PROPOSED AMENDMENTS TO THE CSBG STATE PLAN

Proposed amendments are noted in highlight

Community Services Block Grant (CSBG) Model State Plan

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Mandatory Grant Application SF-424

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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 **[Narrative, 2500 Characters]**

New York State Department of State

1.1b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Services Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Governor's Office
- ☐ Community Affairs Department
- ☒ Other, describe: **[Narrative, 2500 Characters] Division of Community Services**

1.1c. Division, bureau, or office of the CSBG authorized official **[Narrative, 2500 Characters]**

Secretary of State

1.1d. Authorized official of the lead agency **[Narrative, 2500 Characters]**

Instructional note: The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

Rossana Rosado, Secretary of State, New York State Department of State

1.1e. Street address **[Narrative, 2500 characters]**

One Commerce Plaza
99 Washington Avenue, Suite 1100

1.1f. City **[Narrative, 2500 characters]**

Albany

1.1g. State **[Dropdown]**

New York

1.1h. Zip **[Narrative, 5 characters]**

12231

1.1i. Telephone number and extension **[Narrative, 10 – 15 characters which includes option for 5 digit extension]**

518-474-0050

1.1j. Fax number **[Narrative, 10 characters]**

518-474-4765

1.1k. Email address **[Narrative, 2500 characters]**

dos.sm.dcs@dos.ny.gov

1.1l. Lead agency website **[Narrative, 2500 characters]**

http://www.dos.ny.gov/

1.2. Provide the following information in relation to the designated State CSBG point of contact. **Instructional Note:** The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name **[Narrative, 2500 characters]**

New York State Department of State, Division of Community Services

1.2b. Name of the point of contact **[Narrative, 2500 characters]**

Veronica Cruz, Director, Division of Community Services

1.2c. Street address **[Narrative, 2500 characters]**

One Commerce Plaza, 99 Washington Avenue, Suite 1020

1.2d. City **[Narrative, 2500 characters]**

Albany

1.2e. State **[Dropdown]**

New York

1.2f. Zip **[Narrative, 5 characters]**

12231

1.2g. Point of contact telephone number **[Narrative, 10 – 15 characters which includes option for entering up to 5 digit extension]**

518-474-5741

1.2h. Fax number **[Narrative, 10 characters]**

518-486-4663

1.2i. Point of contact email address **[Narrative, 2500 characters]**

dos.sm.dcs@dos.ny.gov

1.2j. Point of contact agency website **[Narrative, 2500 characters]**

http://www.dos.ny.gov/dcs/index.htm

1.3. **Designation Letter:** Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[Attach a document]**

Instructional Note: The letter should be from the chief executive officer of the State and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

See Attachment 1: Response to Section 1.3 – Designation Letter

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 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Attach a document and/or provide a link]**

See Attachment 2: Response to Section 2.3 – New York State Executive Law Article 6-D and 19 NYCRR Parts 700 and 701

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

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. **[Narrative, 2500 characters]**

The mission and responsibility of the Department of State (DOS) as lead agency is to work in partnership with the community services network of grantees as well as Federal, State, and local governments, and community- based organizations to effectively carry out the purposes, goals, and assurances of the CSBG Act and CSBG Program. Adherence to the mission and responsibilities of DOS, as lead agency, is addressed and ensured in several ways, including through: program and fiscal monitoring; certification of eligible entities' capacity to meet statutory requirements; provision of training and technical assistance to ensure agencies that require additional assistance are provided the same; coordinating and forming partnerships with other organizations serving low-income residents; and coordinating and establishing linkages between governmental and other social services programs to assure effective delivery of services. In carrying out the mission of the CSBG Act, the State has elected to use the maximum allowable poverty line percentage (125%) as a criterion of eligibility for CSBG funded services and programs.

3.2. State Plan Goals: Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan. **[Narrative, 2500 characters]**

Instructional Note: For examples of "goals," see State Accountability Measure 1Sa(i).
Note: This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's annual report form.

Vision and Goals

New York State envisions that programs will be administered in accordance with the CSBG statutory purposes and goals and in compliance with all applicable State and Federal statutes, rules, regulations, policies and procedures. The following goals guide operation:

Goal 1: Funds will be distributed in a timely manner and in accordance with applicable Federal and State statutes.

Goal 2: A comprehensive onsite review of each eligible entity will be conducted at least once every three years in accordance with § 678B of the CSBG Act. The reviews will be based in part on the newly designed organizational standards. Training and technical assistance will be provided to insure that 100% of grantees can meet new Federal organizational standards.

Goal 3: CSBG funds will be coordinated with governmental and other social services programs to assure effective delivery of services and to avoid duplication.

Goal 4: **A comprehensive report will be prepared documenting the use and outcomes of CSBG funds and will be submitted to the U.S. Department of Health and Human Services (HHS), Governor Andrew M. Cuomo, and the New York State Legislature annually as prescribed by Federal and State statute.**

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 applies 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) **[Narrative, 2500 characters]**
- ☒ Eligible entity community needs assessments
- ☒ Eligible entity plans
- ☒ Other information from eligible entities, e.g., State required reports (describe) **[Narrative, 2500 characters]**

  Requests for training and technical assistance submitted by eligible entities as part of DOS monitoring and comprehensive triennial assessments.

3.3b. Consultation with **[Check all that applies 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) **[Narrative, 2500 characters]**
  CSBG Advisory Council
- ☒ National organizations (describe) **[Narrative, 2500 characters]**
  NASCSP and CAP
- ☐ Other (describe) **[Narrative, 2500 characters]**

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities. **[Narrative, 2500 Characters]**

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

On December 8, 2014 and March 31, 2015, DOS solicited feedback from CSBG Advisory Council members and grantees via meetings held in-person and over video conference. The CSBG Advisory Council consists of Community Action Agency (CAA) executive directors and leaders of not-for-profit organizations, social service agencies and members representing the public. Council meetings are open to the public and to all CAAs and participation is encouraged. In addition, a draft of the Plan was posted

on the public DOS website and publically noticed. The draft Plan was also shared with the New York State Community Action Association (NYSCAA), which encourages the network to provide comment on the plan. Finally, an email informing the entire CAA network and all discretionary grantee providers of the draft Plan was sent by DOS on May 29, 2015.

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.
[The State prepared the FFY 2017 draft State Plan update with the input from: DOS staff on June 2, 2016; the community action network as part of a special presentation for eligible entities a New York State Community Action Association (NYSCAA) conference on June 16, 2016; a 30-day comment period from July 13-August 12, 2016; input from the CSBG Advisory Council on August 2, 2016; and a public hearing on August 8, 2016. Eligible Entities were informed of opportunities to provide comment through emails, newsletters, and during on-site monitoring.]

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

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: **_70%.** **[Numerical, 3 digits]**

Instructional Note: The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

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

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. **[Narrative, 2500 Characters]**

Pursuant to the requirements of § 676(e)(2) of the Federal CSBG Act, the draft New York State CSBG State Plan and Application FFY 2016 and FFY 2017 was posted on the DOS official website at http://www.dos.ny.gov/dcs/news.htm, with notice posted in the New York State Register on June 3, 2015.

In addition, DOS transmitted the draft Plan to eligible entities within the State of New York, to all current CSBG grantees, to the New York State Community Action Association, Inc. (NYSCAA), and to all members of the CSBG Advisory Council via email. The public, including the community action network, was afforded a period of 60 days to submit written comment. All comments received were considered by the State in finalizing this Plan.

[The following forms of public inspection were used for the 2017 amendment to the State Plan: DOS staff on June 2, 2016; the community action network as part of a special presentation for eligible entities a New York State Community Action Association (NYSCAA) conference on June 16, 2016; a 30-day comment period from July 13-August 12, 2016; input from the CSBG Advisory Council on August 2, 2016; and a public hearing on August 8, 2016. Eligible Entities were informed of opportunities to provide comment through emails, newsletters, and during on-site monitoring.]

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 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

In addition to discussing the State Application Plan with the CSBG Advisory Council members, the draft State Plan was distributed prior to the official public and legislative hearing. DOS sent notice by email to all current CSBG grantees, CSBG Advisory Council Members, and other stakeholders announcing the release of the draft Application and State Plan and notice of date, time and location of the public and legislative hearing. A notice announcing the hearing was posted in the State Register and on the New York State Department of State website. [A presentation was given to eligible entities on June 16, 2016; a notice was placed in the State Register to request comments between July 13- August 12, 2016; and on August 8, 2016, a public hearing was held at the DOS offices in Albany, Buffalo, and New York City to review and solicit comment from the public with regard to the 2017 amendment to the State Plan.]

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).

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
June 6, 2015	Hearing Room C Legislative Office Building, Albany	☒ **Combined**
August 8, 2016 for the 2017 amendment	99 Washington Ave. Albany with teleconference to 65 Court Street Buffalo and 123 William Street, NYC	☒ **Public** ☐ **Legislative** ☐ **Combined**
ADD a ROW function Note: rows will be able to be added for each additional hearing		

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings. **[Attach a document or provide a hyperlink.]**
See Attachment 3: Response to Section 4.4 – Supporting Documentation for the Public and Legislative Hearings

- **State Register – Link**
  https://govt.westlaw.com/nyreg/Document/Ieaefc512099411e58942871983e4c1e2?contextData=(sc.Search)&rank=8&originationContext=Search+Result&navigationPath=Search%2fv3%2fsearch%2fresults%2fnavigation%2fi0ad70f760000014ee4a0a3d44714f78b%3fstartIndex%3d1%26Nav%3dSTATEREGISTER_PUBLICVIEW%26contextData%3d(sc.Default)&list=STATEREGISTER_PUBLICVIEW&transitionType=SearchItem&listSource=Search&viewType=FullText&t_querytext=CSBG&t_Method=WIN
  For the 2017 amendment (TO BE ADDED, REGISTER NOTICE PUBLISHED 7/13/16)

- **Email communication with CSBG funded entities**
  See Attachment 3: Response to Section 4.4 – Supporting Documentation for the Public and Legislative Hearings

- **Public Hearing Reply Form – Link**
  http://www.dos.ny.gov/dcs/pdfs/NYS_CSBG_Legislative_Public_Hearing_Notice-5-14-15.pdf
  For the 2017 amendment (TO BE ADDED, REGISTER NOTICE PUBLISHED 7/13/16)

- **Transcript Hearing – Link**
  http://nystateassembly.granicus.com/DocumentViewer.php?file=nystateassembly_59b5d7d9290decaa3e0a91b78e8c8686.pdf&view=1
  For the 2017 amendment (A recording of the hearing will be available at the DOS offices)

- **Written testimony**
  See Attachment 3: Response to Section 4.4 – Supporting Documentation for the Public and Legislative Hearings For the 2017 amendment, attachment 3 will be updated based on comments from the public hearing held on August 8, 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.)

CSBG Eligible Entity	*Public or Nonprofit*	*Type of Entity*	*Geographical Area Served by county (Provide all counties)*	*Brief Description of "Other"*
Albany County Opportunities, Inc.	Nonprofit	CAA	Albany County	
Allegany County Community Opportunities and Rural Development, Inc.	Nonprofit	CAA	Allegany County	
Opportunities for Broome, Inc.	Nonprofit	CAA	Broome County	
Cattaraugus Community Action, Inc.	Nonprofit	CAA	Cattaraugus County	
Cayuga/Seneca Community Action Agency, Inc.	Nonprofit	CAA	Cayuga and Seneca Counties	
Chautauqua Opportunities, Inc.	Nonprofit	CAA	Chautauqua County	
Economic Opportunity Program, Inc. of Chemung County	Nonprofit	CAA	Chemung and Schuyler Counties	
Opportunities for Chenango, Inc.	Nonprofit	CAA	Chenango County	
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Nonprofit	CAA	Clinton and Franklin Counties	
Columbia Opportunities, Inc.	Nonprofit	CAA	Columbia County	
Cortland County Community Action Program, Inc.	Nonprofit	CAA	Cortland County	
Delaware Opportunities, Inc.	Nonprofit	CAA	Delaware County	
Community Action Partnership for Dutchess County, Inc.	Nonprofit	CAA	Dutchess County	
Community Action Organization of Erie County, Inc.	Nonprofit	CAA	Erie County	
Adirondack Community Action Programs, Inc.	Nonprofit	CAA	Essex County	
Fulmont Community Action Agency, Inc.	Nonprofit	CAA	Fulton and Montgomery Counties	
Community Action of Greene County, Inc.	Nonprofit	CAA	Greene County	
Community Action Planning Council of Jefferson County, Inc.	Nonprofit	CAA	Jefferson County	
Lewis County Opportunities, Inc.	Nonprofit	CAA	Lewis County	
Livingston County Board of Supervisors (Community Initiatives Council)	Public	Local Government Agency	Livingston County	
Community Action Program for Madison County, Inc.	Nonprofit	CAA	Madison County	
Action for a Better Community, Inc.	Nonprofit	CAA	Monroe and Ontario Counties	
Economic Opportunity Commission of Nassau County, Inc.	Nonprofit	CAA	Nassau County	
Niagara Community Action Program, Inc.	Nonprofit	CAA	Niagara County	
New York City Department of Youth and Community Development	Public	Local Government Agency	New York City	
Mohawk Valley Community Action Agency, Inc.	Nonprofit	CAA	Oneida and Herkimer Counties	
People's Equal Action and Community Effort, Inc.	Nonprofit	CAA	Onondaga County	

Regional Economic Community Action Program, Inc.	Nonprofit	CAA	Orange County (including City of Newburgh)	
Community Action of Orleans and Genesee, Inc.	Nonprofit	CAA	Orleans and Genesee Counties	
Oswego County Opportunities, Inc.	Nonprofit	CAA	Oswego County	
Opportunities for Otsego, Inc.	Nonprofit	CAA	Otsego County	
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Nonprofit	CAA	Rensselaer County	
PathStone Corporation	Nonprofit	Migrant or Seasonal Farmworker Organization	Statewide	
Saratoga County Economic Opportunity Council, Inc.	Nonprofit	CAA	Saratoga County	
Schenectady Community Action Program, Inc.	Nonprofit	CAA	Schenectady County	
Schoharie County Community Action Program, Inc.	Nonprofit	CAA	Schoharie County	
Pro Action of Steuben and Yates, Inc.	Nonprofit	CAA	Steuben and Yates Counties	
St. Lawrence County Community Development Program, Inc.	Nonprofit	CAA	St. Lawrence County	
Economic Opportunity Council of Suffolk, Inc.	Nonprofit	CAA	Suffolk County	
Community Action Commission to Help the Economy, Inc.	Nonprofit	CAA	Sullivan County	
Tioga Opportunities, Inc.	Nonprofit	CAA	Tioga County	
Tompkins Community Action, Inc.	Nonprofit	CAA	Tompkins County	
Ulster County Community Action Committee, Inc.	Nonprofit	CAA	Ulster County	
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Nonprofit	CAA	Warren and Hamilton Counties	
Washington County Economic Opportunity Council, Inc.	Nonprofit	CAA	Washington County	
Wayne County Action Program, Inc.	Nonprofit	CAA	Wayne County	
Westchester Community Opportunity Program, Inc.	Nonprofit	CAA	Westchester, Putnam and Rockland Counties	
Wyoming County Community Action, Inc.	Nonprofit	CAA	Wyoming County	
Yonkers Community Action Program, Inc.	Nonprofit	CAA	Yonkers (City of)	

5.2. Total number of CSBG eligible entities: __49__ **[This will automatically update based on chart in 5.1]**

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? If yes, briefly describe the changes. ☒ Yes ☐ No
[If yes is selected – Narrative, 2500 characters]

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide "no less than 90 percent" of their CSBG allocation, under Section 675B, to the eligible entities.

On August 1, 2014, the Regional Economic Community Action Program (an existing CAA already providing CSBG services to Orange County, New York), was designated as the eligible entity for provision of services to the City of Newburgh, New York.

For the 2017 amendment, there was no change to the list of eligible entities aside from an official name change for the entity serving Dutchess County. In all other respects, the list of eligible entities remains the same including federal ID numbers.

