. • The IRS Form 990 should be completed and submitted on time to the IRS within any granted extension periods. 			
Documentation used (check all that apply in support of meeting the standard):				
a	IRS Form 990			
b	Board minutes			
c	Board pre-meeting materials/packet			
d	Documentation of 990 distribution to the board (mail, email, link)			
e	Other documentation:			
8.7	<p>The governing board receives financial reports at each regular meeting that include the following:</p> <p>1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and</p> <p>2. Balance sheet/statement of financial position.</p>			
<p>Guidance: • Categorization by program does not require reporting by individual funding stream; it may be by organization-defined program areas, e.g., Early Childhood, Energy, Housing, etc.</p> <ul style="list-style-type: none"> • This does not limit the financial information a board receives at each board meeting. Individual agencies are likely to determine that additional information is needed by the board and should determine what specific information needs to be shared with the board beyond that included in the Standard. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Financial reports as noted above			
b	Board minutes/committee minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY - CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT (CONTINUED)			MET	NOT MET
8.8	All required filings and payments related to payroll withholdings are completed on time.			
Guidance: • This includes: federal, state, and local taxes; as well as insurance and retirement payments. • Documentation may include information received from a payroll service if used or the organization's financial management system. Such verification could be reviewed at the committee level if the organization determines it necessary, or delegated to the Executive Director.				
Documentation used (check all that apply in support of meeting the standard):				
a	Payroll tax documentation/filings			
b	Insurance documentation (health, disability, flex accounts)			
c	Retirement accounts documentation			
d	Record of payments to state, federal, insurance and retirement accounts			
e	Other documentation:			
8.9	The governing board annually approves an organization-wide budget.			
Guidance: • This would be met through approval at a regular board meeting and documented in the board minutes. • This is intended to complement, not replace, program budgets. • It is recognized that each grant or program will likely have an annual budget that may cross two organizational fiscal years. • It is important to note that an organization-wide budget is a forecast for the upcoming organization fiscal year, based on the best information at the time of development. It provides the board with an overview of what the expected revenues and expenditures are likely to be over the course of a year, with the knowledge that the actual revenue and expenditures may differ. There is no requirement for the organization to pass a modified organization-wide budget during the course of a year as things change.				
Documentation used (check all that apply in support of meeting the standard):				
a	Agency-wide budget			
b	Board minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT (CONTINUED)			MET	NOT MET
8.10	The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.			
Guidance: <ul style="list-style-type: none"> • This would be met through approval at a regular board meeting and documented in the board minutes. • There are no requirements for which specific staff need to be involved in the staff-level review. • The annual reporting of the staff level review of the fiscal policies may be made at a fiscal committee meeting with the committee minutes reflecting the review. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Fiscal policies/procedures manual			
b	Board minutes/committee minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			
8.11	A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.			
Guidance: <ul style="list-style-type: none"> • This would be met through approval at a regular board meeting and documented in the board minutes. • The procurement policy may be found in an organization's fiscal policies; it does not need to be a separate document. • The procurement policy must be compliant with federal regulations and Agencies are encouraged to review relevant OMB circulars for specifications. 				
Documentation used (check all that apply in support of meeting the standard):				
a	Procurement policy			
b	Board minutes			
c	Board pre-meeting materials/packet			
d	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 8: FINANCIAL OPERATIONS AND OVERSIGHT (CONTINUED)		MET	NOT MET
8.12	The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.		
Guidance: • If no approved indirect cost rate is in place, the organization must have a written cost allocation plan. • A Federally Negotiated Indirect Cost Rate should be currently approved and may be determined or provisional.			
Documentation used (check all that apply in support of meeting the standard):			
a	Cost allocation plan		
b	An approved indirect cost rate		
c	10% de minimus rate or other documentation:		
8.13	The organization has a written policy in place for record retention and destruction.		
Guidance: • This includes the retention and destruction of both electronic and physical documents. • This Policy may be a stand-alone policy or may be part of a larger set of organization policies. • As a point of reference, the 990 asks: Did the organization have a written document retention and destruction policy?			
Documentation used (check all that apply in support of meeting the standard):			
a	Document retention and destruction policy		
b	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 9: DATA AND ANALYSIS			MET	NOT MET
9.1	The organization has a system or systems in place to track and report client demographics and services customers receive.			
<p>Guidance: • Some funders require their own systems be used; the organization may or may not have an organization-wide system in place. As long as all services and demographics are tracked, this standard would be met.</p> <p>• The CSBG Information Survey data report already requires the reporting of client demographics. This standard does not require additional demographic data collection or reporting. The use of "OCEAN" satisfies this requirement. As you know, OCEAN in Ohio is the database or system used to collect data for the CSBG Information Survey. Agencies may use OCEAN to meet the documentation requirement for items B and C listed below.</p>				
Documentation used (check all that apply in support of meeting the standard):				
a	CSBG Information Survey data report			
b	Data system documentation and/or direct observation			
c	Reports as used by staff, leadership, board or cognizant funder			
d	Other documentation:			
9.2	The organization has a system or systems in place to track family, agency, and/or community outcomes.			
<p>Guidance: • Some funders require their own systems be used; the organization may or may not have an organization-wide system in place. As long as outcomes are tracked, this Standard would be met.</p> <p>• This may or may not be the same system(s) noted in 9.1</p>				
Documentation used (check all that apply in support of meeting the standard):				
a	Data system documentation and/or direct observation			
b	Reports as used by staff, leadership, board or cognizant funder			
c	Other documentation:			

2016 OHIO CAA STANDARDS MONITORING TOOL

OPERATIONS AND ACCOUNTABILITY – CATEGORY 9: DATA AND ANALYSIS (CONTINUED)		MET	NOT MET
9.3	The organization has presented to the governing board for review or action, at least with in the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.		
<p>Guidance:</p> <ul style="list-style-type: none"> • This standard would be met through board or staff discussions as long as the analysis and discussion are documented. • It is important to note that an organization is likely to have multiple programs with varying program years. This standard addresses an annual review of organization outcomes. Organizations are likely to make operations and strategic program adjustments throughout the year, making a single point in time analysis less effective than ongoing performance management. • Organizations can meet this standard by having: an annual board discussion of organization outcomes, multiple conversations over the course of the year, or other process the organization deems appropriate as long as these discussions are reflected in the minutes, with any operational or program adjustments or improvements being noted. 			
Documentation used (check all that apply in support of meeting the standard):			
a	Strategic plan update/report		
b	Other outcome report		
c	Notes from staff analysis		
d	Board minutes		
e	Board pre-meeting materials/packet		
f	Other documentation:		
9.4	The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.		
<p>Guidance:</p> <ul style="list-style-type: none"> • See CSBG State Lead Agency for specifics on the submission process. • The CSBG Information Survey data report already requires the reporting of client demographics and organization-wide outcomes. This standard does not require additional data collection or reporting. 			
Documentation used (check all that apply in support of meeting the standard):			
a	CSBG Information Survey data report		
b	Email or upload documentation reflecting submission		
c	Backup documentation gathered agency-wide to support the IS submission		
d	Other documentation:		

2016 OHIO CAA STANDARDS MONITORING TOOL

ORGANIZATIONAL STANDARDS - CATEGORY 10: TOTALS					MET	NOT MET
10.1	PERCENTAGE (NUMBER MET/58 TOTAL STANDARDS):				%	
11.1	POSTINGS - CATEGORY 11					
a	Ethics Statement (or availability)				Y - N	
b	Workers Compensation				Y - N	
c	Non-discrimination/Civil Rights/Labor Laws				Y - N	
d	Client Appeals				Y - N	
CSBG CLIENT FILE CHECKLIST - CATEGORY 12						
12.1	CLIENT NUMBER	CLIENT DATED & SIGNED	FORM CORRECT	INCOME DOC	PROGRAM NAME - SERVICES RECEIVED - EXPENDITURES - COMMENTS	
1		Y - N	Y - N	Y - N		
2		Y - N	Y - N	Y - N		
3		Y - N	Y - N	Y - N		
4		Y - N	Y - N	Y - N		
5		Y - N	Y - N	Y - N		
6		Y - N	Y - N	Y - N		
7		Y - N	Y - N	Y - N		
8		Y - N	Y - N	Y - N		
9		Y - N	Y - N	Y - N		
10		Y - N	Y - N	Y - N		
11		Y - N	Y - N	Y - N		
12		Y - N	Y - N	Y - N		
CHECKS TRACED						

