

proporcionado previamente a la entidad la asistencia técnica u otros recursos para facilitar el cumplimiento o desempeño esperado serán atendidas mediante una reunión formal con el/la Director/a Ejecutivo/a de la entidad y de tratarse de un incumplimiento repetitivo, se incluirá al Director de la Junta de Directores.

- a. El/la Especialista y el/la Director/a de CSBG presentarán la evidencia sobre los incumplimientos, la asistencia técnica, minutas de reuniones sostenidas con el personal en la entidad a cargo de corregir la deficiencia, llamadas telefónicas y de otros esfuerzos realizados con el propósito de ayudar a la entidad a desarrollar la capacidad administrativa. Igualmente, se presentará evidencia de los esfuerzos concretos realizados por la entidad para cumplir.
  - b. Se tomarán acuerdos sobre las acciones a tomar para corregir cada una de las deficiencias identificadas, se identificarán las personas responsables y los términos de tiempo dentro del cual se corregirán las deficiencias.
  - c. A discreción de la ADFAN, se podrá realizar una evaluación del componente/s organizacional de la entidad donde se está produciendo la deficiencia continua para aclarar, con mayor profundidad, la causa sistémica de la misma.
- c. Las deficiencias que consistan de informes fraudulentos, de uso fraudulento de fondos u otra evidencia de conducta, que de procesarse por la vía criminal, constituiría delito estarán sujetas a los procedimientos establecidos para "Designación

como Entidad en Riesgo de Fondos o de Terminación de Fondos y de Designación como Entidad Elegible”.

**106. ASISTENCIA TÉCNICA SOBRE EL USO Y MANEJO DE LOS FONDOS DELEGADOS A LAS ENTIDADES ELEGIBLES** [Ley Pública 105-285, sección 678<sup>a</sup>, 678B]

La asistencia técnica es un proceso comprensivo que es continuo y estructurado. Este incluye actividades de monitoreo, de consultoría, apoyo y supervisión de otros procesos. El objetivo primordial de la misma es el desarrollo de la capacidad de las entidades en el uso y manejo de los fondos delegados para combatir la pobreza en Puerto Rico.

Al igual que en las monitorías “en sitio”, esta asistencia técnica deberá cubrir todos los componentes organizacionales que inciden en el logro de ese objetivo programático. Este desarrollo de capacidad incluye actividades dirigidas a resolver hallazgos de monitorías y de auditorías. También incluye actividades dirigidas a corregir deficiencias para prevenir la designación de “Entidad en Riesgo” o la “Decisión de Reducción o Terminación de Fondos”<sup>58</sup>. La asistencia técnica de/la Especialista en Evaluación de Programas se podrá complementar con el ofrecimiento de adiestramiento por personal especializado de la ADFAN en el área de Finanzas, Presupuesto, Recursos Humanos u otros. Además, se puede coordinar la asistencia técnica y el adiestramiento por OCS y la NASCSP, y de otros consultores disponibles.

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<sup>58</sup> Referencia: “A Self-Assessment Tool for State CSBG Offices”, NASCSP, pag.11.

## 106.1 ESTÁNDARES SOBRE EL PLAN DE ASISTENCIA TÉCNICA

1. El/la Especialista en Evaluación de Programas llevará a cabo la asistencia técnica de manera estructurada.
2. Preparará, por cada entidad, un Plan de Trabajo Semestral.
3. El Plan es un documento dinámico que responde a necesidades actuales y reales.
4. El Plan especificará:
  - Las necesidades que se estarán atendiendo por cada entidad. Deberán estar relacionadas a:
    - ⤴ Metas de mejoramiento continuo en los componentes de gobernanza, planificación, evaluación, alianzas, manejo programático y fiscal,
    - ⤴ Planes de acción correctiva,
    - ⤴ Obligaciones contractuales entre la entidad y la ADFAN,
    - ⤴ Otras actividades relacionadas a la revisión, corrección y procesamiento de peticiones de fondos, la encuesta anual ("CSBG Information Survey IS"), el contrato de delegación de fondos, informes programáticos, entre otras.
    - ⤴ Seguimiento al cumplimiento con los estándares organizacionales.
  - las actividades o estrategias que se llevarán a cabo para obtener los resultados específicos en cada objetivo;
  - la frecuencia o márgenes de tiempo en los cuales se lograrán los objetivos:
5. El/la Especialista en Evaluación de Programas realizará una **visita en sitio al mes, por cada entidad, (y los proyectos o iniciativas implantadas) para actividades de asistencia técnica. Una de estas visitas consistirá de asistir a una reunión de la Junta de Directores, cada semestre, por cada entidad** para observar el funcionamiento de la misma e intercambiar información.

6. En la provisión y documentación de la asistencia técnica el/la Especialista en Evaluación de Programas producirá informes, cartas, correos electrónicos, avisos o notificaciones, coordinaciones de adiestramientos, planes de mejoramiento programático, documentación de llamadas telefónicas u otras actividades. El/la Especialista asegurará que las copias de estos documentos estén en el expediente de las entidades.
7. El Auditor llevará a cabo su labor de manera estructurada. Preparará el Plan de trabajo, especializando su intervención en asuntos fiscales. Trabjará en coordinación con los/las Especialistas de Evaluación de Programas para intercambiar información y atender los asuntos prioritarios de las entidades.
8. El/la Director/a de CSBG deberá convocar **al menos una reunión semestral** con todas las entidades elegibles para compartir información de interés común, asistencia técnica, adiestramientos, fortalecer el trabajo colaborativo, incluyendo la toma de decisiones que afectan a todas las partes.

## **107. EL EXPEDIENTE DE LA ENTIDAD**

El Programa CSBG deberá mantener un expediente por cada entidad, año fiscal. **Todo** documento que se genere durante el año deberá ser archivado en el expediente del año fiscal correspondiente. La seguridad de éste deberá ser afianzada manteniéndolo en el área designada para los mismos. Personal clerical será responsable del mantenimiento de los expedientes.

### **107.1 ESTÁNDARES EN LA DOCUMENTACIÓN DE LA LABOR REALIZADA**

1. Tanto el/la Especialista, como el Auditor y el/la Director/a de Programa, documentarán, por escrito, **toda** la labor realizada, indicando la fecha, tipo de contacto (visitas en sitio, llamadas telefónicas, visitas del personal de las entidades a la oficina del Programa CSBG, revisión de documentos, reuniones, adiestramientos y otros.), propósito del



contacto, descripción resumida de la labor realizada y resultados obtenidos. Esto incluye conversaciones en encuentros casuales sobre el estado de la entidad o cualquier asunto relacionado.

2. Los contactos o visitas en sitio, deberán ser coordinados previamente. Se le notificará a la entidad, por escrito, el propósito del contacto, documentos que deberán tener disponibles para ser examinados por el/a Especialista, el Auditor u otro funcionario designado por la ADFAN.
3. El/la Especialista en Evaluación de Programas, el Auditor y el/la Director/a de CSBG documentarán toda actividad realizada durante el mes mediante un Informe.
4. La descripción de la labor realizada deberá consistir de información, suficiente y pertinente, para poder evidenciar el desempeño de la entidad.

#### 107.2 ORGANIZACIÓN DEL EXPEDIENTE DE LA ENTIDAD EN EL PROGRAMA CSBG

Para la organización del expediente se utilizará un cartapacio tamaño legal de ocho secciones. La documentación se organizará como se ilustra en la siguiente tabla.