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)
☐ The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**

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. **[Narrative, 2500 characters]**

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 applies and narrative where applicable]**

☐ Regulation
☒ Policy
☒ Contracts with eligible entities
☐ Other, describe: **[Narrative, 2500 characters]**

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

☐ 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. **[Narrative, 2500 characters]**

The assessment of eligible entities against organizational standards has also been incorporated within the State's triennial assessment of eligible entities.

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 the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. **[Narrative, 2500 characters or attach document]**

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? **[80%]**

Note: This information is associated with State Accountability Measures 6Sa and may pre-populate the State's annual report form.

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. **[Check one and narrative where applicable]**

- ☐ Historic
- ☒ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☒ Other **[Narrative, 2500 Characters]**

At the inception of the CSBG program, the State allocated CSBG funding to eligible entities throughout the State using a Base plus Formula methodology. Due to the proportional share requirements applicable to the distribution of funds to eligible entities, the percentage of the 90 percent funds provided to each eligible entity is mandated to be the same from year to year and has therefore remained a constant percentage for each eligible entity based on its historic funding level. The funding formula has not changed since the inception of the CSBG program in the State.

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**		**Year Two**	
	Funding Amount $	**Funding Amount %**	**Funding Amount $**	**Funding Amount %**
Will be auto-populated from Section 5, Table 5.1, Column 1	Enter either the dollar amount or percentage for each eligible entity for the first year that this plan covers		Enter either the dollar amount or percentage for each eligible entity for the second year that this plan covers (If this is a one-year plan, these columns can be left blank)	
Total	Totals will be auto-populated		Totals will be auto-populated	

Planned CSBG 90 Percent Funds				
	Year One		Year Two	
CSBG Eligible Entity	Funding Amount $	Funding Amount %	Funding Amount $	Funding Amount %
Albany County Opportunities, Inc.	255,310	0.459231	255,310	0.459231
Allegany County Community Opportunities and Rural Development, Inc.	229,440	0.412699	229,440	0.412699
Opportunities for Broome, Inc.	345,543	0.621539	345,543	0.621539
Cattaraugus Community Action, Inc.	234,101	0.421083	234,101	0.421083
Cayuga/Seneca Community Action Agency, Inc.	406,180	0.730606	406,180	0.730606
Chautauqua Opportunities, Inc.	234,101	0.421083	234,101	0.421083
Economic Opportunity Program, Inc. of Chemung County	406,180	0.730606	406,180	0.730606
Opportunities for Chenango, Inc.	234,101	0.421083	234,101	0.421083
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	505328	0.908945	505328	0.908945
Columbia Opportunities, Inc.	234,101	0.421083	234,101	0.421083
Cortland County Community Action Program, Inc.	234,101	0.421083	234,101	0.421083
Delaware Opportunities, Inc.	234,101	0.421083	234,101	0.421083
Community Action Partnership for Dutchess County, Inc.	446,408	0.802966	446,408	0.802966
Community Action Organization of Erie County, Inc.	2,028,260	3.648283	2,028,260	3.648283
Adirondack Community Action Programs, Inc.	234,101	0.421083	234,101	0.421083

Fulmont Community Action Agency, Inc.	352,005	0.633160	352,005	0.633160
Community Action of Greene County, Inc.	234,101	0.421083	234,101	0.421083
Community Action Planning Council of Jefferson County, Inc.	234,101	0.421083	234,101	0.421083
Lewis County Opportunities, Inc.	234,101	0.421083	234,101	0.421083
Livingston County Board of Supervisors (Community Initiatives Council)	229,440	0.412699	229,440	0.412699
Community Action Program for Madison County, Inc.	229,440	0.412699	229,440	0.412699
Action for a Better Community, Inc.	1,722,602	3.098488	1,722,602	3.098488
Economic Opportunity Commission of Nassau County, Inc.	2,277,765	4.097073	2,277,765	4.097073
Niagara Community Action Program, Inc.	340,237	0.611992	340,237	0.611992
New York City Department of Youth and Community Development	32,667,714	58.760229	32,667,714	58.760229
Mohawk Valley Community Action Agency, Inc.	640,281	1.151688	640,281	1.151688
People's Equal Action and Community Effort, Inc.	1,518,681	2.731687	1,518,681	2.731687
Regional Economic Community Action Program, Inc.	537196	0.966267	537196	0.966267
Community Action of Orleans and Genesee, Inc.	406,180	0.730606	406,180	0.730606
Oswego County Opportunities, Inc.	229,440	0.412699	229,440	0.412699
Opportunities for Otsego, Inc.	234,101	0.421083	234,101	0.421083
Commission on Economic Opportunity for the Greater Capital Region, Inc.	234,101	0.421083	234,101	0.421083

PathStone Corporation	345,597	0.621632	345,597	0.621632
Saratoga County Economic Opportunity Council, Inc.	234,101	0.421083	234,101	0.421083
Schenectady Community Action Program, Inc.	234,101	0.421083	234,101	0.421083
Schoharie County Community Action Program, Inc.	234,101	0.421083	234,101	0.421083
Pro Action of Steuben and Yates, Inc.	406,180	0.730606	406,180	0.730606
St. Lawrence County Community Development Program, Inc.	234,101	0.421083	234,101	0.421083
Economic Opportunity Council of Suffolk, Inc.	1,274,498	2.292473	1,274,498	2.292473
Community Action Commission to Help the Economy, Inc.	234,101	0.421083	234,101	0.421083
Tioga Opportunities, Inc.	234,101	0.421083	234,101	0.421083
Tompkins Community Action, Inc.	234,101	0.421083	234,101	0.421083
Ulster County Community Action Committee, Inc.	234,101	0.421083	234,101	0.421083
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	352,005	0.633160	352,005	0.633160
Washington County Economic Opportunity Council, Inc.	234,101	0.421083	234,101	0.421083
Wayne County Action Program, Inc.	234,101	0.421083	234,101	0.421083
Westchester Community Opportunity Program, Inc.	1601053	2.879853	1601053	2.879853
Wyoming County Community Action, Inc.	229,440	0.412699	229,440	0.412699

Yonkers Community Action Program, Inc.	462,330	0.831604	462,330	0.831604
Total	55,594,955	100.000000	55,594,955	100.000000

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). **[Narrative, 2500 Characters]**

Contract process - The State uses a multiyear contract as a mechanism to provide funding to each CSBG eligible entity (grantee). In April of each multiyear contract cycle, work plans and budget forms are distributed to all grantees to begin development of the contract package (60 days). In June, the remaining documents comprising the contract package are sent to the grantees to complete. The full package of documents is due three weeks later (21 days). When contracts are received by the Department of State, they are distributed among the assigned CSBG program analysts and fiscal representatives for review (1 day). Once the contract has been reviewed, it is sent to the NYS Office of the Attorney General and the Office of the State Comptroller for review and approval (30 business days). DOS anticipates that all appropriately completed contracts will be approved and signed by October 1st, and that funds will be distributed upon receipt of the Federal Notice of Grant Award for the applicable year.

The approval process - State Legislative approval for the distribution of CSBG funding to be received by the State during the upcoming Federal Fiscal Year is generally granted by the passage of the State Budget in April. CSBG funding to eligible entities is distributed pursuant to contracts entered into between the Department of State and each individual eligible entity. The contracting process requires approval from the Department of State, New York State Office of the Attorney General, and the New York State Office of the State Comptroller. The Department of State Division of Community Services provides contract documents, including budgets and work plans, to all eligible entities for negotiation and completion. Once a completed contract is received by the Department of State, the contract package is reviewed for approval and processing by the Department's Bureau of Fiscal Management (approximately 5 business days). Once approved by the Department of State, the contract package is provided to the New York State Office of the Attorney General for approval (up to 15 business days), and the New York State Office of the State Comptroller for final approval (up to 15 business days).

The process for making funds available after getting State authority- Funding availability is based on the level of CSBG funding provided in the Federal Notice of Grant Award (NGA) to the State. Initial payments of CSBG funds are generally made available to eligible entities within one month of the October 1st contract start date. Upon receipt of the NGA and completion of the contracting and approval process described in the State's response above, CSBG funding is made available to eligible entities using an advance payment methodology, which provides four payments per year to each eligible entity in 25 percent increments. The first 25 percent payment is made upon final contract approval and the State's receipt of Federal CSBG funding. Subsequent payments of 25 percent are processed throughout the contract year when the eligible entity has submitted financial reports documenting expenditures at specific minimum levels (20%, 45%, and 70%), along with program progress

reports and narratives showing measurable progress toward achieving contractually established service provision goals and other compliance requirements.

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. **[Narrative, 2500 Characters]**

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate 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.
[The State underwent a LEAN contract process redesign exercise in FFY 2016 to eliminate redundancy and to allow additional time for development by each grantee prior to submission. In FFY 2017, a new three-year contract package will be issued to all eligible entities. It is anticipated that processing for these new contracts will be completed within 60 days of submission. It should be noted, however, that the issuance of payments is dependent upon the receipt and processing of a Notice of Grant Award from the federal government and that establishing the final budget for all new contracts requires receiving a final allocation from the federal government for the prior contract year. These variables impact contract and grant administration timeframes, and are beyond the control of the State.]

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the State's annual report form.

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. **[Numeric response, specify $ or %]**

5%

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** **43**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99]** **23**

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.

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to "support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act]." Include this description in row "f" of the table below and/or attach the information.

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

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	**Year One**		**Year Two**		**Brief description of services/activities**
	Planned $	**Planned %**	**Planned $**	**Planned %**	
a. Training/technical assistance to eligible entities	$369,631	12.7% of remainder funds (0.7% of total CSBG funding received by the State)	$369,631	12.7% of remainder funds (0.7% of total CSBG funding received by the State)	**[Not Fillable]** These planned services/activities will be described in State Plan Item 8.1
b. Coordination of State-operated programs and/or local programs	$75,000	2.6% of remainder funds (0.2% of total CSBG funding received by the State)	$75,000	2.6% of remainder funds (0.2% of total CSBG funding received by the State)	**[Not Fillable]** These planned services/activities will be described in State Plan Item 9.1 and 9.2
c. Statewide coordination and communication among eligible entities	$37,500	1.3% of remainder funds (0.1% of total CSBG	$37,500	1.3% of remainder funds (0.1% of total CSBG	**[Not Fillable]** These planned services/activities will be described in

		funding received by the State)		funding received by the State)	in State Plan Items 9.3 – 9.5
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					**[Narrative, 2500 characters]** Provided through administrative funds, not discretionary funds.
e. Asset-building programs					**[Narrative, 2500 characters]**
f. Innovative programs/activities by CAAs or other neighborhood groups (may include fatherhood and strengthening families initiatives)	$2,197,615	70% of remainder funds (3.3% of total CSBG funding received by the State)	$2,197,615	70% of remainder funds (3.3% of total CSBG funding received by the State)	**[REQUIRED Narrative, 2500 characters]** Innovative programs include services to low-income new Americans and competitive workforce development grant initiatives serving low-income persons throughout the State. In addition, any unused administrative funds may also be used to support innovative programs/activities and/or training and technical assistance activities.
g. State charity tax credits					**[Narrative, 2500 characters]**
h. Other activities, specify <u>i. Tribal anti-poverty services</u> <u>ii. Disaster relief services</u>	i. $308,862 ii. $100,000	i. 10% of remainder funds (0.5% of total CSBG funding received by the State) ii. 3.4% of remainder funds (0.2% of total CSBG funding received by the State)	i. $308,862 ii. $100,000	i. 10% of remainder funds (0.5% of total CSBG funding received by the State) ii. 3.4% of remainder funds (0.2% of total CSBG funding received by the State)	**[Narrative, 2500 characters]** i. State law requires 0.5% of remainder funding to be distributed to tribes or tribal organizations for the provision of anti-poverty services. ii. A portion of remainder funding is made available for disaster relief activities conducted through the eligible entity network in the State, as

					needed. If not needed, unused disaster relief funds may be used for supplemental training and technical assistance activities or innovative programs/activities.
Totals	$3,088,608	100% of remainder funds (5% of total CSBG) funding received by the State)	$3,088,606	100% of remainder funds (5% of total CSBG) funding received by the State)	

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) **[Narrative, 2500 characters]** **5**
- ☒ 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 **[Narrative, 2500 characters] Neighborhood Organizations**
- ☐ 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.
[Comments to the draft State Plan recommend include support for funds awarded to NYSCAA for training and technical assistance and Wyoming County State-wide Angel Action Volunteer Training Program. These awards will continue in 2017. While comments also indicated that entitlement-eligible entities would prefer competitive discretionary funds to be open only to entitlement eligible entities, the Department of State believes that competitive grant opportunities open to all non-governmental eligible entities provide an important additional method for developing innovative programming supporting community-based initiatives throughout the State, and that such programs are a beneficial supplement to the annual

grants provided to all entitlement-eligible entities on an entitlement basis. This year, discretionary funds will focus on low-income immigrant integration, as well as re-entry and reintegration of formerly incarcerated New Yorkers.]

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

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), Use of Remainder/Discretionary Funds.)

Note: 8.1 is associated with State Accountability Measure 3Sc and 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"**
Dropdown options: • FY1 – Q1 • FY1 – Q2 • FY1 – Q3 • FY1 – Q4 • FY2 – Q1 • FY2 – Q2 • FY2 – Q3 • FY2 – Q4 • Ongoing / Multiple Quarters • All quarters	**Toggle Options:** • Training • Technical Assistance • Both	**Dropdown Options:** • Fiscal • Governance/Tripartite Boards • Organizational Standards – General • Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) • Correcting Significant Deficiencies Among Eligible Entities • Reporting • ROMA • Community Assessment • Strategic Planning • Monitoring • Communication • Technology • Other	**[Narrative, 2500 characters]** If "Other" is selected in column 3, describe in this column
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	**Training, Technical Assistance, or Both**	**Topic**	**Brief Description of "Other"**
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but T/TA
FY1 - Q4	Training	ROMA	
Choose an item.	Choose an item.	Choose an item.	

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	**Training, Technical Assistance, or Both**	**Topic**	**Brief Description of "Other"**
Dropdown Options: • Quarter (Q) 1 • Q2 • Q3 • Q4 • Q5 • Q6 • Q7 • Q8 X Ongoing/Multiple Quarters • All quarters	**Toggle Options:** • Training • Technical Assistance X Both	**Dropdown Options:** X Fiscal X Governance/Tripartite Boards X Organizational Standards – General X Organizational Standards – technical assistance for eligible entities with unmet standards X Reporting X ROMA X Community Assessment X Strategic Planning X Monitoring X Communication X Technology • Other _____	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): Up to $369,631 per year.
_____ **[Prepopulated with the budget allocation for years one and two under 7.9a]**

If this is the implementation year for organizational standards, skip question 8.2.

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, if appropriate?

☒ Yes ☐ No

Note: 8.2 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).

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 apply.) **[Check all that applies and narrative where applicable]**

☒ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **Wyoming Community Action – Community Action Angles Volunteer Technical Assistance and Training**
☐ 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 **[Narrative, 2500 characters]**

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.

[The State will continue to contract with NYSCAA to provide training and technical assistance through webinars, conferences, and regional workshops. An additional allocation to NYSCAA is planned to continue to offer enhanced technical assistance for grantees requiring assistance to meet all the organizational standards.

In addition, for FFY 2017, DOS will provide staff development during bi-monthly meetings in order to ensure that all program staff within the Division of Community Services are proficient in CSBG requirements and able to offer or obtain technical assistance for their assigned grantees.]

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

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 from the list below and provide a Narrative, 2500 Characters]**

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 **Office for New Americans**

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, 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 assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed. **[Narrative, 2500 Characters]**

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

DOS requires eligible entities to identify their many State and local partners and the scope of their affiliations in the annual refunding package (funded by the 90% to eligible entities). The partnerships and their associated outcomes are included in the work plan with the corresponding program they enhance, augment, or expand. Partnerships are formed with other service providers, local governments, educational institutions, religious entities, and

businesses. DOS uses State administrative funds for activities intended to achieve this purpose.

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.