2016 OHIO CAA STANDARDS MONITORING TOOL

ROMA WORKPLANS REVIEWED ONSITE - CATEGORY 13				
13.1	PROGRAM NAME	CSBG FUNDING AMOUNT	OBSERVATION NOTES	
1		\$		
2		\$		
3		\$		
RESOLUTION OF PREVIOUS MONITORING ISSUES - CATEGORY 14			MET	NOT MET
14.1	Compliance issues from recent monitoring reports:			
a				
b				
c				
d				
e				
14.2	These compliance issues have been satisfactorily resolved.			
	Notes:			
a	If NO to above, what is unresolved?			
	Notes:			

2016 OHIO CAA STANDARDS MONITORING TOOL

2016 - 2017 ASSURANCES FOR CSBG - CATEGORY 15		MET	NOT MET
15.1	THE EXECUTIVE DIRECTOR/BOARD CHAIRPERSON INDICATED ACKNOWLEDGEMENT OF THE FOLLOWING REQUIREMENTS:		
a	CSBG Application, Budget, and all submitted attachments covered the period of January 1, 2016 to December 31, 2017.		
b	All CSBG customer data is kept secure and confidential.		
c	All computerized CSBG data will be backed up on a daily basis and stored off-site on a weekly basis.		
d	All CSBG software and electronic records are protected by correctly installed anti-virus software and that updates to the anti-virus software are done in a timely manner.		
e	CSBG software is maintained and vendor updates are done in a timely manner.		
f	Computer access controls (i.e. remote capabilities, administrative rights) provide reasonable assurance that computer resources are protected from unauthorized modifications.		
g	Every user of the OCEAN system will has a signed copy of the OCEAN data confidentiality agreement.		
h	Every user of the OCEAN system has been informed not to share their password with anyone, and that any user that is no longer employed by the agency or who no longer has the authority to use the system will be disabled in the OCEAN system or the State office will be called to disable the user account.		
i	Any data obtained from OCEAN or ODSA will not be shared with anyone not directly employed by the agency.		
j	The Board/Agency adopts written policies and procedures for cash receipts and revenue collection, travel, credit cards, checks, signature plates/disks, cellular phones and petty cash.		
k	Copies of all fiscal data are shared with the CSBG coordinator on a monthly basis.		
l	CSBG expenditures will be supported with adequate documentation detailing the item/service purchased.		
m	The agency understands that it is subject to federally mandated organizational standards effective in 2016, and that the agency's programs, policies and activities will be assessed in relation to the organizational standards as part of a full, on-site CSBG monitoring visit in 2016.		
n	All CSBG staff - managers and line staff - have been fully trained and have reviewed updated ROMA program funnels for current program year.		
p	CSBG staff is available for home visits		
q	A CSBG Intake Form will be completed for each customer at least once per program year and placed in that customer's file.		
r	CSBG staff and managers will conduct "Results and Learning" meetings at least once per quarter to review and analyze program data as part of the agency's implementation of the full Results Oriented Management and Accountability (ROMA) cycle of assessment, planning, implementation, achievement of results, and evaluation		
s	Any and all changes, additions to, or termination of CAA Work Plans (ROMA) will be communicated to the agency's assigned OCA Field Representative no later than the date that the next subsequent quarterly report is due for submission to OCA.		

2016 OHIO CAA STANDARDS MONITORING TOOL

2016 - 2017 ASSURANCES FOR CSBG - CATEGORY 15 (CONTINUED)		MET	NOT MET
t	The agency's board is updated on the results of the strategies, programs and services contained in the agency's CSBG application and plan.		
u	If any agency employees, or relatives of staff, or friends of staff apply for the program, the CSBG Coordinator completes the application.		
v	If the CSBG Coordinator, or a relative or friend of the CSBG Coordinator applies for the program, the Executive Director completes the application.		
w	The agency notifies OCA in advance through email when the agency will be closed during normal business hours.		
x	Agency Contact Information are reviewed in OCEAN. Any changes are immediately communicated to the agency's OCA Field Representative.		

2016 OHIO CAA STANDARDS MONITORING TOOL

16.1	EXIT INTERVIEW ATTENDEES - CATEGORY 16			
1		5		
2		6		
3		7		
4		8		
	Notes:			

OCA Guide to Progressive Corrective Action up to and Including Rescinding Community Services Block Grant Designation and Awarding Funds to a New Entity

Intended as a comprehensive guide to the steps OCA must take when terminating organizational eligibility and awarding funds to a new eligible entity, this memo will list the requirements as outlined in the Community Services Block Grant Act²¹, the Ohio Revised Code²², and the Ohio Administrative Code²³. In addition to the aforementioned documents, this guide will also draw heavily upon the Community Services Block Grant Program Information Memorandum (IM) 116²⁴ which was developed to "ensure a consistent understanding of the legal requirements and procedures for termination... of funding to eligible entities..." Whenever possible, the source(s) of the information provided as part of this guide will be cited for reference.

Community Services Block Grant (CSBG) ACT	Ohio Revised Code (ORC) and Ohio Administrative Code (OAC)
Failure to comply with State Plan <ul style="list-style-type: none"> • Section 678 C (c) (1) (B) • Section 678 C (c) (2) 	Agency not in compliance with ORC 122.69
State documents and informs CAA of deficiency to be corrected and requires CAA to correct <ul style="list-style-type: none"> • 678 C (a) (1) • 678 C (a) (2) 	CAAs must correct identified deficiencies or they will lose funding <ul style="list-style-type: none"> • OAC 122:5-1-02(C)
State determines whether Technical Assistance (TA) is appropriate and either offers TA or does not (if deficiencies are determined too severe). <ul style="list-style-type: none"> • 678 C (a) (3) (B) • 678 C (a) (3) (A) 	
State submits to HHS a report describing TA or a report on why TA is not appropriate. <ul style="list-style-type: none"> • 678 C (a) (3) 	
DISCRETIONARY: State gives CAA 60 days to submit a Quality Improvement Plan (QIP) identifying plan for bringing agency into compliance. State has 30 days to determine	CAAs will be allotted 90 days to correct the identified deficiency <ul style="list-style-type: none"> • OAC 122:5-1-02(E)

²¹ Community Services Block Grant Act http://www.acf.hhs.gov/programs/ocs/csbq/pdf/csbq_law_508.pdf

²² Ohio Revised Code <http://codes.ohio.gov/orc>

²³ Ohio Administrative Code <http://codes.ohio.gov/oac>

²⁴ CSBG IM 116 <http://www.acf.hhs.gov/programs/ocs/csbq/guidance/im116.html>

<p>If QIP is sufficient.</p> <ul style="list-style-type: none"> • 678 C (a) (4) 	
<p>State provides adequate notice and opportunity for public hearing.</p> <ul style="list-style-type: none"> • 678 C (a) (5) 	<p>State provide notice and hearing in compliance with Section 119.01 to 119.13 of ORC</p> <ul style="list-style-type: none"> • ORC 122.701
<p>State Initiates proceedings to terminate designation.</p> <ul style="list-style-type: none"> • 678 C (a) (5) 	<p>State may rescind designation of CAA for failure to comply with ORC 122.69</p> <p>-OR-</p> <p>State shall rescind designation of CAA upon notification of chief elected officials of more than 1/2 of municipal corporations in CAA service area that the agency is not endorsed by them and is not in compliance with Section 122.69 or ORC</p> <ul style="list-style-type: none"> • ORC 122.701 <p>Copy of letter rescinding endorsement must be received by OCA via certified mail. Without letter of rescission, designation will remain in effect.</p> <ul style="list-style-type: none"> • OAC 122.5-2-02 (A)
<p>Entity has 30 days following notification by the State of its final decision to request a review by Secretary of HHS.</p> <p>If request for review is made, State may not discontinue present or future funding until HHS responds. Requests for review must be received by HHS OCA within 30 days of notification of State decision.</p> <p>HHS has 90 days to respond to request.</p> <ul style="list-style-type: none"> • 678C (b) 	<p>CAAs can appeal using the procedure outlined in the federal CSBG Act</p> <ul style="list-style-type: none"> • OAC 122.5-1-05(F)
<p>In event of termination of designation or reduction of proportional funding, state may solicit applications and designate a CSBG compliant (tripartite board, 676B) organization, agency, or appropriate political subdivision within or contiguous to the area.</p> <ul style="list-style-type: none"> • 676A <p>State cannot award funds until HHS confirms state findings or 90 day review period has passed.</p>	<p>An agency or organization that receives the endorsement of the chief elected officials of at least two thirds of municipal corporations and county(s) within the service area shall be designated as the CAA for the community it serves.</p> <ul style="list-style-type: none"> • ORC 122.69
	<p>Endorsement will be recognized upon OCA receiving via certified mail a copy of the notice of endorsement.</p>

	<ul style="list-style-type: none"> • OAC 122:5-2-02 (A)
	<p>OCA shall hold at least one public "meeting" within the service area to allow for public comments on services.</p> <ul style="list-style-type: none"> • ORC 122.701
<p>Immediately following the first year of services, OCA must conduct an on-site review of the newly designated agency.</p> <ul style="list-style-type: none"> • 678B (a) (2) 	

Relevant Citations:

ORC 122.69 Endorsement of Community Action Agency

(A) Any nonprofit agency or organization seeking designation as a community action agency by the office of community services shall obtain the endorsement of the chief elected officials of at least two-thirds of the municipal corporations and the counties within the community to be served by the agency or organization.