SECCIÓN	DOCUMENTOS	CODIFICACION DEL FORMULARIO
Sección I- Contrato (Portada Interior)	Contrato	
	Hoja de Evaluación de Costos y Disponibilidad de Fondos (Impacto Presupuestario)	DEFAM-434 (SP 7/07)
Sección II- Carta de Aprobación y Evaluación	Carta Solicitando Distribución Presupuestaria (Entidades Elegibles)	
	Carta a Director/a Ejecutivo/a de la entidad notificando áreas de la propuesta a ser corregidas.	
	Informe de Evaluación de la Propuesta	
	Carta a la entidad notificando aprobación de la propuesta sometida	
	Solicitud de Preparación de Contrato (entidades elegibles)	
	Carta Solicitando Distribución Presupuestaria y anejo (copia del Notice of Grant Award)	
	Solicitud de Reajuste Presupuestario	CSBG-002 (9/93)
	Anejo a la Solicitud de Reajuste Presupuestario	CSBG-002 (9/93)
Detalle de Salarios	Exhibit 1 (6/2007)	

SECCIÓN	DOCUMENTOS	CODIFICACION DEL FORMULARIO
	Detalle de Benefios Marginales	Exhibit 2 (6/2007)
	Detalle de Materiales	Exhibit 3 (6/2007)
	Carta solicitando enmienda al contrato a la División Legal	
Sección III- Correspondencia	Correos Electrónicos, Hoja de Seguimiento	
Sección V- Informes	El Programa mantiene expedientes dos (2) expedientes adicionales, uno de peticiones de fondos e Informes de Asistencia Técnica, Informes trimestrales, Informes de Monitoría y Otros.	
Sección VI- Propuesta Final Aprobada	Copia de la Propuesta y sus anejos	

Nota: se recomienda que,

- se evalúe y se explore posibilidad de organizar a base de los factores sistémicos, gobernanza, fiscal, etc.
- se elimine el Reading file y se archive la documentación de la entidad correspondiente,
- lo que atañe a todas las entidades, sacarle copia y archivarlo en cada uno de los expedientes,
- se cree un expediente separado, por cada entidad, sobre las monitorias realizadas a cada una,
- Cada Especialista en Evaluación de Programas y el auditor debe imprimir toda comunicación que tenga archivada en la computadora, incluyendo correos electrónicos, sobre toda gestión realizada con o sobre las entidades a cargo y las otras tareas relacionadas. Se deberán archivar en el/los expedientes correspondientes.
- Igualmente, los archivos en la computadora que tenía asignada la antigua secretaria del programa se deben examinar, imprimir y archivar los que correspondan en el/los expedientes correspondientes.

## 108. REQUISITOS FISCALES

108.1 **AUDITORIAS SENCILLAS (SINGLE AUDIT)** [Ley Pública 105-285, secciones 676(b)(7); 678D(A)]

El/la Administrador/a Auxiliar deberá asegurar que las cuatro (4) Entidades Elegibles están obligadas a someter anualmente al Programa CSBG/ADFAN, el original de la Auditoría Sencilla ("Single Audit").

Las Entidades entregarán la auditoría en las siguientes fechas:

- Acción Social de Puerto Rico, Inc. y el Instituto Socio Económico Comunitario, Inc., nueve (9) meses después del cierre del año fiscal federal, o sea, en junio del año siguiente.
- Los Municipios de San Juan y Bayamón, nueve (9) meses después del cierre fiscal del Gobierno Estatal, o sea, en marzo del año siguiente.

Procedimientos:

1. El/la Director/a del Programa refiere el "Single Audit" al/la Auditor(a) para la evaluación correspondiente.
2. El/la Auditor(a) somete un informe, por escrito, de evaluación a el/la Director/a del Programa CSBG.
3. La evaluación se somete, por escrito, a la Entidad Elegible por conducto del/la Administrador/a Auxiliar de Servicios de Prevención en la Comunidad. Se solicita el Plan de Acción Correctiva (PAC) en caso de ser necesario.
4. El/la Auditor/a será responsable del seguimiento a la Entidad para la entrega del PAC. Evaluará el mismo y dará seguimiento a la Entidad Elegible para su cumplimiento.
5. Coordinará reuniones para la discusión de los señalamientos, en caso de ser necesario.

## 109. MANEJO DE LOS FONDOS POR LAS ENTIDADES ELEGIBLES

### 109.1 MODIFICACIONES

La ADFAN reconoce que los cambios son un elemento común en el quehacer diario de los individuos, familias y de las organizaciones, públicas y privadas. Sin embargo, cuando los Planes Estratégicos y los Anuales desarrollados responden adecuadamente a las necesidades de los individuos, familias y comunidades a servir, entonces estos cambios deben reducirse a un mínimo. Deben responder a cambios en la política pública emitida por el gobierno federal o estatal o por situaciones causadas por algún evento imprevisto. La estabilidad en el quehacer organizacional depende, entonces, de la congruencia que persista entre el Plan estratégico, anual y el quehacer diario de la organización. Los siguientes requisitos parten de esta premisa.

1. Reajustes al presupuesto, a las actividades/servicios programáticos o a la estructura/método de provisión de servicios deberán tener autorización previa del Programa CSBG de la ADFAN. La entidad no pondrá en vigor ningún cambio hasta que sea aprobado por escrito.
2. La fecha límite para someter cambios en el presupuesto será **en o antes de la tercera semana de junio del año en curso.**
3. Los/las Especialistas en Evaluación de Programas y el/la Director/a del Programa evaluarán las solicitudes sometidas. Discutirán las mismas con representantes de las entidades de ser necesario.
4. El/la Administrador/a Auxiliar someterá la recomendación final al/la Administrador/a, en un término de tiempo no mayor de quince (15) días laborables, a partir de la fecha que la entidad entrega la solicitud a la mano, vía correo postal o electrónico.

5. Del/la Administrador/a, aprobar la/s modificación/es solicitadas y de las mismas tener un impacto presupuestario, el/la Administrador/a Auxiliar informará y solicitará las enmiendas al impacto presupuestario y al contrato que corresponda.

## **109.2 SUB-DELEGACIÓN DE FONDOS**

Las entidades elegibles podrán sub-delegar fondos a otras organizaciones privadas sin fines de lucro debidamente inscritas en el Departamento de Estado de Puerto Rico para cubrir necesidades en comunidades o grupos. Estas organizaciones no deberán estar recibiendo fondos del 5% discrecional de CSBG ni de otra agencia elegible para cubrir esa misma necesidad.

1. La entidad elegible le requerirá una propuesta a la organización en cuestión, previo a la delegación de fondos.
2. La delegación de fondos de la entidad elegible a la organización sin fines de lucro se llevará a cabo mediante contrato.
3. La entidad le informará por escrito al/la Especialista en Evaluación de Programas, a cargo de la entidad, de las delegaciones de fondos que lleve a cabo.
4. La entidad elegible deberá llevar a cabo monitorías relacionadas con esta delegación de fondos y deberá requerir informes a la organización en cuestión para evidenciar el uso dado a los fondos y los resultados obtenidos.
5. Copia de estos informes deberán estar disponibles cuando le sean solicitados.

## **109.3 REFERIDOS A LA ADMINISTRACIÓN PARA EL SUSTENTO DE MENORES (ASUME)** [Sección 678G(b), DRUG AND CHILD SUPPORT SERVICES AND REFERRALS]

Durante cada año fiscal para el cual las entidades elegibles reciben una subvención bajo la sección 675C, las mismas deberán:

- (1) Informar a los padres custodios en familias monoparentales que participan en programas, actividades realizadas, o servicios provistos bajo la ley CSBG sobre la disponibilidad de servicios para el sustento de menores; y
- (2) Referir a los padres elegibles a las oficinas para el sustento de menores gubernamentales (ASUME).

#### **109.4 ESTÁNDARES ORGANIZACIONALES<sup>59</sup>**

Las cuatro (4) Organizaciones están obligadas a cumplir con los Estándares Organizacionales bajo el Programa de Concesión en Bloque para Servicios Comunales, según se establece en el *"Information Memorandum #138"*, del 26 de enero de 2015 emitido por el *"Office Community Services (OCS)"*.

El Estado adoptará, según la recomendación de OCS, los estándares organizacionales descritos que establece 50 para las entidades públicas y 58 para las entidades privadas. Además, estarán obligadas a someter, anualmente, una autoevaluación con relación a los estándares organizacionales. Esta será validada por el personal del Programa. Las Entidades deberán someter la autoevaluación, seis meses después de haber iniciado el año programa, o sea en abril.

#### **110. MONITORÍA Y EVALUACIÓN**

El Programa CSBG, realiza los procesos de monitoría y evaluación, según se dispone en la Sección 678 B de la Ley, donde se establece que los Estados realizarán monitorías a las Entidades Elegibles para determinar si las mismas cumplen con las metas de desempeño, los estándares administrativos, los requisitos de manejo financiero, entre otros.

Conforme a la Ley, el Programa deberá realizar lo siguiente:

- I. Una evaluación completa del funcionamiento operacional de la Entidad cada tres (3) años.

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<sup>59</sup> IM 138 State Establishment of Organizational Standards for CSBG Eligible Entities

2. Una evaluación del funcionamiento de Entidades recién designadas, inmediatamente después de completar el primer año de haber recibido los fondos CSBG.
3. Monitorías de seguimiento, incluyendo visitas inmediatas a Entidades Elegibles y sus programas que hayan fallado en cumplir con las metas, los estándares, y los requisitos establecidos por el Estado.
4. Otras evaluaciones, según apropiado, a Entidades con programas que hayan sido subvencionadas por otros fondos federales, estatales o locales y que hayan sido terminados por causa.