Linkages are developed by eligible entities with local entities and institutions to enhance or expand services. DOS requires grantees to identify their many partners and the scope of their affiliations in the annual refunding package. The partnerships and their associated outcomes are included in the work plan with the corresponding program. The services rendered by the partner are required to be documented in customer files. Referrals require follow-up to document the actual outcomes achieved. Partnerships are formed with other service providers, local governments, educational institutions, religious entities, and business to name a few. Grantees are encouraged to establish formal MOUs with their partners and periodically meet to discuss the status of the partnership or renew/update the MOU.

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

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.

The CSBG work plan requires grantees to identify partnerships associated with each program. The partnerships address a particular need and results to be achieved between the CAA and the partner entity. Many CAA's establish formal and informal agreements with organizations in their area to share information, coordinate referrals, and meet on a regular basis to organize local and county-wide services.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

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.

The State is developing a WIOA UNIFIED STATE PLAN. The DOS Division of Community Services is working with the State Department of Labor (the lead agency in the development of the Unified Plan) as well as the other involved State agencies to assure maximum coordination of employment and training activities, and to foster collaboration and lasting linkages among State agencies and providers of such services, including the CSBG network.

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. **[Narrative, 2500 Characters]**

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).

DOS is a member of the New York State Weatherization Policy Advisory Council, and is directly involved in addressing energy assistance to low income persons. DOS works with CSBG grantees which administer low income energy assistance and emergency service programs to ensure coordination of service delivery.

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

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.

At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities' boards of directors and often include members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and reporting document outline the scope of these partnerships.

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

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.

At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities' boards of directors

and often include members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and reporting document outline the scope of these partnerships.

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

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 DOS funds the NYS Community Action Association (NYSCAA) to carry out this function. NYSCAA organizes conferences, round tables, webinars and other educational forums on matters of concern to eligible entities throughout the State. Representatives of the DOS and NYSCAA meet regularly to review areas of concerns, to assess and evaluate agency needs, and improve coordination among entities cross region.

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 (drop down)**	**Brief Description of "Other"**
[Narrative, 2500 characters]	**Dropdown Options:** • Daily • Weekly • Twice-Monthly • Monthly • Quarterly • Semi-Annually • Annually • Other	**Dropdown Options:** • Newsletter • Mailing • Meetings/Presentation • Blog • Email • Website • Social Media • Other	**[Narrative, 2500 characters]** If "Other" is selected in columns 2 and/or 3, describe in this column
ADD a ROW function *Note: As many rows that are needed will be able to be added*			

Communication Plan			
Topic	**Expected Frequency**	**Format (drop down)**	**Brief Description of "Other"**
General Information on Program and Locations	Daily	Website	
Reports/Plans/Guides	Daily	Website	
Frequently Asked Questions	Daily	Website	
Program Updates	Twice Monthly	Newsletter and Email	
Site Visits to Eligible Entities	Quarterly	Email, Reports, Mailing	
Contract Reviews	Semi-Annually	Email, Site Visit, Reports, Mailing	
State Plan and Hearings	Annual	Email, Website, Meetings, State Register	

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.

The State will provide open and transparent access to final reports, plans and assessments regarding its performance on State Accountability Measures through its public website or direct emailing with local entities and State Community Action Associations, and will fulfill its obligations under the State's Freedom of Information Law to disclose any other desired public information upon request.

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 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.
[The State will continue to distribute periodic newsletters. The State will seek to increase the frequency of the newsletter and additional guidance.]

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

SECTION 10
Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG 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.

See Attachment 4: Response to Section 10.1 – Proposed Quarterly Monitoring Schedule and Dates of Last Comprehensive Organization Review and Evaluation (CORE) or Triennial Review for Accountability and Compliance with Standards (TRACS) Completed

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
Will auto-populate from item 5.1	**Dropdown Options:** • Full onsite • Newly Designated • Follow-up • Other • No review	**Dropdown Options:** • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4	**Select a date**	**[Narrative, 2500 characters]** If "Other" is selected in column 2, describe in this column

10.2. **Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[http://www.dos.ny.gov/dcs/pdfs/Monitoring_Guide.pdf]**

See Attachment 5: Response to Section 10.2 – Program and Fiscal Monitoring Process Guideline
For FFY 2017 an updated monitoring guide was included in Attachment 5

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? **[Insert a number from 1 – 100]**

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

Thirty (30) days for quarterly monitoring visit reports (may take more than 30 days if there are compliance findings or deficiencies noted) and 60 days for the triennial assessment draft report.

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 the documenting of 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 closure of findings. **[Narrative, 2500 characters]**

10.5. **Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans?

Total number of eligible entities on QIPS equals 2

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

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?

The HHS OCS Program Specialist, Sara Lee, is provided a biweekly program report on all grantees on QIP's including progress toward meeting compliance.

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

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)." ☒ Yes ☐ No

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

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

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ 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. **[Narrative, 2500 Characters]**

New York State Executive Law § 159-m.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?
☒ Yes ☐ No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[Narrative, 2500 Characters]**

New York State Executive Law § 159-l.

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

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[Narrative, 2500 Characters]**

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). **[Narrative, 2500 Characters or attach a document]**

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

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **[Narrative, 2500 Characters]**

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

Audit reports are reviewed for compliance with current OMB Circular/CFR guidance by Department of State fiscal staff. Additional information regarding findings or expenditure reconciliation is obtained if necessary to complete the review. The review package is

forwarded to a supervisor for final review. A management decision letter is then generated stating acceptance of the audit report with any finding requiring a corrective action or follow up review described as necessary. Management decisions are issued within six months of acceptance of the audit report.

10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? ☒ Yes ☐ No

Note: This response will link with the corresponding assurance, item 14.7

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

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 this State is not making any adjustments, provide further detail.

[The State has centralized supervision of program analysts to ensure statewide consistency in the monitoring of eligible entities. DOS staff from across the state meet bi-monthly for development and to improve communication and consistency between regional staff. In addition, a monitoring template is created by the supervisor each quarter to ensure every program analyst is covering the same topics. DOS staff will be available to assist grantees with resource development, promote grantee programs and events on DOS social media, and participate in grantee functions as appropriate]

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

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
☒ Track Board vacancies/composition
☐ Other **[Narrative, 2500 characters]**

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 **[Narrative, 2500 characters]**

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. **[Narrative, 2500 Characters]**

DOS program analysts conduct an annual review of agency bylaws to assure this provision is included. In addition, program analysts conduct yearly board reviews to verify compliance. Analysts also receive board packets from their assigned entities which identify any changes in representation or petition for representation.

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

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. **[Narrative, 2500 Characters]**

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
☐ X % of the HHS poverty line (fill in the threshold): _____% **[insert up to a 3 digit percentage]**
☐ Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 2500 Characters, or attachment]**

Pursuant to the Federal CSBG Act, the State requires that eligible entities incorporate the 125% of the Federal poverty line standard as a criterion of eligibility in their administration of the CSBG program. Through quarterly on-site monitoring and the provision of training and technical assistance, DOS works with eligible entities to ensure that the Federal requirement regarding use of the poverty line as a criterion of eligibility is incorporated into intake procedures and program planning. DOS has provided additional guidance to eligible entities in the State through the creation and distribution of a written Informational Memorandum entitled "Determining Income Eligibility for CSBG Funded Activities and Programs" (August 11, 2011), and has also incorporated CAPLAW's guidance document entitled "CSBG Q&A on … Client Eligibility" (available online at: http://www.caplaw.org/resources/PublicationDocuments/CAPLAW_ClientEligibility_Sept2013.pdf) into training and technical assistance provided to eligible entities in regard to this topic.

Generally, to be eligible for CSBG services in New York State, clients must be at or below 125% of the Federal poverty line as determined by the Federal Office of Management and Budget (OMB) based on the most recent Census data and as revised annually (or more frequently) by the U.S. Department of Health and Human Services (the HHS poverty guidelines). In addition, the New York City Division of Youth and Community Development (DYCD), the public eligible entity designated for the New York City service area, uses a community/neighborhood based approach to client income eligibility, with the Federal poverty line serving as a criterion of eligibility as required pursuant to the CSBG Act. DYCD has devised this system and methodology for income eligibility around the qualification and designation of "Neighborhood Development Areas" (NDAs). DYCD distributes CSBG funds to neighborhood-based organizations within designated NDAs for the provision of anti-poverty services to individuals and families within those NDAs. DYCD qualifies an area as an NDA if either: (1) at least 30 percent of the area's residents live in households with incomes at or below 125% of the poverty line; or (2) at least 30,000 residents in the area are at or below 125% of the poverty line. Through this methodology for CSBG-funded service delivery, DYCD uses the "poverty line … as a criterion of eligibility in the community services block grant program," as required by 42 USC § 9902[2].

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. **[Narrative, 2500 Characters]**

Where income verification is not possible or practical the State ensures that eligible entities generally verify income eligibility by documentation of the nature of the service being provided, the census data relating to the area in which the service is being offered, and the population being targeted by the service offered. One such example is service provided on a group, rather than individual basis where circumstances indicate that those benefiting are likely to meet the CSBG income eligibility requirements. For example, a "job skills" class at a homeless shelter, a parents group for Head Start families, and a diabetes prevention workshop located in a high concentration poverty zone. Another circumstance would be a soup kitchen or food pantry in an economically depressed area. Services are provided on an individual basis but circumstances render income eligibility verification impossible or impracticable. And finally, another example would be services obtained during a storm disaster or other like event. In that situation, income verification is an impediment to provision of needed relief efforts and can impede a timely response.

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? **[Narrative, 2500 Characters]**

For community-targeted services that are intended to increase community awareness of poverty, or involvement in poverty issues and anti-poverty community partnerships, eligible entities are not expected to verify income eligibility, as doing so would limit participation and dissuade broad participation. In such circumstances, the State ensures that eligible entities' activities target and benefit low-income communities by maintaining documentation demonstrating that the nature of the activity was in accord with the purposes of the CSBG Act. Examples of such activities include an eligible entity community forum on parole re-entry in a high poverty zip code; convening a meeting of human service organizations to discuss expansion and access to anti-poverty services; and, holding an open house for community members to discuss program services.

SECTION 13
Results Oriented Management and Accountability (ROMA) System

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? **[Check one]**

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 and Narrative, 2500 characters]**

See Attachment 6: Response to Section 13.1 – Excerpt from Attachment D, page 6 of 7, of the State CSBG Contract with Eligible Entities (requiring the use of ROMA by all grantees).

In addition to contractually requiring the use of ROMA by all eligible entities within the State (see Attachment 6), DOS funds ROMA training by NYSCAA for CSBG grantees and uses the DOS website to describe ROMA and link users to the guidance documents made available online by the National Association for State Community Services Programs (see http://www.nascsp.org/CSBG/594/ROMA.aspx?iHt=13).

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? **[Check one and Narrative, 2500 characters]**

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

☒ CSBG National Performance Indicators (NPIs)
☐ NPIs and others
☐ Others

CSBG work plans include National Performance Indicators (NPIs) associated with program and agency outcomes as a way to measure eligible entity performance. Progress on the outcomes contained in the CSBG work plans is tracked and reported by the grantee each quarter and reviewed by DOS program analysts.

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? **[Narrative, 2500 characters or attach a document]**

Note: The activities described under item 13.3 may include activities listed in "Section 8: 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.

Several program analysts, as well as members of NYSCAA are certified ROMA trainers. DOS and NYSCAA provide training and technical assistance to eligible entities. DOS reviews eligible entity compliance with the ROMA system.

13.4. **Eligible Entity Use of Data**: How is the State validating that the eligible entities are using data to improve service delivery? **[Narrative, 2500 characters or attach a document]**

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

As part of the State's triennial assessment process, program analysts verify that qualitative and quantitative data is collected and measured against performance to improve service delivery. In addition, the DOS annual compliance review of the national organizational standards required by HHS includes a review of progress or improvement in service delivery at eligible entities based on data collected and reported to eligible entities' management staff, governing boards, and the State.

Community Action Plans and Needs Assessments

13.5. 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.

The Community Action Plan, which is an aggregate document consisting of the eligible entity's CSBG work plan, justification, and community needs assessment, is submitted annually as part of the refunding package.

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

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.

Eligible entities are contractually required to conduct a needs assessment every three years. The methodology and priorities are included in the annual refunding package.

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

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 farmworkers, 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;

[Narrative, 2500 or attach a document]

See Attachment 7: Response to Section 14.1a – Activities Targeting Seven Programmatic Purposes

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;

[Narrative, 2500 characters OR attach a document]

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

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)

[Narrative, 2500 characters OR attach a document]

New York State eligible entities work with a number of local and statewide organizations in pursuit of expanding and enhancing services to the low-income population. This could include organizations such as the Food Bank, faith-based entities, and local governments, to name a few. The New York State CSBG work plan includes a section on Partnerships. Grantees must identify the name of the organization, describe their involvement, and list the intended outcome for each partnership. DOS verifies that these partnerships are carried out through the routine monitoring of grantees and through the negotiation of contract work plans.

State Use of Discretionary Funds

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

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

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

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

Eligible Entity Service Delivery System

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;

[Narrative, 2500 characters OR attach a document]

All areas of the State are presently served by the CSBG network. The 49 eligible entities within the State of New York serve all 62 counties. The specific geographic areas served by each eligible entity are defined by each agency's Certificate of Incorporation and the terms of its CSBG designation.

Eligible Entity Linkages – Approach to Filling Service Gaps

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

Note: the State describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

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

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

Note: the State describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

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 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

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

[Narrative, 2500 characters OR attach a document]

Since Federal Fiscal Year (FFY) 2008, DOS has set aside a portion of its CSBG allocation for targeted grants for innovative community and neighborhood based projects. In recent years, these projects focused on innovative community and neighborhood-based initiatives in such activities as workforce development and the service needs of low-income new Americans. These awards are made on a competitive basis. A Request for Application (RFA) is released and agencies are selected from among the highest scoring applicants. The application process is open to eligible entities and not-for-profit community based/neighborhood based organizations.

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."

[Narrative, 2500 characters OR attach a document]

CSBG eligible entities operate food pantries and soup kitchens across the State and have increased availability and hours of operation to meet expanding needs. Nearly all eligible entities operate nutrition or nutrition-related programs using CSBG funding along with, or in concert with, other public and private resources.

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

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

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.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between 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."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

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

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

[No response; links to 10.13]

Funding Reduction or Termination

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

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

[No response; links to 10.7]

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

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

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

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

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community 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."

[No response; links to items 13.5 and 13.6]

Attachment 8: Supplemental Response to Section 14.11 – CSBG Contract Work Plan

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that

section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

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

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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

[No response for this item]

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

SECTION 15
Federal Certifications

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

15.1 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 sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

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

15.2 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 sub-recipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

    (1) Abide by the terms of the statement; and

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

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

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

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

or

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

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

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

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

One Commerce Plaza, 99 Washington Avenue, Albany, New York 12231
123 William Street, New York, New York 10038
333 East Washington Street, Syracuse, New York 13202
65 Court Street, Buffalo, New York 14202

____ 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]

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

15.3 Debarment

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.

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

(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.

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

15.4 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 sub-awards which contain provisions for the children's services and that all sub-grantees shall certify accordingly.

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

Attachment 1: Response to Section 1.3 – Designation Letter

September 1, 2016

DRAFT – DRAFT – DRAFT – DRAFT – DRAFT – DRAFT – DRAFT – DRAFT

Ms. Jeanne Chaffin, Director
Office of Community Services
Administration for Children and Families
US Department of Health and Human Services
370 L'Enfant Promenade, SW
5th Floor, West Wing
Washington, DC 20447

RE: Letter of Designation for the New York State Community Services Block Grant Program

Dear Ms. Chaffin:

In accordance with Public Law 105-285 § 676(a)(1) and New York State Executive Law § 159-f(1), the New York State Department of State is hereby designated as the lead agency for the Community Services Block Grant (CSBG) and related programs in New York State, with responsibilities as detailed in the State's CSBG Application and Plan.