(B) Any nonprofit agency or organization that receives the endorsement provided for in division (A) of this section shall be designated by the office as the community action agency for the community it serves and shall receive community services block grant funds for any period of time that the nonprofit agency or organization.²⁵

Proportional Share Requirements for Eligible Entities

The CSBG Act requires that as a part of the annual submission of an application and plan for CSBG funding, States must assure that any eligible entity in the State that received funding in the previous fiscal year through a Community Services Block Grant 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. The CSBG Act also specifies that a State's determination is subject to Federal review by the Department of Health and Human Services.²⁶

OAC 122:5-2-02 (A) Yearly Performance Assessments

(A) A nonprofit agency or organization shall be deemed to have obtained the endorsement of a chief elected official of a municipal corporation or county within the community to be served by the agency or organization when written notice of such endorsement is received by certified mail by the office of community services at the following address: "Office of Community Services, Ohio Department of Development, P.O. Box 1001, Columbus, Ohio 43216-1001." A copy of the notice of endorsement shall be provided by such chief elected official to the nonprofit agency or organization

²⁵ ORC 122.69 Endorsement of Community Action Agency <http://codes.ohio.gov/orc/122.69>

²⁶ IM 116 Proportional Share Requirements for Eligible Entities
<http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im116.html>

100

seeking designation as a community action agency. Notice of endorsement by a chief elected official of a municipal corporation or county of a nonprofit agency or organization seeking designation as a community action agency shall remain effective until a notice of rescission of endorsement is received by certified mail by the office of community services at the same address. A copy of the notice of rescission of endorsement shall be provided by such chief elected official to the nonprofit agency or organization seeking designation as a community action agency.²⁷

ORC 122.701 Designating New or Rescinding Former Designation

(A) Prior to designating a new community action agency or rescinding a community action agency's designation, the office of community services shall:

(1) Determine whether a community action agency is in compliance with section 122.69 of the Revised Code;

(2) Consult with the chief elected officials of political subdivisions located within a community action agency's service area, and, in designating a new community action agency, obtain their endorsement of the agency in accordance with division (A) of section 122.69 of the Revised Code;

(3) Hold at least one public meeting within a community action agency's service area for the purpose of allowing citizens to comment on the community action agency's delivery of services;

(4) Evaluate the proposed service area of the community action agency, and, as may be necessary, modify the boundaries of the service area so that low-income persons in the area are adequately and efficiently served.

(B) After providing notice and hearing pursuant to sections 119.01 to 119.13 of the Revised Code, the director of development:

(1) May rescind the designation of a community action agency if he finds that the agency is not in compliance with any or all of the provisions of section 122.69 of the Revised Code;

(2) Shall rescind the designation of a community action agency upon notification from the chief elected officials of more than one-half of the municipal corporations and the counties within a community currently served by a community action agency that such agency is not endorsed by them and upon a finding by him that the agency is not in compliance with section 122.69 of the Revised Code.

Any agency whose designation is rescinded pursuant to this section may appeal from an order rescinding such designation pursuant to section 119.12 of the Revised Code.²⁸

²⁷ OAC 122:5-2-02 (A) Yearly Performance Assessments <http://codes.ohio.gov/oac/122%3A5-2-02>

²⁸ ORC 122.701 Designating New or Rescinding Former Designation <http://codes.ohio.gov/orc/122.701>

ORC 119.01 (E) Administrative procedure definitions
 (E) "Hearing" means a public hearing by any agency in compliance with procedural safeguards afforded by sections 119.01 to 119.13 of the Revised Code.²⁹

ORC 119.13 Representation of Parties

At any hearing conducted under sections 119.01 to 119.13 of the Revised Code, a party or an affected person may be represented by an attorney or by such other representative as is lawfully permitted to practice before the agency in question, but, except for hearings held before the state personnel board of review under section 124.03 of the Revised Code, only an attorney at law may represent a party or an affected person at a hearing at which a record is taken which may be the basis of an appeal to court.

At any hearing conducted under sections 119.01 to 119.13 of the Revised Code, a witness, if he so requests, shall be permitted to be accompanied, represented, and advised by an attorney, whose participation in the hearing shall be limited to the protection of the rights of the witness, and who may not examine or cross-examine witnesses, and the witness shall be advised of his right to counsel before he is interrogated.³⁰

²⁹ ORC 119.01 (E) Administrative procedure definitions <http://codes.ohio.gov/orc/119.01>

³⁰ ORC 119.13 Representation of Parties <http://codes.ohio.gov/orc/119.13>

OCA Policy Bulletin

Volume I – Chapter 2: CSBG – Section B: Programmatic

Client Eligibility and Income Documentation (revised May 2012)

INCOME CALCULATIONS

Eligibility for services under the Community Services Block Grant (CSBG) is determined on the basis of a household's income in relation to federal HHS poverty guidelines issued annually and published in the Federal Register. Updated federal poverty guidelines are effective immediately upon publication in the Federal Register unless otherwise specified by HHS.

To be income-eligible for services funded by CSBG, a household must have total household income for the last 12 months or 90 days equal to or less than **125%** of the federal poverty guidelines The period to be used in determining annual income must not be more than 12 months, or less than the 90 day period preceding the request for assistance by the household.

INCOME REVERIFICATION (Re-Establishing Customer Eligibility)

Household Income for CSBG services **must be re-verified** if the customer's income has changed since their last visit to the agency and/or if the "Poverty Income Guidelines" have changed since the customer's last visit.

Note that customers, who are in the midst of a program and have an income increase that makes them ineligible, must be allowed to complete the program.

CATEGORICAL ELIGIBILITY

Households receiving public assistance from DHS (PRC, OWF, TANF, and DA) are considered to be categorically eligible for CSBG-funded services. However, these sources of income/public assistance and the associated dollar amounts must be documented.

SELF-DECLARATION OF INCOME STATEMENT

Any household unable to supply complete income documentation must sign a Self-Declaration Statement. If an agency representative has reason to believe that income documentation does in fact exist, a concerted effort must be made to obtain complete and up-to-date income documentation. Qualifying an applicant to receive CSBG-funded services through the acceptance of a Self-Declaration of Income statement should occur only when all attempts to obtain actual income documentation have failed. Persons claiming zero (0) income **must explain in detail their ability to exist, i.e. their source(s) of food and shelter.**

INCOME DOCUMENTATION FOR TARGET AREAS

For some programs, aimed at certain groups, especially youth and children, it may be difficult to obtain income documentation for each individual. In these cases, grantees may document income levels in targeted geographic areas in order to verify the extent to which clients within that area are income eligible. Documentation of target areas must be based on census tract data or other valid measures of the incidence of poverty within a defined geographic area within the local agency's service territory. At least fifty-one percent (51%) of target area residents must be income eligible in order for CSBG services to be provided to the group on this geographic basis. The documentation and a request for a

waiver from documenting household income for program participants must be submitted to the OCA for review and approval. Waiver requests must explain in detail why it would be impossible or a hardship to collect income documentation for the CSBG-funded program in question. Services cannot be offered until the waiver is approved. A waiver from individual household income documentation does not however constitute a waiver for completion of a CSBG Intake Form. The requirement to complete CSBG intake remains.

REQUIRED INCOME DOCUMENTATION

When programs or projects are funded by more than one funding source, income documentation is not always required for 100% of the clients participating. The amount of CSBG funds spent to support a program expressed as a percentage of the total program budget may be used to determine the minimum percentage (number) of clients that must be demonstrated to be income-eligible for the CSBG-funded services in accordance with CSBG guidelines.

For example – CSBG provides 5% of total program funding Buckeye CAP's Senior Medication Program which serves 200 seniors. Income-eligibility documentation is required for at least 5% of the 200 participating seniors. In this case; income-eligibility documentation would be required for at least 10 participants.

INCOME DEFINITIONS

The definitions of income described below are to be used in determining client eligibility for CSBG-funded services. Examples of the types of acceptable documentation of income are provided.