#### **110.1. PRINCIPIOS GUIAS**

Según ha desarrollado la "National Association for State Community Services Programs" (NASCSPP), los procesos de monitoría estarán basados en los siguientes requisitos para los principios y prácticas:

1. Respeto mutuo.
2. Comunicación abierta.
3. Solución de problemas de manera conjunta.

#### **110.2. PRÁCTICAS DE MONITORÍA**

1. El personal a cargo del proceso de monitoría debe mirar más allá en el cumplimiento con las regulaciones del Programa. El personal debe obtener una visión sistémica de cada Entidad, una impresión sobre la calidad de la prestación de los servicios y de las operaciones de los programas ofrecidos a través de la organización.
2. El personal a cargo de la monitoría debe evaluar la efectividad de la Junta de Directores.
3. El personal a cargo de la monitoría debe evaluar la capacidad administrativa y de liderazgo de la Entidad, en lo concerniente al logro de las metas de la Junta de Directores.
4. Los procesos de monitoría a las Agencias son parte de un proceso para fortalecer a las Entidades y a la red completa de Acción Comunal.

5. La agencia estatal debe tener establecido un sistema para documentar e informar los hallazgos y/o deficiencias a las Entidades.
6. La agencia estatal debe tener establecido un sistema para proveer adiestramientos y asistencia técnica cuando sea necesario.

### 110.3. ÁREAS DE LA MONITORÍA

Las áreas a considerar en los procesos de monitoría según establecidas en el documento "NASCSPS Standard Monitoring Principles and Practices for CSBG", de julio de 2005, incluyen, pero sin limitarse a las(os):

1. Gobernanza
  - a. Junta de Directores, composición, estatutos, asistencia, minutas, actas, adiestramientos, conocimiento de sus roles y responsabilidades.
2. Planificación
  - a. Misión, visión y valores de la Entidad.
  - b. Planificación estratégica, evaluación y estudio de necesidad (no de más de tres años y revisado anualmente).
3. Evaluación
  - a. Implantación y uso del sistema ROMA (Junta de Directores y el personal).
  - b. Medidas de resultados y ejecución.
  - c. Informes sometidos a la agencia estatal y a la Junta de Directores.
4. Alianzas
  - a. Coordinaciones con otros proveedores de servicio.
  - b. Establecer acuerdos con socios relevantes.
5. Sistemas y procedimientos administrativos
  - a. Políticas de personal y recursos humanos.
  - b. Manejo y examen de expedientes.
  - c. Elegibilidad de los participantes.
  - d. Cumplimiento con las garantías (Assurances).



- e. Solución de conflictos y procedimientos de querellas.
  - f. Planificación e implantación de la tecnología.
6. Procedimientos fiscales
- a. Presupuesto.
  - b. Restricciones en el uso de los fondos.
  - c. Compra de equipo y materiales.
  - d. Inventario.
  - e. Sistema de controles internos.

#### 110.4. METODOLOGÍA

Las monitorías estarán a cargo, pero sin limitarse a,

- Los/las Especialistas en Evaluación de Programas
- Auditor del Programa

El/la Especialista a cargo, de cada Entidad, será el/la líder del equipo evaluador. Este será organizado de acuerdo a las áreas a monitorear. Los pasos a seguir son los siguientes:

- Antes de la visita a la Entidad:
  - ✓ Revisión de escritorio.
    - Ley CSBG, políticas y reglamentación aplicable.
    - Contrato de delegación de fondos.
    - Manuales de los Programas de la Entidad Elegible.
    - Procedimiento de monitoría y evaluación.
    - Sistema de información gerencial (ROMA), Informes Trimestrales y el Anual de Resultados.
    - Encuesta Anual CSBG (Survey IS).
    - Plan de Trabajo y Evaluación (Modelo lógico).
    - Informe de monitorías y auditorías recientes.
    - "Outcome Results System" (ORS).
  - ✓ Coordinar y calendarizar visitas.
  - ✓ Revisión de instrumentos de evaluación.

- ✓ Diseño de guías y/o cuestionarios.
  - ✓ Otras
- Durante la visita.
  - ✓ Conducir la conferencia de entrada: compartir propósitos y plan de monitoría y evaluación (acuerdo sobre los objetivos) e itinerario de visitas con la organización.
  - ✓ Acceso a los controles internos: políticas, normas y procedimientos de la Entidad.
  - ✓ Revisar y verificar documentos de los programas/ proyectos: expedientes de personal, participantes, etc.
  - ✓ Visita a los programas.
  - ✓ Recogido y análisis de datos: de las entrevistas al personal, participantes, directores, etc.
  - ✓ Otras
- Luego de la visita:
  - ✓ Evaluación y cotejo de información.
  - ✓ Documentar la evaluación y el análisis.
  - ✓ Preparar borrador de informe de resultados para discutirlo con el/la Administrador/a Auxiliar de Servicios de Prevención en la Comunidad y el/la Director(a) del Programa.
  - ✓ Coordinar conferencia de salida para discutir el borrador de informe y solicitar el Plan de Acción Correctiva (PAC).
  - ✓ Proveer el informe final incorporando el insumo provisto.
  - ✓ Elaborar el Plan de Seguimiento por parte del/la Especialista y el Auditor. Estos serán los responsables de dar seguimiento para asegurar el cumplimiento del PAC.

## 110.5. EXPEDIENTES DE PERSONAL

El Programa CSBG requiere que las Entidades Elegibles mantengan expedientes individuales de todos los empleados de la organización con los siguientes documentos:

1. Solicitud de Empleo
2. Resumé
3. Certificado académico y/o preparación académica (diploma y/o transcripción de crédito)
4. Copia del Certificado de Nacimiento
5. Certificado de Antecedentes Penales
6. Certificación Personas Convictas por Delitos Sexuales y Abuso Contra Menores de Puerto Rico, según lo dispone la Ley 266
7. Certificación de Cumplimiento de Asume
8. Certificación de Deuda del Departamento de Hacienda
9. Certificación de Radicación de Planilla por cinco años consecutivos
10. Certificación del Centro de Recaudaciones Municipales (CRIM)
11. Nombramiento y/o Contrato
12. Evidencia de Licencia para ejercer la profesión (en los casos que aplique)
13. Descripción del Puesto
14. Copia de Tarjeta de Identificación con Foto (si aplica)
15. Autorización de Depósito Directo (si aplica)
16. Certificado de Salud
17. Seguro Social (últimos cuatro dígitos)
18. Certificación de recibo del Manual de Empleados
19. Certificación de recibo de las Políticas Institucionales (en las que se incluyen los derechos y obligaciones que existen bajo la Ley de Hostigamiento Sexual, "American Disability Act" (ADA) y la "Drug Free Work Place Act," "LGBTQ Accesibility Policy")
20. Evaluaciones
21. Copia de los Adiestramientos ofrecidos

## 22. Otros

### Procedimientos:

1. Las Entidades se asegurarán de cumplir con las instrucciones emitidas por el Programa y de mantener actualizados los expedientes.
2. El personal a cargo del proceso de monitoreo y evaluación a través de la revisión de expedientes y visitas velarán por su cumplimiento. De encontrar incumplimiento deberán informarlo por escrito, al Director(a) del Programa.
3. El/la Especialista a cargo, en unión a el/la Director/a del Programa llevarán a cabo reuniones con la Entidad para el desarrollo de Planes Correctivos.
4. El personal a cargo de la monitoría dará seguimiento.

### 110.6 EXPEDIENTES DE PARTICIPANTES

El Programa CSBG requiere que los proyectos que desarrollan las Entidades Elegibles (fondos restringidos) mantengan expedientes individuales de los participantes con los siguientes documentos:

- ✓ Solicitud del Servicio
- ✓ Nombramiento
- ✓ Composición Familiar
- ✓ Evidencia de ingreso anual
- ✓ Seguro Social (últimos cuatro (4) dígitos)
- ✓ Copia del Certificado de Nacimiento
- ✓ Certificado de Salud (original)
- ✓ Certificado de Antecedentes Penales
- ✓ Evidencia de residencia
- ✓ Evidencia de ayudas del Gobierno
- ✓ Evidencia del servicio recibido
- ✓ Hoja de progreso o seguimiento
- ✓ Hoja de Evaluación
- ✓ Hoja de Baja

✓ Otros

Procedimientos:

- Las Entidades Elegibles se asegurarán de cumplir con las instrucciones emitidas por el Programa.
- Los/las Especialistas del Programa darán asistencia técnica a las Entidades.
- El personal a cargo del proceso de monitoreo y evaluación a través de la revisión de expedientes y visitas velarán por su cumplimiento. De encontrar incumplimiento deberán informarlo por escrito, a/la Director(a) del Programa.
- El/la Especialista a cargo, en unión a el/la Director/a del Programa llevarán a cabo reuniones con la Entidad en cuestión para el desarrollo de Planes Correctivos.
- El personal a cargo de la monitoría dará seguimiento.