The New York State Secretary of State shall be the designated State CSBG Official to receive the CSBG grant award on behalf of the Department of State. The Director of the Division of Community Services within the Department of State shall be the CSBG Program Contact Person for purposes of this grant award. The contact information for these designated officials is as follows:

State CSBG Official:
Rossana Rosado
Secretary of State
New York State Department of State
One Commerce Plaza, Suite 1100
Albany, New York 12231-0001

CSBG Program Contact Person:
Veronica Cruz
Director, Division of Community Services
New York State Department of State
One Commerce Plaza, Suite 1020
Albany, New York 12231-0001

Sincerely,

Attachment 2: Response to Section 2.3 – New York State Executive Law Article 6-D and 19 NYCRR Parts 700 and 701

McKinney's Consolidated Laws of New York Annotated Currentness
Executive Law (Refs & Annos)
Chapter Eighteen. Of the Consolidated Laws
➡ Article 6-D. Community Services Block Grant Program (Refs & Annos)

§ 159-e. Definitions

When used in this article:

1. "Eligible entity" shall mean any organization

(a) officially designated as a community action agency or a community action program under the provisions of section two hundred ten of the economic opportunity act of 1964 [FN1] for fiscal year 1981, unless such community action agency or a community action program lost its designation under section two hundred ten of such act as a result of a failure to comply with the provisions of such act; or

(b) designated by the process described in section one hundred fifty-nine-m of this article (including an organization serving migrant or seasonal farmworkers that is so described or designated).

Such eligible entity shall have a tripartite board as its governing board which fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities and through which the entity shall administer the community services block grant program. However, such eligible entities which are public organizations shall have either a tripartite board or 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 funded under this article.

2. "Tripartite board" shall mean

(a) the governing board of a private nonprofit entity selected by the entity and composed so as to assure that

(1) one-third of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than one-third of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such one-third requirement;

(2)(A) not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and

(B) each representative of low-income individuals and families selected to represent a specific neighborhood within a community under clause (A) of this subparagraph resides in the neighborhood represented by the member; and

(3) the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served; or

(b) the governing board of a public organization, which shall have members selected by the organization and shall be composed so as to assure that not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members

(1) are representative of low-income individuals and families in the neighborhood served;

(2) reside in the neighborhood served; and

(3) are able to participate actively in the development, planning, implementation, and evaluation of programs funded under this article.

3. "Indian tribes" and "tribal organizations" shall mean those tribes, bands or other organized groups of Indians recognized in the state or considered by the federal secretary of the interior to be an Indian tribe or an Indian organization for any purpose.

4. "Community based organization" shall mean any organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within its designated community. Such organization must have a board of directors of which more than half of the members reside in such designated community.

5. "Department" shall mean the department of state.

6. "Secretary" shall mean the secretary of state.

[FN1] 42 USCA § 2790 (repealed).

§ 159-f. Functions, powers and duties of the secretary

The secretary or his duly authorized officers or employees, shall have the following functions, powers and duties:

1. To act as the official agent of the state for the purpose of administering, carrying out and otherwise cooperating with the federal government in connection with the federal community services block grant act of 1981 [FN1], as amended;

2. To allocate federal community services block grant funds pursuant to contracts with recipients of such funds in the manner required by federal law and regulation;

3. To assist the governor in applying for the state's allocation under the federal community services block grant act [FN1], including the fulfillment of any planning requirements;

4. To cooperate with the legislature in conducting hearings required by the federal community services block grant act [FN1]; and

5. To monitor and evaluate the use of funds received by the state pursuant to the federal community services block grant act [FN1].

[FN1] 42 USCA § 9901 et seq.

§ 159-g. Rules and regulations

The secretary shall promulgate rules and regulations necessary to carry out the provisions of this article.

§ 159-h. Limitation of administrative costs

Not more than five percent of the community services block grant funds received by the state shall be retained for administration at the state level.

§ 159-i. Distribution of funds

At least ninety percent of the community services block grant funds received by the state shall be distributed pursuant to a contract by the secretary to eligible entities as defined in subdivision one of section one hundred fifty-nine-e of this article. Each such eligible entity shall receive the same proportion of community services block grant funds as was the proportion of funds received in the immediately preceding federal fiscal year under the federal community services block grant program as compared to the total amount received by all eligible entities in the state, under the federal community services block grant program.

The secretary shall, pursuant to section one hundred fifty-nine-h of this article, retain not more than five percent of the community services block grant funds for administration at the state level.

The remainder of the community services block grant funds received by the state shall be distributed pursuant to a contract by the secretary in the following order of preference: a sum of up to one-half of one percent of the community services block grant funds received by the state to Indian tribes and tribal organizations as defined in this article, on the basis of need; and to community based organizations. Such remainder funds received by eligible entities will not be included in determining the proportion of funds received by any such entity in the immediately preceding federal fiscal year under the federal community services block grant program.

§ 159-j. Local share

Each recipient of funds shall secure a local share equivalent to twenty-five percent of federal funds received under the community services block grant. Such local share may be in cash or in kind, fairly evaluated including but not limited to donated plant, equipment and services. The secretary may waive all or part of this requirement upon an application made and upon good cause shown by the recipient.

§ 159-k. Monitoring and evaluation

1. The secretary shall monitor and evaluate the use of community services block grant funds made available pursuant to this article by the recipients of such funds in order to evaluate the performance of such recipients. Evaluations shall include, but not be limited to:

(a) determining the effectiveness of recipients' administrative operations, organizational structure, planning and programming, self evaluation, and general decision making; and

(b) reviewing the recipients' compliance with federal and state law and regulation.

2. For purposes of evaluations conducted under this section, recipients shall make available to the secretary, or any duly authorized officer or employee of the department, appropriate books, documents, papers and records for examination, copying or mechanical reproduction on or off the premises of the recipient upon a reasonable request therefor.

§ 159-*l*. Decertification and reduction of entity shares

1. Any eligible entity that received funding in the previous federal fiscal year through a community services block grant made under this article shall not have its funding terminated under this article or reduced below the proportional share of funding the entity received in the immediately preceding federal fiscal year, as determined pursuant to section one hundred fifty-nine-i of this article, 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 of the United States department of health and human services. For purposes of making a determination that cause exists for:

(a) a funding reduction, the term "cause" shall include

(1) a statewide redistribution of funds provided through a community services block grant under this article to respond to

(A) the results of the most recently available census or other appropriate data;

(B) the designation of a new eligible entity; or

(C) severe economic dislocation; and

(2) the failure of an eligible entity to comply with the terms of an agreement or a state plan, or to meet a state requirement, as described in this section; or

(b) a termination, the term "cause" includes the failure of an eligible entity to comply with the terms of an agreement or a state plan, or to meet a state requirement, as described in this section.

2. If the state determines, on the basis of a final decision in a review pursuant to this article, that an eligible entity fails to comply with the terms of an agreement or the state plan to provide services under this article or to meet appropriate standards, goals, and other requirements established by the state (including performance objectives), the state shall:

(a) inform the entity of the deficiency to be corrected;

(b) require the entity to correct the deficiency;

(c)(1) offer training and technical assistance, if appropriate, to help correct the deficiency, and prepare and submit to the secretary of the United States department of health and human services a report stating the reasons for the determination; or

(2) if the state determines that such training and technical assistance are not appropriate, it shall prepare and submit to the secretary of the United States department of health and human services a report stating the reasons for the determination;

(d)(1) at the discretion of the state (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), allow the entity to develop and implement and submit to the state, within sixty days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period of time, as determined by the state; and

(2) not later than thirty days after receiving from an eligible entity a proposed quality improvement plan pursuant to subparagraph one of this paragraph, either approve such proposed plan or specify the reasons why the proposed plan cannot be approved; and

(e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding under this article of the eligible entity unless the entity corrects the deficiency.

3. A determination to terminate the designation or reduce the funding of an eligible entity pursuant to subdivision two of this section is reviewable by the secretary of the United States department of health and human services, pursuant to the processes set forth in the federal community services block grant act of 1981, as amended.

§ 159-m. Designation and redesignation of eligible entities in unserved areas

1. Qualified organization in or near area. (a) In general. If any geographic area of the state is not, or ceases to be, served by an eligible entity under this article, and if the governor decides to serve such area, the governor may solicit applications from, and designate as an eligible entity

(1) a private nonprofit organization (which may include an eligible entity) that is geographically located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of this article; and

(2) a private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area.

(b) Requirement. In order to serve as the eligible entity for the area, an entity described in subparagraph two of paragraph (a) of this subdivision shall agree to add additional members to the board of the entity to ensure adequate representation

(1) in each of the three required categories described in paragraph (a) of subdivision two of section one hundred fifty-nine-e of this article, by members that reside in the community comprised by the unserved area; and

(2) in the category described in subparagraph two of paragraph (a) of subdivision two of section one hundred fifty-nine-e of this article, by members that reside in the neighborhood to be served.

2. Special consideration. In designating an eligible entity under subdivision one of this section, the governor shall grant the designation to an organization of demonstrated effectiveness in meeting the goals and purposes of this article and may give priority, in granting the designation, to eligible entities that are providing related services in the unserved area, consistent with the needs identified by a community-needs assessment.

3. No qualified organization in or near area. If no private, nonprofit organization is identified or determined to be qualified under subdivision one of this section to serve the unserved area as an eligible entity the governor may designate an appropriate political subdivision of the state to serve as an eligible entity for the area. In order to serve as the eligible entity for that area, the political subdivision shall have a tripartite board or other mechanism as required in section one hundred fifty-nine-e of this article.

§ 159-n. Report of the Secretary

The secretary of state shall report to the governor and the legislature by March fifteenth of each year on the administration of the community services block grant program. The report shall include, but not be limited to, the results of the monitoring and evaluation of recipients of funds under the program and any recommendation for changes which the secretary of state deems necessary for the effective administration of the program.

Current through L.2015, chapters 1 to 13
END OF DOCUMENT

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Compilation of Codes, Rules and Regulations of the State of New York Currentness
Title 19. Department of State
Chapter XIV. Division of Economic Opportunity
➡ Part 700. Community Services Block Grant (Csbg) Hearing Rules of Procedure (Refs & Annos)

Section 700.1. Scope and purpose

(a) This Part applies to all adjudicatory proceedings commenced by service of a preliminary determination of funding action upon public or private grantees which receive or are entitled to receive Community Services Block Grant (CSBG) entitlement funds under P.L. 97-35, as amended, and Article 6-D, Executive Law, section 159-i, as amended.

(b) The purpose of this Part is:

(1) to comply with P.L. 97-35, as amended by P.L. 98-558, with respect to terminations of present and future funding; and

(2) to provide particular CSBG grantees with notice and an opportunity for a hearing on the record of the department's preliminary determination of funding action for a statutory allocation of CSBG entitlement funds for cause.

(c) This Part applies to any grantee receiving its statutory allocation of CSBG entitlement funds under Executive Law, section 159-i, as amended, as allocated to the State in PL 97-35, as amended. This Part does not apply to the remainder of CSBG funds, commonly referred to as "discretionary" funds, which may be received by a grantee or other statutorily specified entity.

Section 700.2. Definitions

As used in this Part:

(a) **Department.** The Department of State.

(b) **Entitlement funds.** The statutory allocation proportion of CSBG funds received by a "grantee" under P.L. 97-35, as amended, and Executive Law, section 159-i, as amended.

(c) **Grantee.** Any public or private "grantee" as defined in Executive Law, section 159-e(1), as amended.

(d) **Suspension.** A decision for cause by the department to temporarily curtail the statutory allocation of CSBG entitlement funds in part prior to the termination date of a CSBG entitlement contract.

(e) **Termination.** A decision for cause by the department that the present or future CSBG funding to a CSBG grantee, which received CSBG entitlement funds in the previous fiscal year, shall be permanently terminated, in whole or in part.

Section 700.3. Grounds for funding action

(a) *Future funding action.* A grantee's application for future CSBG funding may be permanently rejected when there has been (1) substantial failure, or (2) repeated or successive failure, by a grantee to comply with any provision of (i) law, (ii) rule, regulation or program instruction issued by the department, or (iii) a term or condition of a current or prior CSBG entitlement contract with the department. The ground for substantial failure under this subdivision shall include the abandonment by a grantee of the services to be performed under a CSBG entitlement contract, in whole or in part, for a previous fiscal year in accordance with subdivision (b) or (c) of his section. In the absence of unusual circumstances, an application for future CSBG funding shall not be rejected for this cause

unless the department has given the grantee notice, as set forth in section 700.4 of this Part, of one or more of the two grounds for rejection and reasonable opportunity to take effective corrective action.

(b) *Present funding action.* A CSBG entitlement contract may be permanently terminated, in whole or in part, for cause, when there has been (1) substantial failure, or (2) repeated or successive failure, by a grantee to comply with a provision of (i) law, (ii) rule, regulation or program instruction issued by the department, or (iii) a term or condition of a current or prior CSBG contract with the department. The ground for substantial failure under this subdivision shall include the abandonment by a grantee of the services to be performed under a CSBG entitlement contract, in whole or in part. Failure of the grantee to resume performance of the services abandoned under a CSBG entitlement contract, within 20 days after receipt of a notice of funding action in accordance with section 700.4 of this Part, on the ground of substantial failure by abandonment, shall be deemed refusal by such grantee to take effective corrective action. In the absence of unusual circumstances, a CSBG entitlement contract shall not be permanently terminated, in whole or in part, for this cause unless the Department has given the grantee notices as set forth in section 700.4, of one or more of the two grounds for permanent termination and reasonable opportunity to take effective corrective action.

(c) *Contract suspension funding action.* A CSBG entitlement contract may be suspended, in whole or in part, for cause, when there has been (1) substantial failure, or (2) repeated or successive failure, by a grantee to comply with a provision of (i) law, (ii) rule, regulation or program instruction issued by the department, or (iii) a term or condition of a current or prior CSBG entitlement contract with the department. The ground for substantial failure under this subdivision shall include the abandonment by a grantee of the services to be performed under a CSBG entitlement contract. Failure of the grantee to resume performance of the services abandoned under a CSBG entitlement contract, within 20 days after receipt of a notice of funding action in accordance with section 700.4 of this Part, on the ground of substantial failure or abandonment shall be deemed refusal by such grantee to take effective corrective action. In the absence of unusual circumstances, a CSBG entitlement contract shall not be suspended, in whole or in part, for this cause unless the department has given the grantee notice as set forth in section 700.4, of one or more of the two grounds for suspension and reasonable opportunity to take effective corrective action.

(d) This Part does not apply to:

(1) terminations or reductions, in whole or in part, of present or future CSBG funding, which are required by or will implement a provision of Federal or State law; or

(2) contract payments made in accordance with State Finance Law, article XI-A, as amended, also commonly referred to as the Prompt Payment Law; or

(3) demand for reimbursement by the department for disallowed costs when a grantee has received payment of CSBG funds under a CSBG entitlement contract; or

(4) Audit resolution process.

Section 700.4. Notice of preliminary determination

(a) When the department has reason to believe that one or more grounds for funding action exist as set forth in section 700.3(a), (b) or (c), the department shall serve upon the grantee a written preliminary determination of funding action, by certified mail, return receipt requested, which shall state the ground(s) for the proposed action and shall identify with reasonable specificity any facts or documents relied upon as a basis for that action.

(b) The preliminary determination shall advise the grantee that it has the opportunity within 20 business days of receipt of the preliminary determination, to make a written request for an adjudicatory hearing under this Part.

(c) The preliminary determination shall also advise the grantee of its right, if any, to continued funding under section 700.8 of this Part for funding action which falls within section 700.3(a) or (b).

(d) If the grantee advises the department in writing that it will not request a hearing or fails to request a hearing within the time prescribed in subdivision (b) of this section, or fails to resume performance of the services abandoned as set forth in section 700.3(b) or (c) of this Part, the department's preliminary determination of funding action under section 700.3(a), (b) or (c) shall become final and effective.

Section 700.5. Initiation of hearing

Upon receipt of a grantee's written request for a hearing under section 700.4 of this Part, the hearing officer unit of the department shall schedule the hearing and notify the grantee of the date, time, and place for the hearing.

Section 700.6. State Administrative Procedure Act applications

Any hearing under this Part shall be conducted in accordance with the New York State Administrative Procedure Act (SAPA), as amended.

Section 700.7. Review of department decision

(a) No funding determination based on section 700.3(a) or (b) of this Part shall become final and effective until a finding is made by the Secretary of the United States Department of Health and Human Services in accordance with P.L. 97-35, as amended by P.L. 98-558, confirming the department's decision.