Household Income Utilized to Determine Eligibility: Countable Income and Income that is excluded for Purposes of Determining CSBG Income-Eligibility

Household income is defined as the total annual gross income of all household members before taxes and minus officially excluded sources of income. For example, earned income of dependent minors under the age of 18 is excluded from the determination of household income. All income and allowed exclusions must be documented for household members 18 years of age and older regardless of the household member's relationship to the *primary applicant*. Head of household and spouse may never be considered minors. Gross household income includes wages, interest, dividends, annuities and pensions. Additional sources of countable income include, but are not limited to the following:

Countable Income:

Active Military Pay (Basic pay)

Adoption Assistance

Alimony

Annuity

Black Lung

Capital Gains - Proceeds from sale of property, home and stock

Cash Withdraws from Individual Retirement Accounts (IRA)

Child Support Received

Company Disability and Black Lung

Disability Assistance (DA)

Estate and Trust Settlements - minus attorney fees
 Farm Income
 Garnisheed Wages, including Bankruptcy/Chapter 13
 Gifts/Monetary Assistance
 Grants/Training Stipends – living expenses only
 Immigrant Relocation Allowance
 Interest earned from Savings Accounts
 Lump Sum Distribution
 Odd Jobs
 Pensions - Government/Veterans/Private Industry
 Rental Income
 Self-Employment
 Social Security, Supplemental Security Income (SSI) Social Security Disability (SSDI)
 Strike Benefits
 Temporary Assistance to Needy Families (TANF)
 Unearned income paid to or on the behalf of minors
 Unemployment Benefits
 Utility Allowances (as discretionary income)
 Wages/Tips
 Workers' Compensation

DOCUMENTATION of COUNTABLE INCOME

A minimum of one source of income documentation is required from among the following acceptable options:

*****IRS Tax forms** are acceptable proof for certain types of income, however they must be current (ex: 2010 for 2011-2012 CSBG program) and clarification is needed in most cases. The federal gross is used when calculating income from a tax form.

** **90 Day Rule**---Lump sum payments should be prorated over either the 90 day/3 month or 12 month eligibility period) -If the past 90 day/3-month income is used, that amount **must be annualized**, ex: income for the past 3 months was \$100 per month, total household income annualized would be \$1200 yearly

* See “**Wages**” section.

SOURCE	DOCUMENTATION
<u>ACTIVE MILITARY PAY (BASIC PAY):</u>	1. Check stub/Pay Statement.

<u>ADOPTION ASSISTANCE:</u>	<ol style="list-style-type: none"> 1. Stated on application with clarification if necessary 2. Copy of check or assistance statement 3. Signed Office of Community Assistance (OCA) Self-Declaration Form (this form is primarily used by the Community Action Agencies) or signed letter with amounts listed
<u>**ALIMONY DIVORCE SETTLEMENTS/SPOUSAL SUPPORT:</u>	<ol style="list-style-type: none"> 1. Stated on application with clarification if necessary. 2. Bank statement 3. Court Documents 4. *IRS Form 1040 (line 11) 5. Signed OCA Self-Declaration Form or signed letter with amounts listed.
<u>**ANNUITIES:</u>	<ol style="list-style-type: none"> 1. Stated on application with scanned documentation from previous year 2. Copy of check 3. Most recent *IRS form 1099-R (box 1) 4. Most recent *IRS form 1040 (line 16a) with clarification if necessary 5. Signed OCA Self-Declaration Form or signed letter with amounts listed
<u>BLACK LUNG:</u>	<ol style="list-style-type: none"> 1. Stated on application with scanned documentation from previous year 2. Copy of check 3. Award letter
<u>**CAPITAL GAINS:</u>	<ol style="list-style-type: none"> 1. *IRS Tax Statement Form 1040 (line 13) with Schedule D 2. *IRS Tax Statement Form 1099-DIV
<u>**CASH DISTRIBUTIONS/WITHDRAWS FROM INDIVIDUAL RETIREMENT ACCOUNTS (IRA):</u>	<ol style="list-style-type: none"> 1. Stated on application. 2. Copy of check 3. Most recent *IRS Form 1099-R (box 1) 4. *IRS Form 1040 (line 15a/15b) with clarification if necessary
<u>CHILD SUPPORT RECEIVED:</u>	<ol style="list-style-type: none"> 1. Stated on application with clarification if necessary 2. Payment Printout/statement from agency issuing payments ex: Ohio Department of Job and Family Services (ODJFS) 3. Court Documents with clarification of amounts if necessary 4. Copy of check 5. Signed OCA Self-Declaration Form or signed letter with amounts listed
<u>COMPANY/EMPLOYMENT DISABILITY:</u>	<ol style="list-style-type: none"> 1. Award letter with clarification if necessary 2. Copy of check stub/pay statement with clarification if necessary
<u>DISABILITY ASSISTANCE (DA)/GENERAL ASSISTANCE (GA):</u>	<u>See TEMPORARY ASSISTANCE TO NEEDY FAMILIES (TANF)</u>
<u>**ESTATE AND TRUST SETTLEMENTS:</u>	<ol style="list-style-type: none"> 1. Written documentation from executor, attorney, bank representative, administrator of estate, Power of Attorney (POA) etc. Note: Attorney's fees are excluded 2. *IRS Form 1040 (line 17) with Schedule E (this is correct according to the IRS website)

<u>GARNISHEED WAGES/CHAPTER 13 BANKRUPTCY</u>	<u>See WAGES</u>
<u>**GIFTS MONETARY ASSISTANCE, NO INCOME, ZERO INCOME (NON- DISCRETIONARY VS. DISCRETIONARY INCOME):</u>	<ol style="list-style-type: none"> 1. Stated on application with oral clarification if necessary – 2. A Signed letter from the gift giver with amount(s) listed <p>Clarify, amounts and frequency of assistance to determine if the amount is a gift or a ***loan – if the client states they are expected to pay the gift back, this would be considered a loan and would NOT be counted as income).</p>
<u>NO INCOME/ZERO INCOME</u>	<ol style="list-style-type: none"> 1. A signed OCA Self-Declaration of Income Form explaining how the customer is surviving and/or maintains their household. This form must explain in detail the customer's source of maintaining shelter; receiving food, etc.
<u>NON-DISCRETIONARY INCOME</u>	EXAMPLE: If payments for rent, utilities, etc. are paid directly to the payee (gas co. landlord etc.) and this is documented from a signed letter of the person who paid the bill or a cancelled check etc. this is considered NON-DISCRETIONARY income and WOULD NOT be counted.
<u>DISCRETIONARY INCOME</u>	<p>EXAMPLE: If the cash was given directly to the client for them to pay the bills at their own discretion; it would be considered DISCRETIONARY income and WOULD be counted.</p> <p>***LOANS—Loans are never counted /included as income. Gifts are included as income <u>only</u> if they are DISCRETIONARY.</p>
<u>GRANTS/Training Stipends/Work Study Programs, Fellowships, Scholarships (exclude amounts for books, educational fees, and tuition)</u>	<ol style="list-style-type: none"> 1. Statement from educational institution or company providing grant with clarification if necessary 2. Award Letter with clarification if necessary 3. Signed OCA Self-Declaration Form or signed letter from client (Please refer to E-2.13) 4. *IRS Form 1099 and 1040 (line 7) 5. *IRS Form W-2 <p>Some students receive a tax form (W-2 or 1099) for Work Study Programs, Fellowships and Scholarships. Amounts used for books, educational fees and tuition are excluded.</p> <p>Example: Susan Harris, who attends the Ohio State University, receives a \$2,000 scholarship, with <u>\$1,000 specifically designated for tuition</u> and \$1,000 specifically designated for living expenses. Her tuition is \$1,600. She may exclude \$1,000 from income, but the other <u>\$1,000 designated for living expenses is taxable and must be included in income.</u></p> <ol style="list-style-type: none"> 1. Allowance Statement 2. Copy of check with clarification if necessary
<u>IMMIGRANT RELOCATION ALLOWANCE</u>	<ol style="list-style-type: none"> 1. Allowance Statement 2. Copy of check with clarification if necessary
<u>INTEREST</u> (earned from financial accounts):	<ol style="list-style-type: none"> 1. Stated on application with clarification if necessary 2. Bank statement 3. Most recent *IRS form 1099 (form INT boxes 1-3)

	4. Most recent *IRS form 1040 (line 8a through 9b) (box 1) 5. Signed letter with amounts listed with oral clarification if necessary
<u>**LUMP SUM DISTRIBUTION/Social Security or Disability Lump Sum Awards, Insurance Policy Payouts, Lottery winnings etc.: (**use 90 day rule if applicable):</u>	1. Statement from financial institution 2. Copy of check with clarification if necessary 3. *IRS Form 1040 (line 21) 4. *IRS Form W-2, W-2G
<u>PENSIONS-Government, VA, Private Industry-Government Pensions include: Public Employees Retirement Systems (PERS), School Employees Retirement Pension (SERS) Veterans Pension (VA), Police, Firefighters, Railroad Workers:</u>	1. Stated on application 2. Copy of check – If pension is from a private company, and no company name is listed, clarification of the name is acceptable. 3. Award letter 4. Most recent *IRS form 1099-R (box 1) 5. *IRS form 1040 line 20a/20b 6. Signed OCA Self-Declaration Form or letter with amounts listed