#### 110.7 INVENTARIO

El Programa requiere a las Entidades Elegibles que como parte de sus controles administrativos, se comprometen a mantener un inventario del equipo y materiales adquirido con los fondos CSBG, según lo requiere la reglamentación federal.

El inventario del equipo adquirido con los fondos debe ser actualizado anualmente y sometido como parte del Plan de Acción Comunal/Propuesta.

En la medida que sea práctico y posible y que no afecte la prestación de los servicios todo equipo y producto comprado con los fondos asignados deben ser manufacturados en los Estados Unidos, según la Sección 507 de la Ley Pública 103-333.

Las Entidades vienen obligadas a transferir toda propiedad o equipo adquirido con los fondos CSBG en un término de sesenta (60) días, una vez finalizado el Contrato.

Las Organizaciones podrán permanecer en posesión y uso del equipo solicitando autorización por escrito de la ADFAN, si su uso se relaciona con los servicios autorizados bajo el contrato. Esta autorización debe ser solicitada por escrito por parte de la Entidades antes de que venza el contrato.

Este equipo seguirá siendo propiedad de la ADFAN y las Entidades utilizarán el mismo por el término que se establezca.

Las Entidades deberán contar con un reglamento para la adquisición, control y decomización de la propiedad y equipo adquirido con los fondos CSBG. El mismo debe ser autorizado por la Junta de Directores de la organización y por la ADFAN.

**111. FONDOS DISCRECIONALES** - [Ley Pública 105-285, Sección 675C (b); Sección 676 (b) (2)]

La Administración de Familias y Niños (ADFAN) establecerá anualmente las áreas hacia las cuales se dirigirá la otorgación de los fondos discrecionales. Este proceso estará atemperado y será congruente con las disposiciones contenidas en la Ley CSBG y con las necesidades detectadas en las poblaciones de bajos ingresos económicos del País.

Esta porción de los fondos va dirigida a apoyar iniciativas innovadoras que<sup>60</sup>:

- ☞ representen la *diversidad* de individuos, familias y comunidades que componen la población de bajos ingresos y que, por lo cual, requieren una programación diversa,

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<sup>60</sup> MI 102- "Monitoring Checklist".

- vayan dirigidos a satisfacer las necesidades de *mayor prioridad*,
- responda a la planificación estratégica (Roma): que estén basadas en un estudio de necesidades, se establezcan estándares o metas de desempeño, coordinen con otros programas, evite la duplicidad de servicios y son manejados y evaluados por sus resultados,
- aumenten el *acceso* a servicios disponibles en el área de servicio y que,
- produzcan resultados que se puedan evidenciar.

### 111.1 ACTIVIDADES PERMITIDAS

Para facilitar la lectura, reiteramos<sup>61</sup> en esta sección el uso que deberá dársele a estos fondos. Entre las actividades permitidas se encuentran los siguientes:

- a. Adiestramiento y asistencia técnica a aquellas entidades que lo necesiten;
- b. Coordinación de los programas y los servicios operados por la ADFAN y, a discreción de la Agencia, el coordinar programas y servicios operados a nivel local con los servicios que proveen las entidades elegibles y otras organizaciones financiadas conforme a este subtítulo, que están dirigidos a familias con niños de bajos ingresos.
- c. Apoyo a la coordinación y la comunicación, a nivel isla, entre las entidades elegibles;
- d. Análisis de la distribución de fondos CSBG disponibles, para determinar si dichos fondos se han destinado para impactar las áreas de mayor necesidad.
- e. Apoyo a programas diseñados para el desarrollo de bienes, tales como cuentas de desarrollo individuales;
- f. Apoyo a programas y actividades innovadoras establecidas por las agencias de acción comunitaria u otras organizaciones de base

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<sup>61</sup> Véase sección 101.5 USO DE LOS FONDOS

comunitaria para eliminar la pobreza, promover la autosuficiencia y la revitalización de la comunidad;

- g. Apoyo a actividades dirigidas a aumentar la variedad de servicios u otros propósitos consistentes con los propósitos de la Ley de CSBG.

## **111.2 PROHIBICIONES EN EL USO DE LOS FONDOS DISCRECIONALES**

Se prohíbe el uso de los fondos para:

- cubrir los costos de actividades (incluyendo las administrativas) conducentes a la creación o inicio de una organización privada sin fines de lucro;
- proporcionar servicios legales o gastos de matrícula relacionados a la educación compulsoria (esto no incluye ayuda con costos de matrícula para servicios de tutorías, campamentos, el desarrollo de destrezas, u otros servicios suplementarios o adiestramiento); y
- para suplantar fondos no federales que, en ausencia de fondos Federales, estarían disponibles para compensar una pérdida de ingreso del Estado atribuible a crédito(s) por el impuesto de caridad.

## **111.3 ADJUDICACIÓN DE LOS FONDOS**

### **1. AREAS PRIORITARIAS A SER ATENDIDAS**

La ADFAN establecerá anualmente las áreas prioritarias hacia las cuales se dirigirá la otorgación de estos fondos. Estas decisiones se establecerán conforme a los criterios establecidos arriba, los cuales están basados en la Ley CSBG.

- a. Conforme a los criterios establecidos arriba, el/la Administrador/a de la ADFAN establecerá las áreas prioritarias para el uso de los fondos.



- b. Conforme a estas prioridades, el/la Director/a del Programa revisará y actualizará la guía y formularios para la radicación de las propuestas a solicitarse u otorgarse.
- c. La ADFAN podrá subvencionar proyectos por más de un año, sujeto a:
  - ☞ la disponibilidad de fondos,
  - ☞ al cumplimiento a cabalidad del proyecto con las acuerdos contractuales, y
  - ☞ el haber evidenciado el logro de los resultados esperados, según el Plan Estratégico sometido por la entidad y aprobado por la ADFAN.

## 2. AGENCIAS ELEGIBLES

- a. Las organizaciones sin fines de lucro, legalmente constituidas bajo el Departamento de Estado de Puerto Rico, que tengan en su estructura organizacional una Junta de Directores, podrán competir para la obtención de fondos discrecionales.
- b. Los gobiernos municipales con una alta incidencia de pobreza, según los datos del Censo más reciente, también, podrán someter una propuesta de servicios. La misma deberá estar endosada por la Legislatura Municipal.
- c. Tanto las organizaciones sin fines de lucro, como las gubernamentales no deberán estar recibiendo fondos de otros componentes de CSBG. De esta manera, la ADFAN cumple con el mandato de ley<sup>62</sup> de que los estados y territorios alcancen y estén disponibles para el beneficio del mayor número de familias e individuos pobres del país.

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<sup>62</sup> Referencia: Ley CSBG, sección 675C (b) (1) (D).

#### Procedimiento:

1. La ADFAN, mediante un aviso público, dará a conocer la disponibilidad de los fondos discrecionales y las áreas de prioridad para la adjudicación de los mismos.
2. El personal del Programa llevará a cabo una reunión de orientación general a los proponentes en la que le ofrecerá información general sobre los fondos. En estas, se hará entrega de la Guía para la Radicación de la Propuesta en la que se incluirán las instrucciones detalladas para solicitar los mismos.
3. Las organizaciones y gobiernos municipales entregarán la propuesta al Programa no más tarde de treinta (30) días calendario, a partir de la fecha de la orientación ofrecida. Estas deberán seguir, estrictamente, el orden del formulario y estar acompañadas de los documentos y de las certificaciones requeridas. Propuestas incompletas o entregadas después de la fecha establecida, no serán evaluadas.

#### 111.4 LA PROPUESTA

En sus aspectos medulares, las propuestas deben estar alineadas con las áreas de necesidad que establece la ADFAN como prioridades y estar circunscritas a las actividades permitas. Además, los proponentes deben dar énfasis a las actividades dirigidas a la planificación y a la medición de resultados, a tono con el modelo establecido por ROMA y al presupuesto.