(b) Additionally, any hearing decision of the department resulting in a termination of present or future funding to a grantee as prescribed in section 700.3(a) or (b) of this Part shall upon written request made within 20 business days of receipt of the department's decision be reviewed by the Secretary of the United States Department of Health and Human Services in accordance with P.L. 97-35, as amended by P.L. 98-558.

Section 700.8. Funding pending appeal decision

In accordance with P.L. 97-35, as amended by P.L. 98-558, the statutory allocation of CSBG entitlement funds to a grantee which has requested a hearing under section 700.3(a) or (b) of this Part shall continue until a finding is made by the Secretary of the United States Department of Health and Human Services, confirming the State's determination of cause, in whole or in part.

Section 700.9. Professional service costs

Costs of legal, accounting and consulting services, and related costs incurred in connection with an adjudicatory proceeding under this Part are not allowable costs under CSBG entitlement funds received by the grantee.

Current with amendments included in the New York State Register, Volume XXXVII, Issue 12, dated March 25, 2015.
END OF DOCUMENT

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Compilation of Codes, Rules and Regulations of the State of New York Currentness
Title 19. Department of State
Chapter XIV. Division of Economic Opportunity
➡ Part 701. Community Services Block Grant Advisory Council (Refs & Annos)

Section 701.1. Creation and membership

The Community Services Block Grant Advisory Council (hereinafter Council), is hereby created in the Department of State. The Council shall have twenty members, to include representatives from local governments, private non-profit providers and the public. Ten members shall be appointed by the Governor, five by the Temporary President of the Senate, and five by the Speaker of the Assembly. Members shall serve at the pleasure of their appointing authority.

Section 701.2. Duties

The Council shall have the following duties:

(a) to assist low-income persons overcome the barriers of poverty. This may include providing services to individuals or performing activities intended to achieve institutional change;

(b) to consult with the Secretary of State in the preparation of reports, and development of applications and the CSBG plan;

(c) to advise the Secretary of State on strategies and activities to achieve these goals by either responding to actions proposed by the Secretary or suggesting new initiatives to the Secretary; and

(d) to adopt and amend bylaws necessary to address the appointment and terms of Council officers and their duties, meetings of the Council, attendance by members, and other matters incidental to the Council's duties and proper functioning.

Section 701.3. Council Secretary

The Council Secretary shall be an employee of the Department of State designated by the Secretary of State and shall perform those duties assigned to him or her in the Council bylaws and by the Secretary of State.

Current with amendments included in the New York State Register, Volume XXXVII, Issue 12, dated March 25, 2015.
END OF DOCUMENT

(c) 2015 Thomson Reuters. No Claim to Orig. US Gov. Works.

See Attachment 3: Response to Section 4.4 – Supporting Documentation for the Public and Legislative Hearings must be updated with new notices and emails

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

NOTICE OF PUBLIC HEARING
Department of Health

Subject: Preventive Health and Health Services Block Grant
Federal Fiscal Year (FFY) 2015 Funding Proposal

Purpose: To obtain public comment on the funding proposals for the Preventive Health and Health Services Block Grant for FFY 2015 (October 1, 2015 to September 30, 2016)

June 12, 2015
New York State Department of Health
Concourse Level, Conference room 125
Albany, New York 12237

The New York State Department of Health is preparing the State's application to the Federal Government for the Preventive Health and Health Services Block Grant for FFY2015. The proposals for FFY2015 funding will be reviewed. Federal statute requires states to form advisory committees to assist in the development of Work Plans and to hold public hearings on the proposed use of funds.

Copies of the 2015 Work Plan will be available for review by contacting Tina Mazula, Division of Environmental Health Investigation, New York State Department of Health, Empire State Plaza, Room 1629, Corning Tower, Albany, NY 12237, phone (518) 402-7510, e-mail: tina.thomas@health.ny.gov

To further publicize the hearing, please inform interested parties and organizations of the Committee's interest in hearing comments from all sources. Oral comments will be limited to ten minutes. The Preventive Health and Health Services Advisory Committee will attempt to accommodate individual requests to speak at particular times in consideration of special circumstances. Ten copies of any prepared testimony should be submitted to Ms. Thomas on the date of the hearing.

Persons wishing to attend the public hearing on the Preventive Health and Health Services Block Grant are requested to complete the attached reply form and mail it as soon as possible to Tina Mazula, PHHSBG Advisory Committee, Empire State Plaza, Room 1629, Corning Tower, Albany, NY 12237 or e-mail: tina.thomas@health.ny.gov

REPLY FORM: HEARING ON PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT
FFY2015 Funding Proposals

NAME: _____ TITLE: _____
ORGANIZATION: _____
ADDRESS: _____
CITY: _____ STATE: ___ ZIP: ___
PHONE: _____ EMAIL: _____

NOTICE OF PUBLIC HEARING
Department of State

PURSUANT to 42 U.S.C. __9908(a) (2) (B), the Department of State hereby gives public notice that on Wednesday, June 3, 2015, The New York State Legislature will hold a public hearing on the Community Services Block Grant (CSBG) Program and the 2016-2017 draft CSBG Application and Plan.

The hearing will be held at 10:00 A.M. in Roosevelt Hearing Room C, Legislative Office Building, 2nd Floor, Albany, New York.

The CSBG Draft Application and Plan will be available prior to the hearing on the Department of State website at http://www.dos.gov/dcs/news.htm or by contacting: Veronica Cruz, Director, Department of State, Division of Community Services, One Commerce Plaza, 99 Washington Ave., Suite 1015, Albany, NY 12231-0001, (518) 474-5741

PUBLIC NOTICE
Department of Agriculture and Markets

IN THE MATTER OF THE ISSUANCE OF AN ORDER TO AGRICULTURAL AND HORTICULTURAL CORPORATIONS, THE NEW YORK STATE AGRICULTURAL SOCIETY, AND THE NEW YORK STATE FAIR.

NOTICE OF ORDER FOR THE CONDUCT OF FAIRS AND EXHIBITIONS

RICHARD A. BALL, Commissioner of Agriculture and Markets of the State of New York, hereby ORDERS that:

WHEREAS, Not-For-Profit Corporations Law section 1409(f) requires every agricultural or horticultural corporation, and the New York State Agricultural Society to hold annual fairs and exhibitions. Agriculture and Markets Law Section 31-b requires the Department of Agriculture and Markets to hold an annual state fair;

WHEREAS, such fairs and exhibitions typically allow for poultry from different farms and premises to be displayed and shown in poultry competitions. Such poultry, when so displayed or shown in poultry competitions, are closely held and readily come into contact with each other and with each other's bodily fluids and secretion;

Fri 5/22/2015 9:02 AM

dos.sm.DCS

NYS CSBG Legislative Public Hearing Notice, June 3, 2015

To nbland@albanycap.org; lchristman@accordcorp.org; msilvanic@ofbonline.org; tzerbian@CCACTION.ORG; lpiccolo@cscaa.com; rkeller@chautopp.org; aogunwumi@cseop.org; wviera@ofcinc.org; garciabe@jceo.org; TSHARPE@COLUMBIAOPPORTUNITIES.ORG; lindyg@capco.org; exdir@delawareopportunities.org; espira@dutchesscap.org; lnhare@caoec.org; ajones@acapinc.org; capdirector@yahoo.com; FOHLE@CAGCNY.ORG; mgault@capcjc.org; smathys@lcopps.org; rsnyder@co.livingston.ny.us; jdale@capmadco.org; JNorman@abcinfo.org; johnsoni@eoc-nassau.org; sshears@prodigy.net; bchong@dycd.nyc.gov; Aturner@mvcaa.com; johara@peace-caa.org; jczajka@recap.org; efancher@caoginc.org; dcurrier@oco.org; DMaskin@ofoinc.org; kmaciol@ceo-cap.org; smitchell@pathstone.org; a.paley@saratogaeoc.org; dschimpf@scapny.org; jeannette.spaulding@sccapinc.org; rossmanl@proactioninc.org; execdir@slccdp.org;

Message NYS CSBG Legislative Public Hearing Notice - Posted 5-14-15.pdf

Greetings,

Attached is our NYS CSBG Legislative Public Hearing Notice. The hearing will be held on Wednesday, June 3rd beginning at 10:00 am in the Roosevelt Hearing Room C, 2nd Floor of the Legislative Office Building in Albany. The CSBG State Plan and Application will be posted to the DOS website shortly.

We hope you can attend.

Veronica Cruz, Director
Division of Community Services

Thu 5/28/2015 2:56 PM

dos.sm.DCS

June 3rd CSBG Legislative Public Hearing - CORRECTION

To nbland@albanycap.org; lchristman@accordcorp.org; msilvanic@ofbonline.org; tzerbian@CCACTION.ORG; lpiccolo@cscaa.com; rkeller@chautopp.org; aogunwumi@cseop.org; wviera@ofcinc.org; garciabe@jceo.org; TSHARPE@COLUMBIAOPPORTUNITIES.ORG; lindyg@capco.org; exdir@delawareopportunities.org; espira@dutchesscap.org; lnhare@caoec.org; ajones@acapinc.org; capdirector@yahoo.com; FOHLE@CAGCNY.ORG; mgault@capcjc.org; smathys@lcopps.org; rsnyder@co.livingston.ny.us; jdale@capmadco.org; JNorman@abcinfo.org; johnsoni@eoc-nassau.org; sshears@prodigy.net; bchong@dycd.nyc.gov; Aturner@mvcaa.com; johara@peace-caa.org; jczajka@recap.org; efancher@caoginc.org; dcurrier@oco.org; DMaskin@ofoinc.org; kmaciol@ceo-cap.org; smitchell@pathstone.org; a.paley@saratogaeoc.org; dschimpf@scapny.org; jeannette.spaulding@sccapinc.org; rossmanl@proactioninc.org; execdir@slccdp.org;

You forwarded this message on 5/28/2015 3:41 PM.

Message NYS CSBG Legislative Public Hearing Notice - Posted 5-14-15.pdf

This is a reminder that the CSBG Legislative Public Hearing will be held Wednesday June 3, 2015 beginning at 10:00 am. See the **attached Hearing Notice** for information and instructions on how to register to testify.

Looking forward to seeing you there.

Veronica Cruz, PhD
Director, Division of Community Services

NYS Department of State
One Commerce Plaza, Suite 1020
Albany, New York 12231
Phone: 518.474.5741: FAX: 518.486.4663
veronica.cruz@dos.ny.gov
www.dos.ny.gov

Fri 5/29/2015 3:29 PM

dos.sm.DCS

CSBG State Plan FFY 2016-2017 Draft

To nbland@albanycap.org; lchristman@accordcorp.org; msilvanic@ofbonline.org; tzerbian@CCACTION.ORG; lpiccolo@cscaa.com; rkeller@chautopp.org; aogunwumi@cseop.org; wviera@ofcinc.org; garciabe@jceo.org; TSHARPE@COLUMBIAOPPORTUNITIES.ORG; lindyg@capco.org; exdir@delawareopportunities.org; espira@dutchesscap.org; lnhare@caoec.org; ajones@acapinc.org; capdirector@yahoo.com; FOHLE@CAGCNY.ORG; mgault@capcjc.org; smathys@lcopps.org; rsnyder@co.livingston.ny.us; jdale@capmadco.org; JNorman@abcinfo.org; johnsoni@eoc-nassau.org; sshears@prodigy.net; bchong@dycd.nyc.gov; Aturner@mvcaa.com; johara@peace-caa.org; jczajka@recap.org; efancher@caoginc.org; dcurrier@oco.org; DMaskin@ofoinc.org; kmaciol@ceo-cap.org; smitchell@pathstone.org; a.paley@saratogaeoc.org; dschimpf@scapny.org; jeannette.spaulding@sccapinc.org; rossmanl@proactioninc.org; execdir@slccdp.org;

Cc Beauchamp, Darren (DOS); Brogan, Timothy (DOS); Cruz, Veronica (DOS); Ferris, Emmett (DOS); Finn, Conloy (DOS); Furman, Katharine (DOS); Herring, Patryce (DOS); Howard, Craig (DOS); Hunt, Kesha (DOS); Johnson, Kimberly (DOS); Killikelly, Clenard (DOS); LaRocca, Tina (DOS); Leary, James (DOS); Luse, Timothy (DOS); Marchese, Annette (DOS); Miran, Emma (DOS); Moses, Lynette (DOS); Newland, Lelia (DOS); Parsons, Becky (DOS); Pfohl, Martha (DOS); Turchiarelli, Dorothy (DOS); Walsh, Theresa A (DOS)

Message CSBG State Plan 2016 and 2017 Draft.pdf NYS CSBG Legislative Public Hearing Notice.pdf
Public Notice - Public Comment Period - CSBG State Plan 2016 and 2017 DRAFT.pdf

Dear Colleagues:

Please see the attached documents regarding the draft CSBG State Plan 2016 and 2017.

Looking forward to seeing you at the Public Hearing on June 3, 2015.

Veronica Cruz, Ph.D.
Director, Division of Community Services

Mon 6/1/2015 4:34 PM

dos.sm.DCS

FW: CSBG State Plan FFY 2016-2017 Draft

To nbland@albanycap.org; lchristman@accordcorp.org; msilvanic@ofbonline.org; tzerbian@CCACTION.ORG; lpiccolo@cscaa.com; rkeller@chautopp.org; aogunwumi@cseop.org; wviera@ofcinc.org; garciabe@jceo.org; TSHARPE@COLUMBIAOPPORTUNITIES.ORG; lindyg@capco.org; exdir@delawareopportunities.org; espira@dutchesscap.org; lnhare@caoec.org; ajones@acapinc.org; capdirector@yahoo.com; FOHLE@CAGCNY.ORG; mgault@capcjc.org; smathys@lcopps.org; rsnyder@co.livingston.ny.us; jdale@capmadco.org; JNorman@abcinfo.org; johnsoni@eoc-nassau.org; sshears@prodigy.net; bchong@dycd.nyc.gov; Aturner@mvcaa.com; johara@peace-caa.org; jczajka@recap.org; efancher@caoginc.org; dcurrier@oco.org; DMaskin@ofoinc.org; kmaciol@ceo-cap.org; smitchell@pathstone.org; a.paley@saratogaeoc.org; dschimpf@scapny.org; jeannette.spaulding@sccapinc.org; rossmanl@proactioninc.org; execdir@slccdp.org;

Cc ⊞ **dos.dl.DCS**

Dear Colleagues:

On Friday, an e-mail was sent forwarding the draft CSBG State Plan 2016 and 2017 and notification of the June 3, 2015 Legislative Public Hearing.

Because the attachments were so large, the e-mail would not transmit.

Here is the link for your use: http://www.dos.ny.gov/dcs/documents.htm.

From: dos.sm.DCS
Sent: Friday, May 29, 2015 3:29 PM
Subject: CSBG State Plan FFY 2016-2017 Draft

Dear Colleagues:

Please see the attached documents regarding the draft CSBG State Plan 2016 and 2017.

Looking forward to seeing you at the Public Hearing on June 3, 2015.

Veronica Cruz, Ph.D.
Director, Division of Community Services

STATE OF NEW YORK
DEPARTMENT OF STATE
ONE COMMERCE PLAZA
99 WASHINGTON AVENUE
ALBANY, NY 12231-0001
WWW.DOS.NY.GOV

ANDREW M. CUOMO
GOVERNOR

CESAR A. PERALES
SECRETARY OF STATE

PUBLIC NOTICE

NEW YORK STATE DEPARTMENT OF STATE

DIVISION OF COMMUNITY SERVICES

UPDATED - NOTICE OF PUBLIC COMMENT PERIOD (until COB August 3, 2015)

SUBJECT: Public comment period for the submission of written comments on the draft New York State Community Services Block Grant (CSBG) Application and Plan for Federal Fiscal Years 2016 and 2017

PURPOSE: To obtain written comments regarding New York State's draft 2016 and 2017 CSBG Application and Plan

Federal Community Services Block Grant (CSBG) funds are awarded to grantees in all counties in New York State. Community action agencies, community-based organizations, and Indian tribes or tribal organizations receive CSBG funds to provide advocacy, outreach, services and programs for economically disadvantaged persons in their local communities.