<u>SELF EMPLOYMENT, Farm income/ ***Rental Income:</u>	1. Most recent *IRS Form 1040 (line 12, with schedule C/CZ, Line 17 with Schedule E or Line 18 with Schedule F) etc. 2. **Form which shows deductions (type) and gross profit with current information; this can be a handwritten form as long as current information (at least 3 months/90 days) is included. 3. *IRS Form 1099-Misc 9 (box 1) 4. Quarterly Statements (past 3 months/90 days) 5. Copy of financial statements or accounting records for at least the past 90 days/3 months 6. Signed OCA Self-Declaration Form with amounts (including profit after deductions/expenses listed) If the client states that they do not file taxes on their self-employment income, refer to: Odd Jobs section. ***If the client states that they receive rental income but do not file taxes on this income, ex: receives \$300 a month from son for renting him a home etc, this is not considered self-employment, list this as “other” income in OCEAN.
<u>SOCIAL SECURITY, SSI, SSA, SSDI:</u>	1. **Award/Benefit Letter 2. Bank Statement with Deposit Amount 3. Copy of Check 4. Printout from Social Security Office 5. Most recent *IRS Form SSA-1099 (box 3) 6. Most recent *IRS Form 1040 (line 20a-20b) 7. (ODJFS) website Client Registry Information System-Enhanced (CRISE)

<u>STRIKE BENEFITS:</u>	1. Check stub/pay statement
<u>TEMPORARY ASSISTANCE TO NEEDY FAMILIES (TANF): Disability Assistance (DA), General Assistance (GA), Ohio Works First (OWF) Aid to Dependent Children (ADC) Welfare, Public Assistance:</u>	<ol style="list-style-type: none"> 1. Copy of check 2. ODJFS documents/printout 3. Bank statement 4. CRIS-E 5. Signed OCA self-declaration Form or letter from client with amounts listed
<u>UNEARNED INCOME PAID TO OR ON BEHALF OF MINORS/SS, SSI, Child Support received:</u>	See appropriate "Types of Acceptable Documentation" box within this section.
<u>UNEMPLOYMENT BENEFITS:</u>	<ol style="list-style-type: none"> 1. Copy of check/Award amount letter 2. ODJFS printout (must list name and/or social security number and date) 3. Eligibility letter with amounts and date 4. Most recent *IRS Form 1040 (line 19) 5. Most recent *IRS Form 1099-G (box 1)
<u>UTILITY ALLOWANCES (if received as discretionary income):</u>	<ol style="list-style-type: none"> 1. Housing Authority Documentation 2. Lease/Rental Agreement 3. Printout/Documentation from ODJFS
<u>WAGES/*Gross Earnings:</u>	<ol style="list-style-type: none"> 1. Pay stub(s) —must be dated within the past 30 days from the application date and must cover income period of (at least) the past 90 days/3 months 2. Statement from employer (must list client's name) with company name <p>TIPS: If tips are not declared or listed, we need to clarify the amount received, for example; a waitress/bartender/busboy is paid \$2 an hour, their income is supplemented by tips to equal \$10 an hour, and we need clarification, proof of the addition \$8 tip income.</p> <p>*Garnisheed Wages, Chapter 13 Bankruptcy and elective payroll deductions ex: Christmas Club, payroll advances etc. are included in total gross household income; these are usually listed in the deduction section on a paystub.</p>
<u>**WORKERS COMPENSATION:</u>	<ol style="list-style-type: none"> 1. Award letter with clarification of amounts if necessary 2. Printout/letter from agency providing disability compensation (Bureau of Workers Comp BWC) etc. 3. Copy of check with clarification if necessary 4. Bank statement

Income Excluded From Eligibility Determinations

Agent Orange Compensation/Benefit

Assets from bank withdrawals

Attorney's fees for Estate & Trust Settlements

*Child Support Paid

FEMA – Cash Payments

Food Stamps/Cash Payment for food stamps

*Funds/training stipends designated for specific purposes (i.e., educational Grants/Training stipends for tuition and/or books only-not living expenses).

Handicapped Income - self-sufficiency programs (example: work expenses for the blind)

*Health Insurance Premiums (dental, vision, health and supplemental insurance)

Income earned by dependent minors less than 18 years of age.

*Loans from individuals or institutions requiring repayment of either principle or principal and interest

Medicare Payments

*Military Allowances for Subsistence, Housing, Family Separation, etc.

Prevention, Retention, & Contingency (PRC) - assistance to attempt to divert families from long term financial dependency

Stipend for Foster Care

Tax refunds and rebates

Title III Disaster Relief Emergency Assistance Program (DREAP)

Title V Wages/Senior Community Employment Programs (SCEP) - Older Americans' Act (Public Law 100-175) Experience Works (formerly Green Thumb), Foster Grandparents Program, Mature Services

Transportation Allowances (i.e., Workforce Investment Act (WIA), Job Training Partnership Act (JTPA), Workfare

Work Allowances (i.e., Learning Earning and Parenting [LEAP]

Volunteers in Service to America (Vista) or other AmeriCorps Stipends

* These exclusions require documentation.

Household Size - The following criteria is to be used to determine household size.

1. Tax dependents are to be counted.
2. Those in military service are to be counted.
3. Those in hospital/nursing home, group home are to be counted – unless long term (>6 months) or permanently.
4. Those sharing a kitchen or bath are to be counted.
5. Children of divorced/separated couples are to be counted based on the following information
 - a. Who has LEGAL custody?
 - b. If JOINT custody, who claims them for tax purposes;
 - c. If joint tax return filed, who applies for energy assistance first.
6. Foster children should NOT be counted, nor should foster care income.
7. Those in prison/jail for an extended term (>6 months), are NOT to be counted.
8. Foreign students may not apply as separate households.
9. College students, living away from home, are to be counted as part of the household if they are claimed as dependents for tax purposes. However, the tax dependent student may apply for

assistance as a separate household. ***If a duplication error in OCEAN results, please contact the OCA OCEAN Help Desk at 1-888-995-2227.***

Questions concerning determination of income eligibility for programs funded in whole or in part by the Community Services Block Grant (CSBG) should be directed to the agency's field representative at the Office of Community Assistance.

PY **2016-2017** ATTACHMENTS SECTION

INSTRUCTIONS

The following is a list of the required attachments that must be uploaded under Miscellaneous and copies submitted to the Office of Community Assistance. Please note all mailed documents must include face pages according to the below-mentioned headers and receipt of the following documents is necessary for completion of the CSBG Application.

- (A) Table of Organization: This must be the agency's current Table of Organization delineating CSBG-paid positions by job title. It must also demonstrate the chain of command. Positions currently vacant must be indicated as such. Positions must concur with those listed in the budget and program narratives.
- (B) Board Roster: A board roster must be submitted on **OCA Form 128 only** with the proposed application. An updated board roster must be submitted when board information substantially changes. **OCS Form 128 must be fully completed, including ALL information at the top of the form, as well as, the section asking for names, addresses, phone numbers, and e-mail addresses of all board members.**
- (C) Board Meeting Minutes: Include the minutes that document the board has reviewed and approved the CSBG application.
- (D) Job Descriptions: If any positions are newly funded from CSBG, respective job descriptions must be attached.
- (E) Cost Pools: The itemization of each cost pool budgeted to CSBG must be included as an attachment. If there are salaries in the pool, the staff positions should be listed separately. The grantee must also include the basis for the allocation for each cost pool.
- (F) Indirect Cost Plan: A copy of the most recently approved indirect cost plan from the cognizant agency must be submitted with the application.
- (G) Documentation of Notification to Locally Elected Public Officials: The grantee must submit documentation showing that a copy of the proposed CSBG program plan and budget was made available to locally elected officials of the municipal corporations and counties within the service area **at least ten (10) days prior to submission of the plan and budget to the Office of Community Services.**
- (H) Documentation of Public Notification of the Proposed Plan: Documentation showing that the public has been invited to review and comment on the proposed CSBG Application must be submitted.
- (I) Certification of Compliance with Government Wide Guidance on Lobbying Restrictions (OCS Form 125): This form must be completed, signed by the Executive Director and returned with the application.
- (J) CSBG Property Inventory List: This form must list all equipment purchased with CSBG funds since PY 1982. If it is not applicable, please indicate this on the form.
- (L) Assurances for CSBG: All assurances on this form must be initialed by the **Executive Director and the Board Chair** and submitted with the application.
- (M) Certification Regarding Drug-Free Workplace: This form must be completed, signed by the Executive Director and returned with the application.
- (N) Certification Regarding Debarment: This form must be completed, signed by the Executive Director and returned with the application.
- (O) Certification Regarding Tobacco Smoke: This form must be completed, signed by the Executive Director and returned with the application.