##### ☛ La Planificación Estratégica

Se espera que las organizaciones propongan, en su plan de trabajo, actividades y procedimientos de medición que redunden en el logro de las Metas Nacionales:

→ *Meta 1:* Personas de bajos ingresos logran la autosuficiencia.

- *Meta II:* Las condiciones en las cuales viven las personas de bajos ingresos han sido mejoradas.
- *Meta III:* Personas de bajos ingresos poseen o tienen una participación en su comunidad.
- *Meta IV:* Lograr coaliciones entre auspiciadores y proveedores de servicio a personas de bajos ingresos.
- *Meta V:* Agencias aumentan su capacidad para lograr resultados.
- *Meta VI:* Personas de bajos ingresos, especialmente las poblaciones vulnerables, logran su potencial a través del fortalecimiento del sistema familia al igual que de otros sistemas de apoyo.

La planificación incluirá el Plan de Evaluación, el cual incluye la redacción de objetivos medibles, especificación de las actividades e instrumentos de medición de los resultados a lograrse.

■ Aspectos Presupuestarios

- a. La propuesta deberá estar completa en todas sus partes.
- b. El costo total del proyecto propuesto no deberá exceder la cantidad máxima establecida por la ADFAN e incluirá, además, todos los documentos (certificaciones requeridas).
- c. El presupuesto aprobado, debe ser utilizado en un cien (100%) por ciento para servicio directo. La Administración de Familias y Niños (ADFAN) no autorizará el uso de los fondos para gastos administrativos.
- d. El/la Ejecutivo/a de la organización o su representante autorizado será responsable de la legalidad y exactitud de todos los pagos y gastos en que se incurran, además de producir y someter todos los informes que le sean requeridos. De ser necesario, se ofrecerá asistencia técnica.

- e. El/la Administrador/a Auxiliar asignará un recurso para control y trámite de las propuestas. Esta persona realizará las siguientes tareas:
- ☒ entregar acuse de recibo a la entidad,
  - ☒ archivar el original de la propuesta en el lugar designado para ello,
  - ☒ entregar, con acuse de recibo, las copias de las propuestas a los evaluadores designados.

#### **111.5 EVALUACIÓN DE LAS PROPUESTAS – FONDOS DISCRECIONALES**

- a. Las propuestas serán evaluadas utilizando el formulario de Evaluación de Propuestas del 5% discrecional.
- b. Las mismas serán evaluadas por los/las Especialistas de Evaluación de Programas.
- c. Cuando cada propuesta sea evaluada por dos personas, se obtendrá un promedio para establecer la puntuación final.
- d. De surgir alguna duda con relación al presupuesto sometido por la organización, ésta se deberá dilucidar y aclarar con la Oficina de Presupuesto, previo a otorgarle una puntuación final a la propuesta. El expediente de esta propuesta deberá contener evidencia escrita de la consulta realizada. Como mínimo, se documentará el oficial de presupuesto que fue consultado, el motivo de la consulta, la respuesta o acuerdo tomado, la fecha, hora de la consulta y la persona que realizó la consulta.
- e. El/la Director/a de CSBG someterá al/la Administrador/a Auxiliar de Prevención una comunicación con su recomendación de las propuestas a aprobarse. El comunicado incluirá una descripción breve de cada entidad recomendada y cómo el proyecto propuesto cumple con las áreas de necesidad que la ADFAN estableció como prioridades.

- f. Luego de evaluar la recomendación del/la Director/a de CSBG, el/la Administrador/a Auxiliar, a su vez, someterá su recomendación al/la Administrador/a para su aprobación final.
- g. Se le notificará, por escrito, a las organizaciones sobre la otorgación o denegación de fondos, a base del resultado de la evaluación de la propuesta que cada organización sometió.
- h. Se le notificará, por escrito a las organizaciones, cuya propuesta fue aprobada, la documentación a someter a la División Legal en el momento de su contratación.
- i. Las propuestas que hayan sido aprobadas condicionalmente, deberán corregir o proveer la información adicional solicitada en un término que no excederá dos semanas, a partir de la fecha de notificación. Esta notificación se hará utilizando el medio de comunicación, escrita, más ágil.
- j. El proceso de evaluación y selección de las propuestas a subvencionarse deberá culminar no más tarde del mes de junio, previo al comienzo al año fiscal federal en la cual se implantará la propuesta.

#### **111.6 CONTRATACIÓN DE LA ORGANIZACIÓN**

El proceso de adjudicación del fondo discrecional culmina cuando se ha firmado el contrato entre la ADFAN y la organización que propuso el proyecto autorizado para la otorgación de fondos.

- a. Una vez se recibe la autorización del/la Administrador/a, concurrentemente, el/la Director/a de CSBG:
  - Procederá, por conducto del/la Administrador/a Auxiliar, a solicitar el Impacto Presupuestario a la Oficina de Presupuesto. La petición especificará el nombre del "grant" impactado (fondo discrecional de CSBG), el nombre de la entidad a recibir los fondos, la cantidad de fondos a

otorgarse a cada entidad. La petición deberá ir acompañada del documento donde se evidencia la aprobación del/la Administrador/a y copia de la propuesta.

➤ Preparará el borrador del contrato de servicios en sus aspectos programáticos.

- b. La División de Presupuesto deberá preparar el Impacto Presupuestario dentro de 10 días laborables, a partir del recibo de la solicitud con toda la documentación requerida.
- c. El/la Director/a de CSBG se asegurará de que recibe el Impacto Presupuestario en el término de tiempo establecido.
- d. Inmediatamente después de recibir el Impacto Presupuestario, el/la Director/a de CSBG solicitará a la División Legal, la preparación del contrato de servicios. Acompañará la solicitud con toda la documentación requerida para la contratación.

#### **111.7 CONTROLES FISCALES**

Las entidades que reciban fondos discrecionales deberán establecer sistemas de contabilidad y control fiscal, de acuerdo a las leyes y reglamentos que apliquen. También deberán cumplir con todos los procedimientos de contabilidad generalmente aceptados y con las auditorías realizadas por la ADFAN.

#### **111.8 ASISTENCIA TÉCNICA**

Los/las Especialistas en Evaluación de Programas estarán a cargo de la supervisión continúa sobre el cumplimiento.

La Asistencia Técnica es un proceso comprensivo que es continuo y estructurado. Este incluye actividades de monitoreo, de consultoría, apoyo y supervisión de otros procesos. El objetivo primordial de la misma es el desarrollo de la capacidad de la organización pública o

privada sin fines de lucro en el uso y manejo de los fondos asignados de acuerdo a lo requerido en la legislación federal.

Durante el proceso de supervisión continua, el/la Especialista en Evaluación de Programas debe desarrollar un conocimiento preciso del manejo del proyecto por la organización. Esto incluye aspectos sobre cómo se está implantando el proyecto, así sobre cómo se están logrando los resultados propuestos.

Previo a la conclusión del proyecto, el/la Especialista debe haber resuelto con la organización cualquier señalamiento o dificultad que se haya detectado.

Los/as Especialistas en Evaluación de Programas realizará una monitoría programática al concluir la vigencia del contrato con cada organización a la cual se le adjudicó dinero del fondo discrecional.

#### **111.9 MONITORIA Y EVALUACION – FONDOS DISCRECIONALES**

El Programa CSBG, realiza los procesos de evaluación y monitoría, según se dispone en la Sección 678 B de la Ley, para determinar si los proyectos financiados con estos fondos, cumplen con las metas de desempeño, los estándares administrativos, los requisitos de manejo financiero, entre otros.

#### **PRINCIPIOS GUIAS**

Según ha desarrollado la "National Association for State Community Services Programs" (NASCSPP), los procesos de monitoría estarán basados en los siguientes requisitos para los principios y prácticas:

1. Respeto mutuo.
2. Comunicación abierta.
3. Solución de problemas de manera conjunta.

## **PRÁCTICAS DE MONITORÍA**

- El personal a cargo del proceso de evaluación y monitoría debe mirar más allá en el cumplimiento con las regulaciones del Programa.
- El personal debe obtener una visión sistémica de cada organización o municipio, una impresión sobre la calidad de la prestación de los servicios y de las operaciones de los programas ofrecidos.
- La Agencia estatal debe tener establecido un sistema para documentar e informar los hallazgos y/o deficiencias encontradas.
- La Agencia estatal dará seguimiento para asegurar que los proyectos bajo el fondo discrecional corrijan los hallazgos y/o deficiencias que se desprendan del proceso de evaluación y monitoría.
- La Agencia estatal debe tener establecido un sistema para proveer asistencia técnica cuando sea necesario.