Pursuant to 42 U.S.C. § 9908, the Department of State Division of Community Services is accepting written comments on the draft CSBG Plan. The CSBG Plan delineates the manner in which funds will be expended and how the State will meet the federal CSBG program requirements.

Copies of the Department of State's draft CSBG Plan may be obtained from the Department of State website at www.dos.ny.gov/dcs/news.htm or by contacting:

New York State Department of State
Division of Community Services
99 Washington Avenue, Suite 1020
Albany, New York 12231-0001
518-474-5741

Persons wishing to submit written comments on the draft CSBG must submit such comments by mail to the above address or by e-mail to dos.sm.DCS@dos.ny.gov. **Written comments on the draft CSBG Plan will be accepted through Monday, August 3, 2015**.

NEW YORK STATE OF OPPORTUNITY. | Department of State

John J. Flanagan
Temporary President,
Majority Leader
and Coalition Leader
Jeffrey D. Klein
Coalition Leader
New York State Senate

Carl E. Heastie
Speaker
New York State Assembly

RECEIVED
MAY 26 2015
OFFICE OF COUNSEL
DEPARTMENT OF STATE

NEW YORK STATE LEGISLATURE

PUBLIC HEARING CALENDAR

For Immediate Release:

May 22, 2015

May 29 **Assembly Standing Committee on Mental Health and Developmental Disabilities**
Chair: Assembly Member Aileen Gunther
Public Hearing: Children's Mental Health Services in Western New York
Place: Common Council Chambers, Buffalo City Hall, 13th Floor, 65 Niagara Square, Buffalo, New York
Time: 10:00 A.M.
Contact: Willie Sanchez (518) 455-4371
Media Contact: Assembly Press Office (518) 455-3888
ORAL TESTIMONY BY INVITATION ONLY

June 3 **Joint – Assembly Standing Committee on Social Services**
Chair: Assembly Member Andrew D. Hevesi
Assembly Standing Committee on Governmental Operations
Chair: Assembly Member Crystal D. Peoples-Stokes
Senate Standing Committee on Finance
Chair: Senator John DeFrancisco
and **Senate Standing Committee on Social Services**
Chair: Senator David Carlucci
Public Hearing: The Community Services Block Grant (CSBG) Program
Place: Roosevelt Hearing Room C, Legislative Office Building, 2nd Floor, Albany, New York
Time: 10:00 A.M.
Contact: Anthony Lino (518) 455-4371
Media Contact: Assembly Press Office (518) 455-3888

OTHER MEETINGS OF INTEREST:

May 27 **Senate Select Committee on Science, Technology, Incubation, and Entrepreneurship**
Sponsor: Senator Martin J. Golden, Chair
Co-Sponsor: Senator Richard Funke, Vice-Chair
Meeting: Legislation related to issues of privacy, data breach, and appropriate penalties for violations
Place: Room 711-A, Legislative Office Building, 7th Floor, Albany, New York
Time: 12:00 P.M. – 2:00 P.M.
Contact: Robert Herz (518) 455-2730
Media Contact: Robert Herz (518) 455-2730

June 2 **Senate Task Force on Heroin and Opioid Addiction**
Chairs: Senator Terrence Murphy, Senator George A. Amedore, Jr. and Senator Robert Ortt
Meeting: Examine the issues facing communities in the wake of increased heroin abuse
Place: D'Ambra Auditorium, SUNY Albany, Life Sciences Research Building, 1400 Washington Avenue, Albany, New York
Time: 6:00 P.M. – 8:00 P.M.
Contact: Daniel Toomey (518) 455-2559
Media Contact: Senate Majority Press Office (518) 455-2264
ORAL TESTIMONY BY INVITATION ONLY

ASSEMBLY STANDING COMMITTEE ON SOCIAL SERVICES
ASSEMBLY STANDING COMMITTEE ON GOVERNMENTAL OPERATIONS
SENATE STANDING COMMITTEE ON FINANCE and the
SENATE STANDING COMMITTEE ON SOCIAL SERVICES

NOTICE OF PUBLIC HEARING

SUBJECT: The Community Services Block Grant (CSBG) Program

PURPOSE: To obtain input regarding the Department of State's 2016 and 2017 CSBG Application and Plan.

Wednesday June 3, 2015
10:00 am
Roosevelt Hearing Room C
Legislative Office Building, 2nd Floor
Albany, NY 12247

Federal Community Services Block Grant (CSBG) funds are awarded to grantees in all counties in New York State. Community action agencies, community-based organizations, and Indian tribes or tribal organizations receive CSBG funds to provide advocacy, outreach, services and programs for economically disadvantaged persons in their local communities.

This hearing will focus on the New York State Department of State's CSBG Application and Plan for federal fiscal years 2016 and 2017. The Plan delineates the manner in which funds will be expended and how the State will meet the federal CSBG program requirements.

Copies of the Department of State's draft CSBG Plan may be obtained from the Department of State website, prior to the hearing at www.dos.ny.gov/dcs/news.htm or by contacting:

New York State Department of State
Division of Community Services
99 Washington Avenue Suite 1020
Albany, NY 12231
518-474-5741

Persons wishing to present pertinent testimony to the Committees at the above hearing should complete and return the enclosed reply form as soon as possible. It is important that the reply form be fully completed and returned so that persons may be notified in the event of emergency postponement or cancellation.

Oral testimony will be limited to 10 minutes. In preparing the order of witnesses, the Committees will attempt to accommodate individual requests to speak at particular times in view of special circumstances. These requests should be made on the attached reply form or communicated to Committee staff as early as possible. In the absence of a request, witnesses will be scheduled in the order in which reply forms are postmarked.

Ten copies of any prepared testimony should be submitted at the hearing registration desk. The Committees would appreciate advance receipt of prepared statements.

In order to further publicize these hearings, please inform interested parties and organizations of the Committees' interest in hearing testimony from all sources.

In order to meet the needs of those who may have a disability, the Assembly, in accordance with its policy of non-discrimination on the basis of disability, as well as the 1990 Americans with Disabilities Act (ADA), has made its facilities and services available to all individuals with disabilities. For individuals with disabilities, accommodations will be provided, upon reasonable request, to afford such individuals access and admission to Assembly facilities and activities.

Andrew D. Hevesi
Member of Assembly
Chair
Committee On Social Services

Crystal D. People-Stokes
Member of Assembly
Chair
Committee On Governmental Operations

John DeFrancisco
Member of Senate
Chair
Committee On Finance

David Carlucci
Member of Senate
Chair
Committee On Social Services

PUBLIC HEARING REPLY FORM

Persons wishing to present testimony at the public hearing on The Community Services Block Grant (CSBG) Program are requested to complete this reply form as soon as possible and mail it to:

Anthony Lino
Committee Assistant
Assembly Committee on Social Services
Room 442 - Capitol
Albany, New York 12248
Email: linoa@assembly.state.ny.us
Phone: (518) 455-4371
Fax: (518) 455-4693

☐ I plan to attend the following public hearing on The Community Services Block Grant (CSBG) Program to be conducted by the Assembly Committee on Social Services on June 3, 2015.

☐ I plan to make a public statement at the hearing. My statement will be limited to 10 minutes, and I will answer any questions which may arise. I will provide 10 copies of my prepared statement.

☐ I will address my remarks to the following subjects:

_____

_____

☐ I do not plan to attend the above hearing.

☐ I would like to be added to the Committee mailing list for notices and reports.

☐ I would like to be removed from the Committee mailing list.

☐ I will require assistance and/or handicapped accessibility information. **Please specify the type of assistance required:** _____

_____

NAME: _____

TITLE: _____

ORGANIZATION: _____

ADDRESS: _____

E-MAIL: _____

TELEPHONE: _____

FAX TELEPHONE: _____

Transcript Hearing **(DOS will tape the hearing this year - no transcript)**
[Right-click on document to go to hyperlink]

NEW YORK STATE ASSEMBLY STANDING COMMITTEE

ON SOCIAL SERVICES

ASSEMBLY STANDING COMMITTEE ON GOVERNMENTAL OPERATIONS

SENATE STANDING COMMITTEE ON FINANCE and the

SENATE STANDING COMMITTEE ON SOCIAL SERVICES

PUBLIC HEARING

The Community Services Block Grant (CSBG) Program

Roosevelt Hearing Room C

Legislative Office Building, 2nd Floor

Albany, NY 12247

Wednesday, June 3, 2015

10:00 A.M. -- 11:30 A.M.

Response to Written Comments **update based on new comments received**

~~The NYS Department of State received three written comments on the 2016-17 Application and State Plan. All three comments were received from Community Action Agencies. The Department of State recognizes the importance of continued Community Services Block Grant Funding to local communities and low-income individuals and families throughout New York State. All commenters acknowledged that CSBG funding provides resources that allow their agencies to support necessary programs, and that CSBG support is vital in a time of overall decline in available government funding for anti-poverty services. The Department of State intends to use its best efforts to ensure that CSBG funding continues to be used effectively throughout the State to combat poverty and to increase positive economic mobility. The Department will continue to strive to enhance the CSBG network and to provide responsive technical assistance and coordination to eligible entities throughout the State to ensure that the CSBG network has the capacity and vitality to provide important life-changing services and programs to our most vulnerable neighbors.~~

~~The Department of State believes that it is critical to ensure a strong network of eligible entities, while also providing opportunities for both eligible entities and community-based organizations with opportunities for open and competitive anti-poverty funding awards designed to inspire innovative programming, target underserved populations, and inspire service providers throughout the State. Discretionary funding strengthens the network and encourages innovation in the nonprofit sector. All recipients are required to adhere to the federal standards and reporting requirements applicable to the use of CSBG funding. The Department believes that the use of remainder funding to provide open-competitive grant opportunities for innovative workforce development programs and services assisting the low-income new American population, which both CAAs and neighborhood based organizations may apply for, serves to improve the lives of the low income community in New York State and expands the CSBG support structure throughout the State. Additionally, it is notable that in the last round of competitive grant funding, four of the six workforce development awards were granted to Community Action Agencies.~~

~~The Department of State greatly appreciates the comments received in response to this Application and Plan. The Department will continue to engage the CSBG network in the hopes of raising awareness, better understanding local concerns and issues, providing ongoing support and technical assistance, continuously improving operations, and enhancing the network's capacity for service delivery throughout the State. The Department of State will maintain an "open-door" policy for any grantees requesting assistance or clarification with regard to understanding the requirements of their contracts or applicable state and federal standards required for compliance in the administration of the CSBG program.~~

~~Based on the foregoing and the comments received, the Department sees no need for further modification of this Application and Plan at this time. The Department looks forward to working with the United States Department of Health and Human Services and the entire CSBG network to achieve the goals of the CSBG program and to continue to enhance economic mobility for individuals and families throughout New York State.~~

Written Testimony delete and add new letters

Testimony to:
Assembly Committee on Social Services
Senate Committee on Social Services, Children and Families
Assembly Committee on Ways and Means
Senate Committee on Finance
Assembly Committee on Governmental Operations

Thank you for the opportunity to submit written testimony regarding the Community Services Block Grant Plan for 2016 and 2017, and its impact on Schenectady County.

This year, Schenectady Community Action Program, Inc. (SCAP) is celebrating 50 years of serving Schenectady County's poorest residents. This anniversary comes at a time when more people are seeking assistance for poverty-related issues than ever before. Today, SCAP helps 12,000 people per year, compared with 2,500 people just five years ago. Government funding and policy changes have affected the availability of resources; as government assistance decreases, people look to community agencies such as SCAP for support.

Without question, the funding with the largest impact has been the CSBG. Among SCAP's programs is the Community Crisis Network, helping lift people from poverty since 1998. Additionally, SCAP offers Career Readiness programs to prepare individuals for the job market, along with training pathways, and job search and retention support. SCAP's Early Learning Centers provide quality pre-school education for under-privileged children. SCAP operates a transitional home for homeless women with children or homeless pregnant women, as well as a Permanent Housing Program with 27 scattered apartments, which supports disabled individuals and families to maintain stable housing and work toward self-reliance.

Throughout SCAP's entire history, assistance in obtaining immediate needs for residents of Schenectady living in poverty has been at the core of the services provided. From lack of food, homelessness, uninhabitable housing, medical needs, energy shutoffs, transportation and health insurance to assistance in obtaining birth certificates, picture IDs, clothing and furniture, SCAP relies heavily on the flexibility of the CSBG funding to make all these services and positive outcomes possible.

Each year SCAP serves over 12,000 people living in over 6,000 households. Of those individuals, 28% are disabled, 13% are homeless and 18% have no income at all. 63% of the households served live below the Federal Poverty Guidelines and another 22% just over. In spite of the myth that poor families are huge and looking to gain more assistance by having more children, we have found that 90% of the households we serve are at the nation's average household size of three individuals or lower. These families seek assistance from SCAP for needs that they can meet in no other way. Over 50% of the children that live in the City of Schenectady live below the Federal Poverty Guidelines. Poor families with children are a targeted population for us to serve. There are few sources of funding that will engage the disenfranchised and support the needs of poor families by preventing homelessness. Our Community Crisis Network has a budget of almost $600,000 a year. Less than half that comes directly from CSBG. The remainder of the funding is leveraged from other sources using the CSBG. Without the CSBG funding, other investors would be far less likely to support this work.

CSBG funding should not be diluted by opening the process of awarding discretionary funds to other organizations. The discretionary funds are used by Community Action Agencies to assist people during disasters, while also making it possible to try new innovative ways to resolve social issues and meet unexpected needs. There are no better organizations to utilize these funds effectively on a local level. To allow these funds to be parceled out would mean a new cumbersome structure to track the funds and outcomes that are already in place at CAP agencies. The increase in administrative expense would only further decrease the effectiveness of the discretionary funding.

In closing, SCAP would not be able to provide the comprehensive continuum of services to the community, nor would we be able to offer the community leadership and support to the partnership initiatives we believe in, such as the Community Crisis Network, the Homeless Steering Committee, the Eviction Task Force, and Bridges out of Poverty to name a few. In Schenectady County, SCAP is an active, integral partner in these coalition groups because we believe that by working together, we reduce program duplication, coordinate resources across agencies, and accomplish more to alleviate the causes and address the effects of poverty on those we serve.

Marlene Mauriello, President Debra L. Schimpf, Executive Director

913 Albany Street, Schenectady, NY 12307 ♦ Phone 518-374-9181 ♦ Fax 518-374-9190 ♦ www.scapny.org
Early Childhood Education: 100 Bigelow Avenue, Schenectady, NY 12304 ♦ Phone 518-377-8539 ♦ Fax 518-377-8553

July 2015

Written Comment regarding
CSBG 2016 Draft Management Plan

Presented by:

Amy Turner, CCAP, Executive Director
Mohawk Valley Community Action Agency, Inc.
9882 River Road
Utica, New York 13502
(315) 624-9930
aturner@mvcaa.com

Thank-you for the opportunity to provide this important written testimony about the Community Services Block Grant program and the positive impact it has in communities across New York State.

I am the Executive Director of the Mohawk Valley Community Action Agency, Board member of the New York State Community Action Association and Regional Representative to the National Community Action Partnership Board of Directors.

The Mohawk Valley Community Action Agency provides a variety of services to low income people in Oneida and Herkimer Counties. The CSBG program funds our family development initiatives and our centers in Rome, Utica and Herkimer which provide access to our services and other opportunities in the community. Our agency has an annual operating budget of approximately seventeen million dollars and we employ three hundred full time employees at twenty – four different sites. We have a proven record of fiscal accountability and transparency as evident by our annual audits and available via our website for the public to review.

In addition to supporting the center of our operations, ***CSBG provides resources that allow our agency to support necessary programs that do not allow administrative costs***; provides us seed money to start new initiatives and the ability to support/expand community driven initiatives that share our mission. Another example

of the strength of CSBG – this year we used CSBG to provide "Bridges out of Poverty" training, conduct Poverty Simulations in the community and continue our seminars with families – "Getting Ahead in a Just Getting by World". This approach provides us with additional knowledge to help families move through a continuum to "thriving".