- (P) Declaration Regarding Material Assistance to Terrorist Organizations: This form must be completed, signed by the Executive Director and returned with the application.
- (Q) Community Action Agency Workplans: Complete required workplans for all CSBG and non-CSBG programs must be included.

Administrative File Components

***The following administrative documents may be saved on a thumb drive.
Documents should be numbered and saved in the order shown on the
Administrative File Checklist. Please mail thumb drive to your assigned field
representative no later than January 31, 2016.***

- 1) Board Member Letters of Appointment: Letters must include verification that each member of the Board was elected or selected by a body of members to represent one of the three sectors. (Public, Private, Low-Income).
- 2) Board Meeting Minutes/Sign-in Doc/Attendance Records for past 12-months: Please provide copies of CAA Board of Director Meeting Packets for the period of December 2014-November 2015.
- 3) Board Sub-Committee Meeting Minutes/Sign-in Doc/Attendance Records for past 12-months: Please include a list of the Board's Subcommittees and copies of Sub -Committee Meeting Packets for the period of December 2014-November 2015.
- 4) Board Orientation & Training Documentation: Please provide the most current information on new Board member orientation and materials and what on-going training or manual is utilized for existing members of the board.
- 5) Board By-Laws: Please provide a copy of the most recently reviewed and approved by-laws showing the date of ratification on the front page.
- 6) 501-C-3 IRS Ruling: Please provide a copy of the IRS letter that declares the tax exempt status of your organization.
- 7) Statement of Continued Existence: Please provide a copy of the letter received from the Ohio Secretary of State Office, dated within the last five (5) years.
- 8) Articles of Incorporation: Please provide a copy of the State Certified Articles of Incorporation.
- 9) Current Board Certificates of Liability Insurance: Please provide a copy of the Certificate of Liability for the Board of Directors that reflects the dates of coverage.
- 10) Most Current Strategic Plan: Provide a copy of the CAA's Strategic Plan that encompasses the dates of this grant period for which the agency is submitting its plan and application.
- 11) Current Personnel Policies: Provide a copy of the complete manual or a copy of the Table of Contents with the manual burned to a CD. Please label each section accordingly.
- 12) Current Wage and Salary Plan: Provide a plan that identifies positions and salary structures.

- 13) Current Fiscal Policy Manual: Provide a copy of the complete manual or a copy of the Table of Contents with the manual burned to a CD. Please label each section accordingly.
- 14) Current Indirect Cost Agreement I Cognizant Agency Approval: Provide a copy of the most current Federal Approved Rate Agreement.
- 15) Current BWC Certificate with dates of coverage: Provide a copy of the CAA most current Bureau of Workers Compensation Certificate of Premium Payment.
- 16) Current Certificate of Agency Liability Fidelity Bond: Provide a copy of the CAA most current fidelity bond certification or Certificate of Liability Insurance that reflects the dates of coverage.
- 17) Copy of Employee Integrity Policy: Provide a copy of the policy that is signed by CAA's employees regarding dishonesty or breaches of program integrity.
- 18) Copy of Board Ethics Statement: Provide a copy of the ethics statement that is signed yearly by all Board of Directors.
- 19) Agency IRS 990 Tax returns: Provide a copy of the Agency's most recent Tax Return.

Creating the State-Funded Programs

Please find below step-by-step instructions for creating the CSP Programs/Workplans for the state funded programs (HEAP/PIPP/WCP/SCP, HWAP, EPP), formerly known as the universal programs.

HEAP/PIPP/WCP/SCP Programs (one CSP will be created for these programs)

Step 1 - Create the Program/Workplan under the Grant Application Programs/ROMA.

1. Add Program/ROMA Workplan
2. On the Common Page
 - a. Program Name should be "2016-17 HEAP Bundled"
 - b. Acronym should be "16-17 HEAP"
 - c. Effective Date should be "1/1/2016"
 - d. Expiration Date should be "12/31/2017"
 - e. Primary Applicant Age Requirement should be 18
3. On the CSP Specific Page
 - a. Click the radio button "HEAP/PIPP/WCP/SCP" under CSBG Grant Tracking
 - b. The ROMA Goal and Framework & Program Code will automatically populate based on your CSBG Grant Tracking selection.
 - c. Enter Performance Target
 - d. The Income Ratio Min should be "0%"
 - e. Save the CSP Program Setup
 - f. After the program is saved, the program list will automatically populate with the OCA programs.
 - g. Enter the number of individuals Seeking and Receiving services under the Measure Targets.
Important: The Measure Targets must match your Goal Details projections for individuals Seeking and Receiving assistance.

4. Goal Details
 - a. Enter quarterly projections for those individuals Seeking and Receiving assistance.
5. Follow the normal steps for creating the program/workplan as outlined in the 2016-2017 Grant Application Guide. The guide is available in the Grant Application Documents

HWAP and EPP Program (Must create a separate CSP for each program)

HWAP and EPP will be external programs for the 2016 – 2017 CSBG Grant. Reports will be available so you can report your quarterly results on your ROMA Workplans.

Step 1 - Create the Program/Workplan under the Grant Application Programs/ROMA.

1. Add Program/ROMA Workplan
2. On the Common Page
 - a. Program Name should be “2016-17 HWAP” or “2016-17 EPP”

- b. Acronym should be “16-17 HWAP” or “16-17 EPP”
 - c. Effective Date should be “1/1/2016”
 - d. Expiration Date should be “12/31/2017”
 - e. Primary Applicant Age Requirement should be 18
3. On the CSP Specific Page
- f. Click the radio button “HWAP” or “EPP” under CSBG Grant Tracking
 - g. The ROMA Goal and Framework & Program Code will automatically populate based on your CSBG Grant Tracking selection.
 - h. Enter Performance Target
 - i. The Income Ratio Min should be “0%”
 - j. Save the CSP Program Setup
 - k. After program is saved, select the Goal 2 Projection Type
 - i. Improvements or Revitalization
 - ii. Quality or Life Asset
 - l. Enter projections for the Measure Targets. **Important: The Measure Targets must match your Goal Details projections.**
4. Program Organization Milestone (Need 2 organization milestones)
- a. If the Projection Type = Improvements and Revitalization
 - i. First milestone = “Projects or Initiatives”, sequence = 1. Click on Insert.
 - ii. Second milestone = “Opportunities and/or Community Resources Preserved or Increased”, sequence = 2. Click on Insert.
 - b. If the Projection Type = Quality or Life Asset
 - i. First milestone = “Projects or Advocacy Efforts”, sequence = 1. Click on Insert.
 - ii. Second milestone = “Community Assets, Services or Facilities Preserved or Increased”, sequence = 2. Click on Insert.
5. Enter quarterly projections for the Organization Funnel.
6. Follow the normal steps for creating the program/workplan as outlined in the 2016-2017 Grant Application Guide. The guide is available in the Grant Application Documents

PY **2016-2017** CSBG BUDGET SECTION INSTRUCTIONS

(A) GENERAL INFORMATION

For the Program Year 2016-2017 CSBG grant application, the Direct and Indirect Cost categories are to be entered at the composite level in OCEAN, and must equal the CAA’s CSBG allocation in order for an agency to submit the CSBG Grant. *Again for this application, and as requested by CAAs, an excel sheet containing a detailed budget by CSP must be uploaded in OCEAN as a separate document.*

The CSBG budget pre-populated for CAAs in OCEAN, should be allocated in support of the agency’s proposed **Community Action Agency CSP Workplans**.

Grantees may carry forward unspent funds from one grant period to the next but should judiciously avoid maintaining large balances from one year to the next. Instead, agencies should timely utilize CSBG dollars to provide benefits and services to income-eligible customers. Funds can be carried over once the agency confirms its carry-over balance, but not before February 1st of the new program year.

Grantees that receive in excess of \$315,000 in CSBG funds per year are to budget according to "cost centers" within each of the eight cost categories (1.1 to 2.5). Grantees receiving less than \$315,000 are not required to complete the Cost Center Budget. These grantees may use the format without cost centers, referred to as the "Standard Budget".

(B) GENERAL BUDGETING PROCEDURES

Grantees are to allocate costs as either administrative or operating. Please note: Agencies must also detail the amount charged to other, specified programs. All anticipated costs budgeted to CSBG must be in compliance with 2 CFR 200, these application instructions and OCA policies. If there are discrepancies, the strictest provisions will apply.