## **ALCANCE DE LA EVALUACION Y MONITORÍA**

El examen cubrirá el área administrativa, programática y fiscal de los proyectos bajo los fondos discrecionales.

El proceso cubrirá, según el año fiscal federal del 1 de octubre de cada año y finalizando el 30 de septiembre del siguiente.

Durante el proceso de evaluación y monitoría se examinará lo siguiente: leyes, reglamentos aplicables, memorandos, contratos, informes de resultados y expedientes, entre otros.



## METODOLOGÍA

Los procesos de evaluación y monitorías estarán a cargo, pero sin limitarse a,

- Los/las Especialistas en Evaluación de Programas
- Auditor/a del Programa

El/la Especialista a cargo, de cada organización o municipio, será el/la líder del equipo evaluador. Este será organizado de acuerdo a las áreas a monitorear.

Los pasos a seguir son los siguientes:

- Antes de la visita a la Entidad:
  - ✓ Revisión de escritorio.
    - Ley CSBG, políticas y reglamentación aplicable.
    - Contrato de delegación de fondos.
    - Procedimiento evaluación y monitoría.
    - Sistema de información gerencial (ROMA), Informes Trimestrales y el Anual de Resultados.
    - Plan de Trabajo y Evaluación (Modelo lógico).
    - Informe de monitorías y auditorías recientes.
  - ✓ Coordinar y calendarizar visitas.
  - ✓ Revisión de instrumentos de evaluación.
  - ✓ Diseño de guías y/o cuestionarios.
  - ✓ Otras
- Durante la visita
  - ✓ Se coordinara reunión para compartir propósitos y el plan de evaluación y monitoría (acuerdo sobre los objetivos) e itinerario de visitas con la organización o municipio.
  - ✓ Acceso a los controles internos: políticas, normas y procedimientos de la organización o municipio.

- ✓ Revisar y verificar documentos de los programas/ proyectos: expedientes de personal, participantes, etc.
  - ✓ Visita a los programas.
  - ✓ Recogido y análisis de datos: de las entrevistas al personal, participantes, directores, etc.
  - ✓ Otras
- Luego de la visita:
    - ✓ Evaluación y cotejo de información.
    - ✓ Documentar la evaluación y el análisis.
    - ✓ Preparar borrador de informe de resultados para discutirlo con el/la Administrador/a Auxiliar de Servicios de Prevención en la Comunidad y el/la Director(a) del Programa.
    - ✓ Se le someterá el informe a la organización o municipio y se le solicitará el Plan de Acción Correctiva (PAC).
    - ✓ De ser necesario, se elaborará el Plan de Seguimiento por parte del/la Especialista y el Auditor para asegurar el cumplimiento del PAC.

## **EXPEDIENTES DE PARTICIPANTES**

El Programa CSBG requiere que las organizaciones o municipios, mantengan expedientes individuales de todos los participantes que se beneficien del proyecto desarrollado bajo los fondos discrecionales. Los expedientes deben tener los siguientes:

- ✓ Solicitud del Servicio
- ✓ Nombramiento
- ✓ Composición Familiar
- ✓ Evidencia de ingreso anual
- ✓ Seguro Social (últimos cuatro (4) dígitos)
- ✓ Copia del Certificado de Nacimiento
- ✓ Certificado de Salud (original)
- ✓ Certificado de Antecedentes Penales

- ✓ Certificación Personas Convictas por Delitos Sexuales y Abuso Contra Menores de Puerto Rico, según lo dispone la Ley 266
- ✓ Evidencia de residencia
- ✓ Evidencia de ayudas del Gobierno
- ✓ Evidencia del servicio recibido
- ✓ Hoja de progreso o seguimiento
- ✓ Hoja de Evaluación
- ✓ Hoja de Baja
- ✓ Otros

Procedimientos:

- Las organizaciones y municipios se asegurarán de cumplir con las instrucciones emitidas por el Programa CSBG.
- Los/las Especialistas del Programa darán asistencia técnica.
- El personal a cargo del proceso de monitoreo y evaluación a través de la revisión de expedientes y visitas velarán por su cumplimiento. De encontrar incumplimiento deberán informarlo por escrito, al/la Director(a) del Programa de la organización o municipio.
- El personal a cargo de la evaluación y monitoría darán seguimiento.



# ANEJO 1

CSBG IM NUM. 141

## OFFICE OF COMMUNITY SERVICES

An Office of the Administration for Children & Families

Listen

### CSBG IM #141 Application for FY 2016 Funds for States and Territories

Published: July 31, 2015

Audience: Community Services Block Grants (CSBG)

Category: Guidance, Policies, Procedures, Information Memorandums (IM)

U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Division of State Assistance  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

#### COMMUNITY SERVICES BLOCK GRANT PROGRAM

Information Memorandum

Transmittal No. 141

Date: July 31, 2015

TO: States and U.S. Territories

SUBJECT: Application for Fiscal Year (FY) 2016 Community Services Block Grant (CSBG) Funds Based on the Availability of CSBG Funds

#### RELATED

REFERENCES: Community Services Block Grant Act, Title VI, Subtitle B, of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Human Services Amendments of 1994, P.L. 103-252; the FY 1998 CSBG Appropriation Legislation, P.L. 104-134; CFR Title 45, Part 96; Coats Human Services Reauthorization Act of 1998, P. L. 105-285; Department of Health and Human Services Block Grant Regulations and Current Poverty Income Guidelines.

PURPOSE: To inform States and U.S. Territories of the CSBG application requirements for FY 2016.

To qualify for FY 2016 CSBG funding, States must submit their State plan applications to the Office of Community Services (OCS) by September 1, 2015 using the new CSBG Model State Plan format. States will submit their information electronically through the Administration for Children and Families' (ACF) Online Data Collection (OLDC) system.

#### BACKGROUND

According to section 676(b) of the CSBG Act, States, including Territories, must prepare and submit an application and State plan for CSBG funding. OCS provides funds to CSBG grantees based on the determination that their application and plan are complete and in accordance with all requirements of the CSBG Act.

The State CSBG application and plan is a critical document for both State and Federal oversight of CSBG. The new CSBG Model State Plan, used by States for the first time this year, integrates and aligns requirements from the CSBG Act, with elements of the overall CSBG Performance Management and Accountability Framework, which includes 1) organizational standards for CSBG eligible entities, 2) accountability measures for States and OCS, and 3) CSBG data analysis of outcome measures (National Performance Indicators). Ultimately, this framework will enable the CSBG Network, at the local, State and Federal levels, to continuously improve their programs and generate stronger results for low-income families and communities.

For more information about the CSBG Performance Management and Accountability Framework, see IM 138: State Establishment of Organizational Standards for CSBG Eligible Entities, January 26, 2015, and CSBG Dear Colleague Letter: State and Federal Accountability Measures and Appendices, January 28, 2015.

<http://www.acf.hhs.gov/programs/ocs/resource/csbg-im-141-application-for-fy-2016-funds-f...> 8/5/2015

**SUBMISSION CONTENT AND REQUIREMENTS**

CSBG applications for FY 2016 are due to OCS by September 1, 2015. States have the option of submitting CSBG applications annually or bi-annually (covering one or two fiscal years). States must submit their application and plan electronically through the ACF Online Data Collection (OLDC) System. A complete application must include the CSBG Cover Page, which is the State's Application for Federal Assistance form (SF-424-M), and the Model State Plan, submitted through OLDC. States must also submit their CSBG annual report (as described on the following page).

**States With Currently Accepted Two-Year Plans**

OCS provided separate instructions to the 13 States with accepted two-year state plans covering fiscal years 2015 and 2016 through a "dear colleague" message sent on June 10, 2015. In the instructions, OCS provided States with a version of the Model State Plan highlighting the specific elements these States, at minimum, must submit. For this year, those States have three options for their submission through OLDC:

1. Submit information for all sections of the Model State Plan, including the items that are highlighted in separate guidance issued on June 10;
2. Submit an updated plan, only completing the highlighted sections outlined in the separate guidance; or
3. Submit an entirely new plan in which the State is subject to all requirements of the CSBG Act, including the hearing requirements.

States must communicate the decision to OCS on which option has been selected no later than August 7, 2015.