CSBG allows the agency to build the capacity of our board and staff, collaborate with other organizations and a host of other necessary functions as mentioned previously. We use CSBG to support the on-going efforts of a local Coalition designed to increase awareness in the community of poverty issues.

Additional support from a line item in the state budget annually matching the federal funds received would assist in working towards the reduction of poverty in all communities across New York State. In many regions, initiatives have been started to address the complexities of poverty. Many state elected officials are indicating a possibility of state funding to address poverty locally. Now would be a good time to make certain that Community Action is at the table and recognized as an efficient and effective state wide service delivery system.

It is very important that grantees have a significant role in the development of the Management Plan. This is very important to the success of the program and the grantees. The network has over forty years of experience creating and shaping programs for their local communities and they should actively be involved. I would recommend to the DOS, Division of Community Services that future plans include a more active approach to garnering input from grantees i.e., regional roundtables.

As the plan states, services are determined through local assessments of customers, the community and the grantee to determine needs to be addressed and resources available.

The Office of New Americans is a valuable resource to communities with immigrant and refugee populations; however collaboration with existing entities serving these individuals is very challenging. **I strongly recommend the funding only be available to eligible**

entities resulting in an amendment to their existing contract if selected. In our community, the current ONA does not recognize the funding as CSBG does not acknowledge ROMA and is not required to have a tri-partite board.

New York's most vulnerable families will be best served by maintaining and growing the existing network of eligible entities. These Community Action Agencies have been in existence for several years and are in touch with the changing needs of their local communities.

Offering CSBG funding to other CBO's has created unnecessary competition locally with established partners, especially during difficult financial times and scarce resources. Providing these resources directly to the eligible entities would result in more effective outcomes.

State law also requires each recipient of funds to secure a 25% local share match. Many grants administered by our agency require matching funds. This results in competition internally and in the community for precious local resources. The process for recording and documenting is time consuming and sometimes cumbersome. I would recommend the DOS, Division of Community Services consider pursuing elimination of this requirement.

I support the plan in allowing entities to carry over unexpended funds into the next year for program purposes. This flexibility provides a level of administrative management not available with many other funding sources.

Our agency is very concerned about MWBE contract requirements. The intention behind the requirements is honorable; however in many upstate areas state certified MWBE contractors are not available.

Our agency is very supportive of the plan's intent to continue working with NYSCAA.

The New York State Community Action Association (NYSCAA) provides valuable support, training and technical assistance to the

network of agencies throughout New York State. The web-site provides agencies with the ability to access resources quickly and easily. NYSCAA provides the network with relevant grant announcements, legislation that affects our programs and other pertinent information. In addition, the association offers regular professional development opportunities to all staff and board members.

We at MVCAA support the new annual self assessment tool and the updated tri-annual too. Both are aligned with the National Organizational Standards and will provide all grantees with an excellent opportunity to ensure compliance and reach for excellence.

The Mohawk Valley Community Action Agency joins many others from across this great state and respectfully requests that the Secretary encourage the development of a Commission of Poverty and Economic Security that is independent of the Economic Security Cabinet or is a reporting entity to the Cabinet. We believe there must be a stronger focus on poverty to ensure our most vulnerable New Yorker's are given opportunities. This would complement the Regional Task Forces that are developing. New York State has the eleventh highest poverty rate in the country at 14.7% with 2.76 million New Yorkers including *923,000 children* living below the federal poverty level. The time is right as numerous states and cities across the country also increase their focus on the issues of poverty.

In closing, I would like to extend my sincere appreciation to the Secretary of State and the staff within the Division of Community Services for their commitment to this valuable program and their support to Community Action Agencies across New York State. We are fortunate in New York to have such outstanding leadership that stays on the cutting edge of new initiatives that ensures the effective and successful implementation of the CSBG program.

www.proactioninc.org

Our mission is to promote the creation of quality family life, self-sufficiency, and the ability to thrive for all people in our community.

Written comment regarding
CSBG Management Plan

Presented by:
Laura Rossman MSM, CCAP, Executive Director
Pro Action of Steuben and Yates, Inc.
117 E Steuben St
Bath NY 14810
607-776-2125 ext. 320
rossmanl@proactioninc.org

Thank-you for the opportunity to provide this important written testimony about the Community Services Block Grant program and the positive impact it has in communities across New York State.

I am the Executive Director of the Pro Action of Steuben and Yates, Inc. and Vice President of the New York State Community Action Association.

Pro Action supports the New York State Department of State's 2016-2017 CSBG Management Plan. The plan continues to support our efforts in ***helping people, changing lives - ending poverty!***

Pro Action's vision is a strong community where all individuals and families prosper. In its 50th year of operation as a federally designated Community Action Agency, Pro Action provides outcome-focused programs and services to nearly 17,000 individuals in Steuben, Yates, Chemung and Schuyler Counties. The customer base consists of individuals and families from low-income households who seek the resources and supports they need to stabilize their life situation and become or remain self-reliant. The primary organizational goal is always to prevent, reduce or eliminate dependence on government assistance and the need for more costly interventions associated with poverty, teen pregnancy, developmental disabilities, long-term care, substance abuse and/or mental health issues. This is reflected in the agency mission which is to "work to build a community of resilient individuals and families who can meet their basic needs, overcome adversity, and prosper. The CSBG program funds our family development initiatives, employment and training programs, aging services and agency capacity. Our agency has an annual operating budget of approximately sixteen million dollars and we employ 200+ full time employees at 35 different sites. We have a proven record of fiscal accountability and transparency as evident by our annual audits and available via our website for the public to review.

As you know Community Action Agencies are innovators and leaders in their communities, providing flexible and responsive services to help low-income New Yorkers achieve economic security. In many communities in NYS, Community Action Agencies are among the first responders scene after natural disasters. Last May Yates County experience a flood disaster. Pro Action was quick to respond to ensure to offer services and to be one of the leaders in disseminating information to the community. As the community continued to rebuild from the flood Pro Action was a key community partner through emergency services, Weatherization, Empower, and our

ProAction
of Steuben and Yates, Inc.

www.proactioninc.org

Our mission is to promote the creation of quality family life, self-sufficiency, and the ability to thrive for all people in our community.

Angel Action Program. Pro Action was also successful in securing additional foundation funding to support the flood recovery through July of this year.

Pro Action is extremely supportive of the plan's intent to continue working with NYSCAA. The New York State Community Action Association (NYSCAA) provides valuable support, training and technical assistance to the network of agencies throughout New York State. The web-site provides agencies with the ability to access resources quickly and easily. NYSCAA provides the network with relevant grant announcements, legislation that affects our programs and other pertinent information. The Community Needs Assessment tool has been an effective tool for us to use when writing grants, conducting broader community needs assessment, and for strategic planning.

Additionally, Pro Action is supportive of the continued support of Community Action Angels. This network has helped more than 1 thousand families in our communities since its inception. In addition it has created a stronger network of partners across our area.

The management plan allocates discretionary funds to targeted projects. As a current grantee for these funds, Pro Action would like to thank you for your continued support. However, we strongly recommend the funding only be available to eligible entities moving forward. New York's most vulnerable families will be best served by maintaining and growing the existing network of eligible entities. These Community Action Agencies have been in existence for several years and are in touch with the changing needs of their local communities. By offering this funding to other CBO's creates competition locally with established partners, especially during difficult financial times and scarce resources.

In closing, we would like to extend my deepest gratitude to the Secretary of State and the staff within the Division of Community Services for their commitment to this valuable program and their support to Community Action Agencies across New York State. New York State is very lucky to have such strong leadership that ensures the effective and successful implementation of the CSBG program.

Bath
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T: (607) 776-2125 or 800-553-2033

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Helping People. Changing Lives. community Action PARTNERSHIP AMERICA'S POVERTY FIGHTING NETWORK

United Way of the Southern Tier

Attachment 4: Response to Section 10.1 – Proposed Quarterly Monitoring Schedule and Dates of Last Comprehensive Organization Review and Evaluation (CORE) or Triennial Review for Accountability and Compliance with Standards (TRACS)

Proposed Quarterly Monitoring Schedule		
CSBG Eligible Entity	***Review Type***	***Target Dates***
Albany County Opportunity, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Allegany County Community Opportunities and Rural Development, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Opportunities for Broome, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Cattaraugus Community Action, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Cayuga/Seneca Community Action Agency, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Chautauqua Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Economic Opportunity Program, Inc. of Chemung County	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Opportunities for Chenango, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Columbia Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Cortland County Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Delaware Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Dutchess County Community Action Agency, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action Organization of Erie County, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Adirondack Community Action Programs, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Fulmont Community Action Agency, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action of Greene County, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action Planning Council of Jefferson County, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Lewis County Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Livingston County Board of Supervisors (Community Initiatives Council)	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action Program for Madison County, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Action for a Better Community, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Economic Opportunity Commission of Nassau County, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Niagara Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4

New York City Department of Youth and Community Development	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Mohawk Valley Community Action Agency, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
People's Equal Action and Community Effort, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Regional Economic Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action of Orleans and Genesee, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Oswego County Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Opportunities for Otsego, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
PathStone Corporation	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Saratoga County Economic Opportunity Council, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Schenectady Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Schoharie County Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Pro Action of Steuben and Yates, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
St. Lawrence County Community Development Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Economic Opportunity Council of Suffolk, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Community Action Commission to Help the Economy, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Tioga Opportunities, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Tompkins Community Action, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Ulster County Community Action Committee, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Washington County Economic Opportunity Council, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Wayne County Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Westchester Community Opportunity Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Wyoming County Community Action, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4
Yonkers Community Action Program, Inc.	Quarterly Monitoring	FFY 1 Q1-Q4 and FFY 2 Q1-Q4

Dates of Last Triennial Onsite Assessment - Comprehensive Organization Review and Evaluation (CORE)/ Triennial Review for Accountability and Compliance with Standards (TRACS)			
CSBG Eligible Entity	***Review Type***	***Target Date***	***Date of Last Full Onsite Review***
Albany County Opportunity, Inc.	Triennial	11/2017	11/18/2014

Allegany County Community Opportunities and Rural Development, Inc.	Triennial	6/2018	6/3/2015
Opportunities for Broome, Inc.	Triennial	6/2018	6/2/2015
Cattaraugus Community Action, Inc.	Triennial	7/2018	7/20/15
Cayuga/Seneca Community Action Agency, Inc.	Triennial	2/2016	2/5/2013
Chautauqua Opportunities, Inc.	Triennial	7/2018	7/20/2015
Economic Opportunity Program, Inc. of Chemung County	Triennial	10/2016	10/22/2013
Opportunities for Chenango, Inc.	Triennial	1/2017	1/7/2014
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Triennial	6/2016	6/25/2013
Columbia Opportunities, Inc.	Triennial	4/2016	4/9/2013
Cortland County Community Action Program, Inc.	Triennial	7/2016	7/16/2013
Delaware Opportunities, Inc.	Triennial	5/2016	5/7/2013
Dutchess County Community Action Agency, Inc.	Triennial	1/2017	1/14/2014
Community Action Organization of Erie County, Inc.	Triennial	4/2017	4/8/2014
Adirondack Community Action Programs, Inc.	Triennial	4/2018	4/7/2015
Fulmont Community Action Agency, Inc.	Triennial	5/2018	5/12/2015
Community Action of Greene County, Inc.	Triennial	10/2015	10/23/2012
Community Action Planning Council of Jefferson County, Inc.	Triennial	5/2016	5/21/2013
Lewis County Opportunities, Inc.	Triennial	4/2018	4/15/2015
Livingston County Board of Supervisors (Community Initiatives Council)	Triennial	8/2016	8/13/2013
Community Action Program for Madison County, Inc.	Triennial	10/2017	10/21/2014
Action for a Better Community, Inc.	Triennial	6/2017	6/3/2014
Economic Opportunity Commission of Nassau County, Inc.	Triennial	9/2017	9/30/2014
Niagara Community Action Program, Inc.	Triennial	3/2016	3/19/2013
New York City Department of Youth and Community Development	Triennial	5/2017	5/6/2014
Mohawk Valley Community Action Agency, Inc.	Triennial	7/2016	7/30/2013
People's Equal Action and Community Effort, Inc.	Triennial	9/2017	9/9/2014
Regional Economic Community Action Program, Inc.	Triennial	8/2017	8/12/2014
Community Action of Orleans and Genesee, Inc.	Triennial	4/2016	4/16/2013
Oswego County Opportunities, Inc.	Triennial	6/2016	6/11/2013
Opportunities for Otsego, Inc.	Triennial	3/2018	3/10/2015
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Triennial	9/2016	9/10/2013
PathStone Corporation	Triennial	1/2016	1/15/2013
Saratoga County Economic Opportunity Council, Inc.	Triennial	10/2015	10/16/2012
Schenectady Community Action Program, Inc.	Triennial	6/2017	6/24/2014
Schoharie County Community Action Program, Inc.	Triennial	2/2016	2/19/2013
Pro Action of Steuben and Yates, Inc.	Triennial	9/2015	9/25/2012
St. Lawrence County Community Development Program, Inc.	Triennial	4/2018	4/13/2015
Economic Opportunity Council of Suffolk, Inc.	Triennial	5/2018	5/12/2015
Community Action Commission to Help the Economy, Inc.	Triennial	4/2018	4/23/2015
Tioga Opportunities, Inc.	Triennial	4/2017	4/22/2014
Tompkins Community Action, Inc.	Triennial	9/2016	9/17/2013
Ulster County Community Action Committee, Inc.	Triennial	10/2017	10/7/2014
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Triennial	3/2016	3/5/2013
Washington County Economic Opportunity Council, Inc.	Triennial	9/2015	9/11/2012
Wayne County Action Program, Inc.	Triennial	10/2016	10/8/2013
Westchester Community Opportunity Program, Inc.	Triennial	2/2017	2/11/2014
Wyoming County Community Action, Inc.	Triennial	6/2018	6/1/2015
Yonkers Community Action Program, Inc.	Triennial	9/2017	9/16/2014

Attachment 5: Response to Section 10.2 – Program and Fiscal Monitoring Process Guideline REV 2015 (insert link to updated guide dated January 2016 (must update guide on DOS website first)

[Right Click on "Program and Fiscal Monitoring Process and Guidelines" to Open Attachment]

NEW YORK STATE OF OPPORTUNITY | Department of State

Community Services Block Grant

Program and Fiscal Monitoring Process And Guidelines

Effective Date: October 1, 2015

REVISED TO COMPLY WITH NEW STATE ACCOUNTABILITY MEASURES

One Commerce Plaza
99 Washington Avenue, Suite 1020
Albany, NY 12231
Telephone: 518-474-5741
Fax: 518-486-4663
Website: www.dos.state.ny.us

July 29, 2015

See Attachment 6: Response to Section 13.1 – Excerpt from Attachment D, page 6 of 7, of the State CSBG Contract with Eligible Entities (requiring the use of ROMA by all grantees).

documented as expended upon termination of the FFY 2015 budget period, the balance due to the Contractor will be carried forward subject, however, to the provisions of section 675C(a)(3) of the federal CSBG Act.

b. The Unaudited Financial Statements and Audit will be the final project budget documents from which preliminary and final determinations of allowable costs will be made.

1.02 Payment Office

a. Vouchers, Audits, unaudited financial statements, and periodic financial reports shall be submitted to the Contract Administration Unit (CAU), Department of State, 99 Washington Avenue, Albany, NY 12231. The Department shall notify the Contractor within 15 days if its voucher contains any claim for payment that is incomplete or contains a claim for any payment that is not in compliance with this Agreement, and the Contractor shall take corrective action in a timely manner.

b. Refunding Applications, Contract Amendments, Budget Amendments, and Program Progress Reports shall be submitted to the assigned program analyst or as directed by written correspondence.