(1) Administrative and Operating Costs:

Costs listed as line items should be allocated as either administrative or operating expenses, unless otherwise noted in the budget instructions.

Administrative costs are those incurred from activities required to manage the agency that cannot be attributed to any one program, but are necessary to the functioning of the agency as a whole.

Operating costs are those incurred by providing direct client services as specified in the description of the proposed program.

Based on a two-year budget period, the ceiling for administrative expenses is the greater of \$124,000 or seventeen percent (17%) of the CSBG allocation. In either case, the administrative amount cannot exceed six percent (6%) of the total funds received by the agency from all funding sources.

The following types of costs are to be categorized and budgeted as **administrative expenses**:

Board Operations: Includes all costs associated with the activities of the Board of Trustees, e.g., D+O insurance, travel and annual meeting costs.

Executive Management: At a minimum, these are costs associated with the position of Executive Director that includes salary, fringes and related costs (secretarial support, travel, supplies, equipment, etc.). Agencies can budget up to fifty percent (50%) of an Assistant Director or Deputy Director position as operating expenses in cases where the deputy or assistant director performs dual functions, for example, also serves as the agency planner. Assistant director job functions budgeted as operating expenses must be justified/documented in the work program and job description.

Fiscal Operations: Includes salaries, fringes and related costs of the fiscal personnel of the agency, minimally the fiscal director and bookkeepers (or other personnel with "fiscal" titles). Bonding is also an administrative expense.

Personnel Operations: Includes salaries, fringes and related costs of those staff responsible for personnel administration of the agency, minimally the Human Resources Director. Costs of hiring employees and screenings of new/current employees are also administrative costs, e.g., job advertising, drug screening, background checks, etc.

Exceptions: Several exceptions noted below allow certain costs to be allocated to both administrative and operating.

IT Operations: Given the increasing need to use information technology, OCA will support Management Information Systems (MIS) staff costs. Therefore, OCA will allow the salaries of MIS operations. These costs should be budgeted as operating costs and are to be shared by other agency funding sources based on an agency-wide allocation of shared costs.

Other: At least fifty percent (50%) of organizational memberships for OACAA, COAD, and OURS must be budgeted as administrative expenses. The same is true for Single Agency Audits.

All other expenses should be budgeted as operating costs. These include program staff, as well as, other non-administrative personnel and their related costs. As in previous years, note that costs associated with the planning function of the agency may be budgeted as operating costs.

(2) **Line-items:**

Whether using the Cost Center Budget or the Standard Budget, line item expenses are to be provided for each cost category. Line items should be simple, and straight-forward and clearly provide the basis for the cost.

The OCA Forms 108 through 122 are to be used for the itemization of costs charged to the CSBG. The budgeting format requires that each line item be explained as follows:

- description of the item;
- total cost of the item;
- the amount of the total cost charged to CSBG;
- the percentage of the total cost of the item charged to CSBG;
- the amount of the total cost charged to CSBG as administrative or operating expenses;
- the amount charged to other program(s);
- the percentage charged to each other program; and
- the programs paying those percentages.

Budgeting Tip: the total cost of the line item and the total cost to CSBG will be the same only when CSBG is the sole source of funds for the expense.

(3) **Cost Center:**

For Cost Center Budgets, line items in each cost category are to be assigned to a cost center. Cost centers will be determined by each agency depending upon the size and nature of its operations and programming. Cost centers are intended to coincide with administrative and programmatic areas, and to provide the agency, and the OCA, a clear picture of the costs associated with each of the agency's functions and programs.

The following are examples of cost centers:

Administrative

- Executive Office
- Fiscal
- Personnel

Programmatic

- Planning
- Health Clinic
- Employment Program

- Neighborhood Center

Each grantee will identify its own cost centers and utilize them repeatedly, in the same order, for each cost category sheet of the CSBG budget.

- (4) **Cost Pools:** Cost Pools must be uploaded into OCEAN as a separate document.

Grantees can budget cost pools as line item expenses. An itemized budget of the cost pool must be attached, as well as a justification for the method/basis of allocating the costs to programs contained in the cost pool.

Cost pools should be budgeted as a line item expense under Other Direct Costs, Cost Category 2.5. Space cost pools should be budgeted to Space.

(C) BUDGET FORMS

The CSBG budget forms (OCA Forms 106 to 123) are to be utilized by the grantees in planning expenditures and revenues for the program year (January 1st through December 31st). Line-item expenses are to be allocated as either administrative or operating costs.

CSBG Budget Summary (OCA Form 106)

Grantee's Total Agency Funding by Program (OCA Form 107)

Salaries and Wages, Itemization of Cost Category 1.1 (OCA Form 108)

Salaries and Wages, Cost Category Summary, (OCA Form 109)

Fringe Benefits, Itemization of Cost Category 1.2 (OCA Form 110)

Fringe Benefits, Cost Category Summary (OCA Form 111)

Consultants and Contracts, Itemization of Cost Category 1.3 (OCA Form 112)

Consultants and Contracts, Cost Category Summary (OCA Form 113)

Travel, Itemization of Cost Category 2.1 (OCA Form 114)

Travel, Cost Category Summary (OCA Form 115)

Space Cost, Itemization of Cost Category 2.2 (OCA Form 116)

Space Cost, Cost Category Summary OCA Form 117)

Consumable Supplies, Itemization of Cost Category 2.3 (OCA 118)

Consumable Supplies, Cost Category Summary (OCA Form 119)

Equipment, Itemization of Cost Category 2.4 (OCA Form 120)

Equipment, Cost Category Summary (OCA Form 121)

Other Direct Costs, Itemization of Cost Category 2.5 (OCA Form 122)

Other Direct Costs, Cost Category Summary (OCA Form 123)

(D) EXPLANATION OF BUDGET FORMS

OCA Form 106 Budget Summary Page

Summarize all planned expenses in the appropriate cost categories, designated as either administrative or operating.

OCA Form 107 Grantees Total Agency Funding by Program

Grantees are to indicate all programs by funding source as of the first day of the program year, and the grant amounts from each funding source. This information will be utilized to determine the maximum allowable administrative costs of the grantee.

Cost Category Summary Forms

Each of the itemization pages of the eight cost categories is followed by a cost category summary page OCA Forms 109, 111, 113, 115, 117, 119, 121, and 123.

Budgeting Tip: Cost category totals should equal the amounts appearing on the Budget Summary.

OCA Form 108 Salaries and Wages Cost Category 1.1

Identify by position and name each staff person funded, in whole or in part, with CSBG funds. Staff listed must correspond with the Table of Organization provided as an attachment to the application.

Budgeting Tip: Staff may only be included in one cost center.

For each position listed indicate the following in the appropriate columns: number of persons holding the position; title of the position; name(s) of person(s) in the position; annual salary; and number of months to be worked in the program year.

Complete the remaining columns on Form 108 in the manner described in the instructions for line item expenses on Page 3.

Vacant positions are to be budgeted by title, with the word “vacancy” inserted. The OCA is to be notified when the position is filled.

Part-time positions should include the following: name, number of hours worked and the hourly rate.

OCA Form 110 Fringe Benefits Cost Category 1.2

CAAs are to develop a fringe rate as a percentage for your agency. In the first column of the form provide the rate and the basis for how it was developed, and what is included in it (i.e., FICA; Worker’s Compensation; Unemployment Compensation; Life Insurance; Retirement; Health Insurance; etc.)

Apply the fringe rate to the total salary costs. For Cost Center Budgets, this is applied to the total salaries of each cost center. For Standard Budgets, the fringe rate is applied to total salary costs. Then, complete the remaining columns of the form.

Agencies that have a federally approved fringe rate are to use the federally approved rate to calculate fringe costs to CSBG. A copy of the rate agreement must be uploaded to OCEAN.

For fringe benefits that are not a fixed percentage of salaries, e.g., hospitalization, these costs will need to be converted as percentages of total salaries in order to derive the fringe rate. The percentage for each fringe should be included.

OCA Form 204 Consultants & Contracts, Cost Category 1.3

Itemize by name, purpose, and projected dates of implementation. Indicate "unknown" if the contractor is not yet identified. If unknown, provide contractor information to the OCA once available to obtain

approval of the budgeted line item.

Contracts must be submitted for prior approval 30-days prior to execution. Services associated with providing direct services should be listed under CSBG cost category 1.3, consultants and contracts. All direct service activities should be categorized as follows:

1. Direct service sub-grant agreements/Memorandum of Understanding
2. Agency consultant services

The amount of each contract must match the item in 1.2 Consultants and Contracts OR an explanation for any differential provided.

Other types of contracts such as space and equipment leasing agreements are **not** to be listed under cost category 1.3, but should be budgeted under the more appropriate cost categories: 2.1, Space costs, or 2.2, Equipment. Maintenance agreements on equipment should also be budgeted to 2.2, Equipment.