**New CSBG Model State Plan**

Over the past year, OCS has collaborated closely with the CSBG Network to develop a new CSBG Model State Plan that is streamlined and automated, and that incorporates elements of the CSBG Performance Management and Accountability Framework. For information about the development and content of the Model State Plan please see CSBG Dear Colleague Letter: Model State Plan Revision: Open Comment Period, dated January 29, 2015 (<http://www.acf.hhs.gov/programs/ocs/resource/csbg-dear-colleague-letter-model-state-plan-revision-open-comment-period-update>) and CSBG Dear Colleague Letter: Model State Plan Revision: OMB Clearance and 30 Day Comment Period (<http://www.acf.hhs.gov/programs/ocs/resource/csbg-dear-colleague-letter-model-state-plan-revision-omb-clearance-and-30-day-comment-period>), dated May 20, 2015.

The May 20 Dear Colleague letter provides the final content for the Model State Plan, which States will provide through OLDC. The full content of the FY 2016 Model State Plan is attached to this IM. Content areas for submission are outlined in the table of contents below.

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

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

Section 2: State Legislation and Regulation

Section 3: State Plan Development and Statewide Goals

Section 4: CSBG Hearing Requirements

Section 5: CSBG Eligible Entities

Section 6: Organizational Standards for Eligible Entities

Section 7: State Use of Funds

Section 8: State Training and Technical Assistance

Section 9: State Linkages and Communication

Section 10: Monitoring, Corrective Action, and Fiscal Controls

Section 11: Eligible Entity Tripartite Board

Section 12: Individual and Community Income Eligibility Requirements

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

Section 14: CSBG Programmatic Assurances and Information Narrative

Section 15: Federal Certifications

**Annual Report Requirement**

Section 678E(a)(2) of the CSBG Act requires States to prepare and submit an annual report on the activities and performance of the State and State's eligible entities.

The statute specifies that the State's annual report should contain: (1) information on the measured performance of the State and eligible entities in promoting self-sufficiency, family stability, and community revitalization; (2) an accounting of the expenditure of CSBG funds, including those funds spent on administrative costs by the State and eligible entities; (3) an accounting of funds spent by the eligible entities on the direct delivery of local services; (4) information on the number of and characteristics of CSBG clients based on data collected from the eligible entities; (5) a summary of training and technical assistance offered by the State to eligible entities to correct deficiencies; and (6) summaries of the planned and actual uses of CSBG funds.

In past years, States may have fulfilled their annual reporting requirement by providing data to OCS's technical assistance provider for the CSBG Information Survey (IS). States may continue this practice, but must also submit their Fiscal Year 2014 annual report to OCS in order to meet statutory

<http://www.acf.hhs.gov/programs/ocs/resource/csbg-im-141-application-for-fy-2016-funds-f...> 8/5/2015

requirements.

For the FY 2016 application cycle, all States, including the 13 States that submitted a two-year plan for FY 2015, may choose between two options for providing their annual reports to OCS: 1. Provide a written narrative annual report that meets all requirements of the CSBG Act signed by the State Designated Official or State CSBG point of contact via email to your respective CSBG Program Specialist; or

2. At least 15 days ahead of the September 1 application deadline, send an official letter to NASCSP, copied to OCS (your respective CSBG Program Specialist) and signed by the State Designated Official or State CSBG point of contact, asking that NASCSP provide an electronic copy of the final approved CSBG IS report directly to OCS. This IS report should be the one the State initially submitted to NASCSP in March of 2015. This report will meet the State's annual report requirement.

Please note, within the next year, OCS plans to collaborate with the CSBG Network to develop an automated annual report that aligns with the new CSBG Model State Plan to implement the three elements of the CSBG Performance Management and Accountability Framework.

#### ADDITIONAL INFORMATION

##### Capital Improvement and Construction Waivers

In accordance with section 678F(a)(2) of the CSBG Act, OCS must approve waivers, in writing, before block grant funds can be used for capital improvement and construction purposes. If a State anticipates the need for a waiver, a waiver request may be submitted as a separate part of the FY 2015 application. Waiver requests must be submitted to OCS by the State, not the eligible entity. If you anticipate the need for a waiver request, such requests should address the requirements referenced in section 678F(a)(2) of the CSBG Act and OCS Information Memorandum 60 dated February 6, 2002.

##### Proportionate Share of Funding

States are required to provide each eligible entity, currently in good standing within the State, its proportionate share of any CSBG funding received by the State. A decision by a State not to provide a proportionate share in funding to an eligible entity will be considered as a reduction of funding under sections 676(b)(8) and 678C of the CSBG Act. Reduction of funding is subject to a public notice and hearing as directed in IM 116.

##### Collaboration with Faith-Based Organizations

States must provide an assurance (included in the Model State Plan as item IV.B.19) that is signed by the CSBG State Designated Official and addresses the requirements of section 679 of the CSBG Act, entitled "Operational Rule:"

a) Religious Organizations Included as Nongovernmental Providers. – For any program carried out by the Federal Government, or by a State or local government under (the CSBG Act), the government shall consider, on the same basis as other non-governmental organizations, religious organizations to provide the assistance under the program, so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment of the Constitution. Neither the Federal Government nor a State or local government receiving funds under this subtitle shall discriminate against an organization that provides assistance under, or applies to provide assistance under, this subtitle, on the basis that the organization has a religious character.

b) Religious Character and Independence.

(1) In General. – A religious organization that provides assistance under a program described in subsection (a) shall retain its religious character and control over the definition, development, practice, and expression of its religious beliefs.

(2) Additional Safeguards. – Neither the Federal Government nor a State or a local government shall require a religious organization—

(A) To alter its form of internal governance, except (for purposes of administration of the community services block grant program) as provided in section 676B; or

(B) To remove religious art, icons, scripture, or other symbols; in order to be eligible to provide assistance under a program described in subsection (a).

(3) Employment Practices. – A religious organization's exemption provided under section 702 of the Civil Rights Act of 1964 (42 U.S.C. 2000a-1) regarding employment practices shall not be affected by its participation in, or receipt of funds from, program described in subsection (a).

(c) Limitations on Use of Funds for Certain Purposes. –

No funds provided directly to a religious organization to provide assistance under any program described in subsection (a) shall be expended for sectarian worship, instruction, or proselytization.

d) Fiscal Accountability. –

(1) In General. – Except as provided in paragraph (2), any religious organization providing assistance under any program described in subsection (a) shall be subject to the same regulations as other nongovernmental organizations to account in accord with generally accepted accounting principles for the use of such funds provided under such program.

(2) Limited Audit. – Such organization shall segregate government funds provided under such program into a separate account. Only the government funds shall be subject to audit by the government.



(e) Treatment of Eligible Entities and Other Intermediate Organizations. – If an eligible entity or other organization (referred to in this subsection as an "intermediate organization"), acting under a contract, or grant or other agreement, with the Federal Government or a State or local government, is given the authority under the contract or agreement to select nongovernmental organizations to provide assistance under the programs described in subsection (a), the intermediate organization shall have the same duties under this section as the government.

#### TRAINING, TECHNICAL ASSISTANCE AND SUPPORT

OCS will provide training and technical assistance to States on the new CSBG Model State Plan and OLDC submission process. States will have opportunities to learn about the mechanics of submitting the Model State Plan on the OLDC system.

In an effort to make the process work smoothly, OCS encourages all States to review their OLDC access information, ensuring that State staff have been registered in the correct roles for the State plan submission process. Please keep in mind:

- States should have at least one individual assigned as the Grant Administrator and one as the Authorized Official.

- The Authorized Official must be the individual (e.g., director, secretary, commissioner) who has been designated in the CSBG State designation letter, or that person's official designee.
- An individual who already has access to OLDC for another program (e.g., LIHEAP), must request CSBG be added to his/her account. (The individual will use one username and password to log-in to OLDC, and then may select from the menu of programs included in his/her account.)
- To request OLDC access for CSBG staff, or to make changes to an existing account, please use the attached form.

If States have questions regarding OLDC system access, please contact Niki Frazier ([nikita.frazier@acf.hhs.gov](mailto:nikita.frazier@acf.hhs.gov)) (<http://nikita.frazier@acf.hhs.gov>).

If you have questions or need additional information, please contact your OCS CSBG program specialist. The list of OCS staff and contact information is posted on the OCS website at [www.acf.hhs.gov/programs/ocs/resource/csbg-staff-assignments-by-region](http://www.acf.hhs.gov/programs/ocs/resource/csbg-staff-assignments-by-region) (<http://www.acf.hhs.gov/programs/ocs/resource/csbg-staff-assignments-by-region>).

Thank you for your collaboration and commitment to better serve low-income families and communities across the nation.