1.03 Program Reports

In accordance with PL. 105-285, Section 678E, all eligible entities are required to participate in a performance measurement system in a form and manner as directed by the Department. All CSBG Contractors and Delegate Agencies in New York State will participate in the Result-Oriented Management and Accountability (ROMA) system approved by the US Department of Health and Human Services, Office of Community Services.

a. Program Progress Reports (PPR): Each Contractor shall prepare and submit four PPRs documenting progress toward achieving the milestones as stated in the approved Work Plan. The PPRs are due with the Contractor's submission of documents for the following: (1) Second payment; (2) Third payment; (3) Fourth payment; and (4) the earlier of: (a) the end of the Term of this Agreement, or (b expenditure of all the funds provided pursuant to this Agreement. Where applicable, the PPRs must include reports of Delegate Agencies. Notwithstanding the foregoing, in addition to the four PPRs required above, Contractor agrees that it shall submit supplemental and additional PPRs upon request of the Division of Community Services during the Term of this Agreement. Such supplemental or additional PPRs shall be submitted in a timely fashion and in the form and manner as required by the Division of Community Services.

b. Annual Report: Each Contractor shall annually prepare and submit to the Department a comprehensive report. The report must include the following:

- comparison of planned uses of CSBG funds and the actual uses of the funds
- accounting of the use of CSBG funds for administrative costs
- accounting of CSBG funds used for direct delivery of services to low-income persons
- the numbers, characteristics and demographics of all persons served
- a summary of the outcomes and results achieved in accordance with the purposes, goals and assurances of CSBG and ROMA
- National Performance Indicators
- listing of all resources leveraged

The Annual Report shall be prepared on forms provided by the Department in the format requested by the Department, and must be submitted by November 1st each year.

Attachment 7: Response to Section 14.1a – Activities Targeting Seven Programmatic Purposes

i. **Self-sufficiency**: 46 eligible entities have embraced the family development model as a method to assist individuals and families to establish personal goals and timelines to address the barriers that have prevented them from becoming self- sufficient. In past years approximately $11,800,000 in CSBG funding was used for this purpose. That level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

ii. **Employment**: 42 eligible entities are providing services ranging from on the job training, job skills training, job development and placement, as well as support services to ensure successful employment outcomes. These include but are not limited to providing childcare, transportation, and work supplies/equipment. Over $8,552,700 in 2014 CSBG funds was allocated for these purposes. A similar level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

iii. **Education**: 39 eligible entities provide a variety of educational programs for customers of all ages. This includes Head Start, Early Head Start, Afterschool tutoring, GED, Adult Basic Literacy, ESOL, and Financial Literacy. Over $11,835,700 in 2014 CSBG funds was allocated for these purposes. That level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

iv. **Use of income**: 36 eligible entities offer financial literacy skills training, volunteer income tax assistance, food buying co-ops, commodities distribution, and holiday projects, to name a few. Over $1,055,000 in 2014 CSBG funds was allocated for these purposes. That level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

v. **Housing**: 40 eligible entities offer housing assistance including but not limited to shelter for targeted populations (DV, homeless, runaway teen), rehabilitation of existing units, development of new housing, rental subsidies, and weatherization. Over $4,306,800 in 2014 CSBG funds was allocated for these purposes. A similar level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

vi. **Emergency assistance**: 43 eligible entities offer emergency assistance, most notably food and clothing but also assistance with medication or health care, utility payments, first month rent and security deposit, temporary shelter, and disaster recovery. Over $3,690,000 in 2014 CSBG funds was allocated for these purposes. That level of annual fund use is expected to continue in Federal Fiscal Years 2016 and 2017.

vii. **Community participation, including documenting best practices and engaging law enforcement agencies**: As part of its work funded through DOS, the NYSCAA Board of Directors has established a committee devoted to identifying best practices among its CAA membership. In addition, DOS program analysts will identify best practices during routine monitoring and during the comprehensive triennial assessment of grantees and share this information with their colleagues during staff meetings and with other grantees during site visits.

Attachment 8: Supplemental Response to Section 14.11 – CSBG Contract Work Plan insert 2017 work plan

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-1a 2015 Needs Assessment

Contractor				**FFY**	**2015**
Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	

42 U.S.C. 9901 et seq., Section 676, (b), (11) states that ". . . the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community 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;"

In compliance with the above, please provide the information below:

1. Date of most recent needs assessment:

2. Describe the process used to conduct the assessment (include the involvement of low-income persons, the community served, agency staff, and the board of directors):

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-1b 2015 Demonstrated Community Needs and Programs and Services to Address the Needs

Contractor	**0**	**FFY**	**2015**

Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	**0**

Below, summarize the greatest needs of the community (and each sub-community*) served, as demonstrated by the most recent community needs assessment:

1. Name of Community Served:

Greatest Demonstrated Need(s):		Programs/Services that help address the need	
A.		A.	
B.		B.	
C.		C.	
D.		D.	
E.		E.	
F.		F.	
G.		G.	
H.		H.	
I.		I.	
J.		J.	

ADD ADDITIONAL LINES AS NEEDED IN ORDER TO INCLUDE ALL PROGRAMS OPERATED BY THE AGENCY

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-1b 2015 Demonstrated Community Needs and Programs and Services to Address the Needs (continued)

Contractor	**0**	**FFY**	**2015**

Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	**0**

Below, summarize the greatest needs of the sub-community* served, as demonstrated by the most recent community needs assessment:

2-a. Name of Sub-Community Served (where applicable):

Greatest Demonstrated Need(s):		Programs/Services that help address the need	
A.		A.	
B.		B.	
C.		C.	

2-b. Name of Sub-Community Served (where applicable):

Greatest Demonstrated Need(s):		Programs/Services that help address the need	
A.		A.	
B.		B.	
C.		C.	

2-c. Name of Sub-Community Served (where applicable):

Greatest Demonstrated Need(s):		Programs/Services that help address the need	
A.		A.	
B.		B.	
C.		C.	

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-1c 2015 Strategic Plan Goals and Objectives

Contractor	**0**	**FFY**	**2015**
Budget Period	**10/1/14 to 9/30/15**	**Contract #**	**0**

Time frame of the current Strategic Plan:	

Briefly list the major goal and corresponding objectives contained in the plan that drive capacity building activities.

Goal:	

Objectives:

a)

b)

c)

d)

Goal:	

Objectives:

a)

b)

c)

d)

ADD ADDITIONAL LINES AS NEEDED

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-1c 2015 Strategic Plan Goals and Objectives (continued)

Contractor	**0**	**FFY**	**2015**

Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	**0**

Goal:

Objectives:

a)

b)

c)

d)

Goal:

Objectives:

a)

b)

c)

d)

ADD ADDITIONAL LINES AS NEEDED

Attachment 8: (continued insert 2017 work plan)

Check one:					
Work Plan ☐	Plan Amendment ☐	**ATTACHMENT C**		Page 1	of
PPR #1 ☐	PPR #3 ☐	COMMUNITY SERVICES BLOCK GRANT			
PPR #2 ☐	PPR #4 ☐	**C-2a 2015 Work Plan and Program Progress Report (PPR)**		**FFY**	**2015**
			Budget Period	**10/1/14-9/30/15**	
		Contractor **0**	**Contract #**	**0**	

Agency needs identified in the needs assessment or strategic plan as summarized on C1b and C1c will form the basis for capacity building activities.

AGENCY CAPACITY BUILDING

Interventions Briefly describe the activities that will address the agency need or strategic plan objective:	**Benchmarks** List the expected outcome of the capacity building activity	**NPI(s)**	**Method(s) of Measurement/Verification** Briefly describe the tool or process to be used to verify progress on the outcome	**Annual Projected**	**ACTUAL PROGRAM PROGRESS**				
					PPR #1 Achieved	PPR #2 Achieved	PPR #3 Achieved	PPR #4 Achieved	YTD Total
									0
									0
									0
									0
									0
									0
									0

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Attachment 8: (continued insert 2017 work plan)

Check one:					
Work Plan ☐	Plan Amendment ☐	**ATTACHMENT C**		Page ____	of ____
PPR #1 ☐	PPR #3 ☐	COMMUNITY SERVICES BLOCK GRANT			
PPR #2 ☐	PPR #4 ☐	**C-2b 2015 Work Plan and Program Progress Report (PPR)**		**FFY**	**2015**
				Budget Period	**10/1/14-9/30/15**
		Contractor	**0**	**Contract #**	**0**

Agency needs identified in the needs assessment or strategic plan as summarized on C1b and C1c will form the basis for community partnerships.

AGENCY PARTNERSHIPS (Agency-wide Unduplicated Count)

Interventions Briefly describe the activities that will address the agency need or strategic plan objective:	**Benchmarks** List the expected outcome of the capacity building activity	**NPI(s)**	**Method(s) of Measurement/Verification** Briefly describe the tool or process to be used to verify progress on the outcome	**Annual Projected**	**ACTUAL PROGRAM PROGRESS**				
					PPR #1 Achieved	PPR #2 Achieved	PPR #3 Achieved	PPR #4 Achieved	YTD Total
									0
									0
									0
									0
									0
									0
									0

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Attachment 8: (continued insert 2017 work plan)

Check one:					
Work Plan ☐	Plan Amendment ☐	**ATTACHMENT C**		Page ____	of ____
PPR #1 ☐	PPR #3 ☐	COMMUNITY SERVICES BLOCK GRANT			
PPR #2 ☐	PPR #4 ☐	**C-2c 2015 Work Plan and Program Progress Report (PPR)**		**FFY**	**2015**
				Budget Period	**10/1/14-9/30/15**
		Contractor	**0**	**Contract #**	**0**

Description of Need (Customer, Community, Agency) Briefly identify the need that documents the reason for the programs/ services/milestones and outcomes listed below (Corresponds to the needs/strategic objectives identified in C1b or C1c):	
Program that addresses the need described above:	

Interventions Briefly describe the services, activities, and advocacy that will address the need and achieve the outcome:	**Benchmarks or Milestones and Outcomes** List the projected baseline number of customers to be enrolled (if applicable) and the expected benchmarks or milestones and outcomes to be achieved for the service or activity (Funnel). When possible, describe the outcome using language from the NPIs:	**NPI(s)**	**Method(s) of Measurement/Verification** Identify the tool or process to be used to verify progress on the outcome or milestone:	**Annual Projected**	**ACTUAL PROGRAM PROGRESS**				
					PPR #1 Achieved	PPR #2 Achieved	PPR #3 Achieved	PPR #4 Achieved	YTD Total
									0
									0
									0
									0
									0
									0

(continue on next page, if necessary)

Attachment 8: (continued insert 2017 work plan)

Check one:				ATTACHMENT C	Page		of	
PPR #1		PPR #3		COMMUNITY SERVICES BLOCK GRANT				
PPR #2		PPR #4		**C-2d 2015 Program Progress Report (PPR) Narrative**				

Contractor	**0**			**FFY**	**2015**
Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	**0**

Program(s):		NPI(s) affected:

1. Describe progress and/or challenges during reporting period in implementing the program(s):

2. Describe corrective measures undertaken to address challenges experienced during this period. (Please indicate by whom and when.)

Program(s):		NPI(s) affected:

1. Describe progress and/or challenges during reporting period in implementing the program(s):

2. Describe corrective measures undertaken to address challenges experienced during this period. (Please indicate by whom and when.)

Program(s):		NPI(s) affected:

1. Describe progress and/or challenges during reporting period in implementing the program(s):

2. Describe corrective measures undertaken to address challenges experienced during this period. (Please indicate by whom and when.)

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Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C Page 1 of

COMMUNITY SERVICES BLOCK GRANT

C-3a 2015 Summary of Work Plan and Attachments

Contractor **0** **FFY** **2015**

Budget Period **10/1/14** to **9/30/15** **Contract #** **0**

Summary of Work Plan pages and related attachments:

Work Plan Page #	Demonstrated Need	Program Priority/ Program Name(s)	Primary ROMA Goal Corresponds to C-1a and C-1b	Individual/ Family (F) Community (C) Agency (A)	FFY 2015 CSBG Funds	FFY 2014 Unexpended CSBG Funds	Local Share Cash	Local Share In-Kind	Other Cash Resources
1	Strategic Plan (refer to Attachment C-1c)	Agency Capacity Building		A	$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
					$	$	$	$	$
				TOTAL	**$ 0**	**$ 0**	**$ 0**	**$ 0**	**$ 0**

(continue on next page, if necessary)

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-3b 2015 CSBG Work Plan

Planned Use of CSBG Funds by Contractor

Contractor	**0**	**FFY**	**2015**

Budget Period	**10/1/14**	To	**9/30/15**	**Contract #**	**0**

1.	Total CSBG FFY 2015 Allocation	$	
2.	Total CSBG Unexpended FFY 2014 Allocation	$	
3.	Total CSBG funds available during FFY 2015	$	

4. For each National Goal, enter the amount of CSBG funds used (excluding administrative funds):

A		B	C
National Goals		FFY 2015 CSBG Funds	Unexpended FFY 2014 CSBG Funds
Low-Income People Become More Self-Sufficient	**(Goal 1)**	$	$
The Conditions In Which Low-Income People Live Are Improved	**(Goal 2)**	$	$
Low-Income People Own A Stake In Their Community	**(Goal 3)**	$	$
Partnerships Among Supporters And Providers Of Services To Low-Income People Are Achieved	**(Goal 4)**	$	$
Agencies Increase Their Capacity To Achieve Results	**(Goal 5)**	$	$
Low-Income People, Especially Vulnerable Populations, Achieve Their Potential By Strengthening Family And Other Supportive Systems	**(Goal 6)**	$	$

		FFY 2015 CSBG Funds	Unexpended FFY 2014 CSBG Funds
5.	Total funds direct charged for administration	$	$
6.	Funds grantee approved indirect cost rate or admin. cost rate (same as Attachment B-1, Line 6)	$	$
7.	Funds awarded to Delegate Agencies	$	$

If CSBG spending on administrative costs will exceed 15% of CSBG funds, please explain:

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-3c 2015 CSBG Work Plan

Summary of Planned Use of CSBG Funds by Delegate Agencies

Contractor **0** **FFY** **2015**

Budget Period **10/1/14** To **9/30/15** **Contract #** **0**

Total Number of Delegate Agencies _____

1. Total CSBG FFY 2015 Allocation to Delegate Agencies $ _____

2. Total CSBG Unexpended FFY 2014 Allocation to Delegate Agencies $ _____

3. For each National Goal (Column A), enter the aggregate amount of CSBG funds to be used (Column B and Column C) by Delegate Agencies (excluding administrative funds):

A		B	C
National Goals		FFY 2015 CSBG Funds	Unexpended FFY 2014 CSBG Funds
Low-Income People Become More Self-Sufficient	**(Goal 1)**	$	$
The Conditions In Which Low-Income People Live Are Improved	**(Goal 2)**	$	$
Low-Income People Own A Stake In Their Community	**(Goal 3)**	$	$
Partnerships Among Supporters And Providers Of Services To Low-Income People Are Achieved	**(Goal 4)**	$	$
Agencies Increase Their Capacity To Achieve Results	**(Goal 5)**	$	$
Low-Income People, Especially Vulnerable Populations, Achieve Their Potential By Strengthening Family And Other Supportive Systems	**(Goal 6)**	$	$

	FFY 2015 CSBG Funds	Unexpended FFY 2014 CSBG Funds
4. Total funds used for administration by Delegate Agencies	$ _____	$ _____
5. Average percentage of CSBG funds used for administration by Delegate Agencies	_____ %	_____ %

If CSBG spending on administrative costs will exceed 15% of CSBG funds, please explain:

Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-4a 2015 Community Partnerships

Contractor	**0**			**FFY**	**2015**
Budget Period	**10/1/14**	**to**	**9/30/15**	**Contract #**	**0**

42 U.S.C. 9901 et seq., Section 676, (b), (9) states 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;"

Describe the role of other groups, associations, and organizations in the provision of services and activities:

Name and Type of Organization:

Description of Involvement:

Name and Type of Organization:

Description of Involvement:

Name and Type of Organization:

Description of Involvement:

Name and Type of Organization:

Description of Involvement:

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Attachment 8: (continued insert 2017 work plan)

ATTACHMENT C

COMMUNITY SERVICES BLOCK GRANT

C-4b 2015 Community Partnerships (continued)

Contractor	**0**				**FFY**	**2015**
Budget Period	**10/1/14**	**to**	**9/30/15**		**Contract #**	**0**

42 U.S.C. 9901 et seq., Section 676, (b), (5) states that ". . . the State and the 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 to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998;"

Describe linkages with workforce investment:

Describe other linkages (optional):