More information follows on the three categories of contractual agreements that OCA requires grantees to itemize. This itemization takes place under cost category 1.3 – Consultants and Contracts. Accompanying procedures for the OCA review and approval are described below:

1. Direct Service Sub-Grant Agreements/Memorandums of Understanding (MOU)

Sub-grant Agreements/MOUs entered into for the provision of direct services to eligible clients, to complete tasks outlined in the grantee's workplan, are to be submitted to the ODSA/OCA to obtain written approval prior to their execution. The Grantee shall submit a work program, timeframe, and scope of service for the OCA Cost Category budgets for the provision of the proposed direct services, and, one copy of the proposed sub-grant agreement to the OCA.

Planning Tip: Agencies should allow a minimum of two weeks for review and written approval from the OCA prior to the execution of an agreement or MOU for the proposed services.

2. Agency Consultant Services

Contract agreements entered into for services to be provided directly to the grantee to improve agency administrative or operation functions are to be submitted to ODSA/OCA for written approval prior to their execution. The grantee shall complete and submit an administrative and/or operating component of the CSBG workplan, a line item budget for the provision of the proposed consultant services, and, one copy of the proposed contract agreement to the OCA. The contract shall disclose the fee structure.

Planning Tip: CAAs should allow a minimum of two weeks for review and written approval from the OCA prior to the execution of the contractor MOU for the proposed services. Written approval may be provided in the application or budget revision cover letter or in separate correspondence.

OCA Form 114 Travel Cost Category 2.1

CSBG grantees and delegates must have written, board-approved travel policies consistent with or more restrictive than those of the General Services Administration. Refer to gsa.gov.

Out-of-State Travel must identify the intended traveler, dates of travel, location, name of conference/purpose of travel and dollar amount.

Travel costs should be listed either as In-State or Out-of-State by cost center. The travel category can be used for mileage, gasoline, fares, registration, meals, lodging and other expenses incidental to traveling.

OCA Form 116 Space Cost, Cost Category 2.2

Specify whether space is rented, leased or owned and the cost per month. Itemize the space costs to CSBG by square footage and the cost per square foot. Examples of line items applicable to the Space Costs Cost Category include the following: rent, utilities, trash removal, building maintenance, grounds maintenance, minor repairs, and pest control. Utility costs should be a separate line item, unless a rental property agreement includes utilities.

PROHIBITION: Section 680 (a) of the federal legislation on the Community Services Block Grant program prohibits the use of CSBG funds for the (direct) purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low cost residential weatherization or other energy-related home repairs) of any building or other facility. Section 680 (b) allows for a waiver of Section 680 (a) provided that the grantee submits a request describing extraordinary circumstances that justify the purchase of land, the construction of facilities, or the making of permanent improvements. Should CSBG grantees wish to pursue a request for a waiver of Section 680 (a), a waiver application package will be developed by the OCA.

OCA Form 118 Consumable Supplies Cost Category 2.3

List the various types and costs of supplies. Examples include office, janitorial, photocopy (toner, paper, and cost per page), participant materials, medical/dental, and postage.

Grantee may elect to apply a standard rate per employee for the costs of consumables. If this is done, an explanation of the derivation of the standard rate must be provided. Any exceptions to the standard rate should be noted.

OCA Form 120 Equipment, Cost Category 2.4

Purchase, rent or lease/purchase of equipment is an allowable use of CSBG funds providing: 1) it is approved by OCA as necessary for the performance of the program: 2) the budget includes a description and unit cost of the equipment: and 3) purchase, rental or lease/purchase is the best option for use of funds to satisfy *CSBG needs*.

All equipment used for CSBG operations is categorized as either expendable equipment or non-expendable equipment. Expendable equipment is defined as having a useful life of one year or less and a unit cost of less than \$1,000. Non-expendable equipment is defined as having a useful life of more than one year and a unit cost of \$1,000 or more. Expendable equipment need not be inventoried. Non-expendable equipment must be inventoried utilizing OCA Form 124. This applies to equipment purchased in whole or in part with CSBG funds as of October 1, 1990. Title to non-expendable equipment acquired through the use of CSBG funds remains with the corporation.

Any budgeted equipment with a unit cost of less than \$5,000 may be acquired without separate, written approval. Written approval by the OCA is required in advance of purchase of all budgeted equipment with a unit cost exceeding \$5,000 (Note: Approval of the original applicant budget containing a proposed equipment purchase exceeding \$5,000 does not constitute written ODSA approval). If a unit cost exceeds \$5,000, three written competitive bids, and a written justification, are also required to gain OCA's written approval.

When budgeting equipment, specify if renting, leasing or purchasing and the cost per month. A lease/purchase is regarded as a purchase. If cost pools are used, e.g., reproduction or computer, these must be itemized on a separate attachment and the basis for allocating the costs included.

Lease agreements are to be maintained on file by the grantee and made available upon request. Security measures must be in place for all equipment funded in whole or part with CSBG funds.

Examples of equipment include: telephone, vehicle lease, copier costs, computer hardware, etc.

OCA Form 122 Other Direct Costs, Cost Category 2.5

List other direct costs, per cost center, such as:

Publications/subscriptions, event exhibiter costs, advertising, association costs (OACAA, COAD, OURS), volunteer related costs (home phone use, training, etc.), cost pools, emergency services, food vouchers, licensing cost for CSBG programs, client transportation, employee education,, computer training workshops, etc.), Insurance (i.e. liability, bonding, fire.). **ASSOCIATION MEMBERSHIPS**

Association membership should support and enhance the administrative and programmatic capacity and performance of the member agency.

OCA will allow the following:

1. CSBG Grantee to pay one hundred percent (100%) of the minimum OACAA, COAD and OURS dues using CSBG funds or a combination of CSBG, HWAP, HEAP, administrative funds, subject to the current approved ceilings for membership dues.
2. A maximum of fifty percent (50%) of the amount charged to CSBG may be budgeted as an operating expense.
3. No more than forty percent (40%) of the total of all other civic, business, technical and/or professional membership dues may be charged against the CSBG program. The 50% limit on the amount charged to operating expenses (addressed in #2 above) also applies for these other membership costs.
4. Prior grantor approval is required for all memberships in civic or community organizations.

OCA Form 301 Indirect Costs, Cost Category 3.1

Indirect costs are those costs of an institution that are not readily identifiable with a particular project or activity, but nevertheless are necessary to the general operation of the institution and the conduct of its activities.

Indirect costs may be budgeted to CSBG *only if the grantee has an approved indirect cost rate agreement from their cognizant agency*. These costs should be indicated on Line 3.1 of the CSBG Budget Summary as follows:

	Total CSBG Funds	Administration	Operating
3.1 Indirect Costs	(a)	(b)	(c)

(a) = indirect cost rate times the base

(b) = indirect costs that are administrative or the use of CSBG funds to subsidize the indirect cost pool

(c) = indirect costs that are not administrative in nature

Grantees that plan to use CSBG funds to buy-down the indirect cost pool should provide a written notification with their application. It should estimate the change in the indirect rate as a result of the CSBG subsidy.

Grantees that budget indirect costs as operating costs must provide a written justification of the non-administrative costs in the pool.

CSBG funds may also be utilized to subsidize the indirect costs of another grant if that program has administrative restrictions on either a dollar amount or percentage basis. CSBG cannot subsidize projects that are fee-for-service or have the opportunity for profit. All subsidies of indirect costs must be classified as administrative. The grantee should provide the amount of CSBG indirect cost subsidy on a program basis. It should include a description of why the subsidy is needed.

A copy of the agency's most recently indirect cost rate approved by the cognizant agency must be included with the CSBG application work program and budget. If a new cost rate is approved later in the program year, the new indirect cost plan and approved cost rate must be submitted to the Office of Community Assistance, along with the request for a CSBG budget revision.

- Indirect Costs: 2 CFR 200.414 states in pertinent part "any non-Federal entity that has never received a negotiated indirect cost rate...may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely....if chosen, this methodology once elected must be used consistently for all Federal awards.." Grantees must inform OCA in writing of the date they adopt the de minimis rate, if applicable. Please upload this information to the Document Section of OCEAN.
- Any non-Federal entity "that has a federally negotiated indirect cost rate may apply for a one-time extension of the current negotiated indirect cost rate for a period of up to four years." Any such extension is subject to review by the cognizant agency. Grantees must provide OCA with federal cognizant agency approval of the one-time extension. Please upload the notification authorizing this extension to the Document Section of OCEAN.
- Grantees should become familiar with all requirements contained in 2 CFR 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* in order to be in full compliance with respect to CSBG and all other Federal grants.