/s/  
Jeannie L. Chaffin  
Director  
Office of Community Services

Related Information:  
- CSBG Model State Plan  
- OLDC Access Form

#### DOWNLOAD

IM\_141\_CSBG\_STATE\_APPLICATION\_FY2016\_8.PDF (60.01 KB)  
MSP\_CSBG\_MODEL\_STATE\_PLAN\_FINAL.PDF (346.62 KB)  
OLDC\_ACCESS\_FORM.DOCX (35 KB)

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**COMMUNITY SERVICES  
BLOCK GRANT PROGRAM**

U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Division of State Assistance  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

Information Memorandum

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Transmittal No. 141

Date: July 31, 2015

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**TO:** States and U.S. Territories

**SUBJECT:** Application for Fiscal Year (FY) 2016 Community Services Block Grant (CSBG) Funds Based on the Availability of CSBG Funds

**RELATED**

**REFERENCES:** Community Services Block Grant Act, Title VI, Subtitle B, of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Human Services Amendments of 1994, P.L.103-252; the FY 1996 CSBG Appropriation Legislation, P.L.104-134; CFR Title 45, Part 96; Coats Human Services Reauthorization Act of 1998, P. L. 105-285; Department of Health and Human Services Block Grant Regulations and Current Poverty Income Guidelines.

**PURPOSE:** To inform States and U.S. Territories of the CSBG application requirements for FY 2016.

To qualify for FY 2016 CSBG funding, States must submit their State plan applications to the Office of Community Services (OCS) by September 1, 2015 using the new CSBG Model State Plan format. States will submit their information electronically through the Administration for Children and Families' (ACF) Online Data Collection (OLDC) system.

**BACKGROUND**

According to section 676(b) of the CSBG Act, States, including Territories, must prepare and submit an application and State plan for CSBG funding. OCS provides funds to CSBG grantees based on the determination that their application and plan are complete and in accordance with all requirements of the CSBG Act.

The State CSBG application and plan is a critical document for both State and Federal oversight of CSBG. The new CSBG Model State Plan, used by States for the first time this year, integrates and aligns requirements from the CSBG Act, with elements of the overall CSBG Performance Management and Accountability Framework, which includes 1) organizational standards for CSBG eligible entities, 2) accountability measures for States and OCS, and 3) CSBG data analysis of outcome measures (National Performance Indicators). Ultimately, this framework will enable the CSBG Network, at the local, State and Federal levels, to continuously improve their programs and generate stronger results for low-income families and communities.

For more information about the CSBG Performance Management and Accountability Framework, see IM 138: State Establishment of Organizational Standards for CSBG Eligible Entities, January 26, 2015, and CSBG Dear Colleague Letter: State and Federal Accountability Measures and Appendices, January 28, 2015.

#### SUBMISSION CONTENT AND REQUIREMENTS

CSBG applications for FY 2016 are due to OCS by September 1, 2015. States have the option of submitting CSBG applications annually or bi-annually (covering one or two fiscal years). States must submit their application and plan electronically through the ACF Online Data Collection (OLDC) System. A complete application must include the CSBG Cover Page, which is the State's Application for Federal Assistance form (SF-424-M), and the Model State Plan, submitted through OLDC. States must also submit their CSBG annual report (as described on the following page).

#### States With Currently Accepted Two-Year Plans

OCS provided separate instructions to the 13 States with accepted two-year state plans covering fiscal years 2015 and 2016 through a "dear colleague" message sent on June 10, 2015. In the instructions, OCS provided States with a version of the Model State Plan highlighting the specific elements these States, at minimum, must submit. For this year, those States have three options for their submission through OLDC:

1. Submit information for all sections of the Model State Plan, including the items that are highlighted in separate guidance issued on June 10;
2. Submit an updated plan, only completing the highlighted sections outlined in the separate guidance; or
3. Submit an entirely new plan in which the State is subject to all requirements of the CSBG Act, including the hearing requirements.

States must communicate the decision to OCS on which option has been selected no later than August 7, 2015.

#### New CSBG Model State Plan

Over the past year, OCS has collaborated closely with the CSBG Network to develop a new CSBG Model State Plan that is streamlined and automated, and that incorporates elements of the CSBG Performance Management and Accountability Framework. For information about the development and content of the Model State Plan please see CSBG Dear Colleague Letter: Model State Plan Revision: Open Comment Period, dated January 29, 2015 and CSBG Dear Colleague Letter: Model State Plan Revision: OMB Clearance and 30 Day Comment Period, dated May 20, 2015.

The May 20 Dear Colleague letter provides the final content for the Model State Plan, which States will provide through OLDC. The full content of the FY 2016 Model State Plan is attached to this IM. Content areas for submission are outlined in the table of contents below:

CSBG Cover Page (SF-424M)

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

Section 2: State Legislation and Regulation

Section 3: State Plan Development and Statewide Goals

Section 4: CSBG Hearing Requirements

Section 5: CSBG Eligible Entities

Section 6: Organizational Standards for Eligible Entities

Section 7: State Use of Funds

Section 8: State Training and Technical Assistance

Section 9: State Linkages and Communication

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Section 11: Eligible Entity Tripartite Board

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Please note, within the next year, OCS plans to collaborate with the CSBG Network to develop an automated annual report that aligns with the new CSBG Model State Plan to implement the three elements of the CSBG Performance Management and Accountability Framework.

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If you have questions or need additional information, please contact your OCS CSBG program specialist. The list of OCS staff and contact information is posted on the OCS website at [www.acf.hhs.gov/programs/ocs/resource/csbg-staff-assignments-by-region](http://www.acf.hhs.gov/programs/ocs/resource/csbg-staff-assignments-by-region).

Thank you for your collaboration and commitment to better serve low-income families and communities across the nation.

/s/

---

Jeannie L. Chaffin  
Director  
Office of Community Services

Related Information:

- CSBG Model State Plan
- OLDC Access Form

## Community Services Block Grant (CSBG) Model State Plan

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- Section 4: CSBG Hearing Requirements
- Section 5: CSBG Eligible Entities
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- Section 15: Federal Certifications



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]
- 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]
- 1.1c. Division, bureau, or office of the CSBG authorized official [Narrative, 2500 Characters]
- 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.
- 1.1e. Street address [Narrative, 2500 characters]
- 1.1f. City [Narrative, 2500 characters]
- 1.1g. State [Dropdown]
- 1.1h. Zip [Narrative, 5 characters]
- 1.1i. Telephone number and extension [Narrative, 10 -- 15 characters which includes option for 5 digit extension]
- 1.1j. Fax number [Narrative, 10 characters]
- 1.1k. Email address [Narrative, 2500 characters]
- 1.1l. Lead agency website [Narrative, 2500 characters]

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]

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

1.2c. Street address [Narrative, 2500 characters]

1.2d. City [Narrative, 2500 characters]

1.2e. State [Dropdown]

1.2f. Zip [Narrative, 5 characters]

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

1.2h. Fax number [Narrative, 10 characters]

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

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

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.

**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]
- 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]
- 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.

- 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]

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]
- National organizations (describe) [Narrative, 2500 characters]
- 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.

*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. [Narrative, 2500 Characters]

**Note:** This information is associated with State Accountability Measures 15b(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: \_\_\_\_\_. [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]
- 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]
- 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]
[Select a date]	[Narrative, Insert Address]	<ul style="list-style-type: none"> <li>• Public</li> <li>• Legislative</li> <li>• Combined</li> </ul>
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.]**

**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 (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
[Narrative, 2500 characters]	[Select Public or Nonprofit]	<ul style="list-style-type: none"> <li>• Community Action Agency</li> <li>• Limited Purpose Agency</li> <li>• Local Government Agency</li> <li>• Migrant or Seasonal Farmworker Organization</li> <li>• Tribe or Tribal Organization</li> <li>• Other (describe in column 5)</li> </ul>	[Narrative, 2500 characters]	[Narrative, 2500 characters]  If "Other" is selected in column 3, provide further detail here
ADD.A.ROW-function Note: rows will be able to be added for each eligible entity funded in the State				

- 5.2. Total number of CSBG eligible entities: ## [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:

**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]



- 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? [Insert a percentage]

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]

**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 S.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)	
<b>Total</b>	Totals will be auto-populated		Totals will be auto-populated	

**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]

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. [Narrative, 2500 Characters]

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 %]

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]

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]

**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 "P" 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	[Enter either a planned \$ or % for each item listed for the first year that this plan covers. If entering a percentage, the percentages must total 100%.]		[Enter either a planned \$ or % for each item listed second year that this plan covers. If entering a percentage, the percentages must total 100%.]  [If this is a one-year plan, these columns can be left blank]		[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					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 characters]
e. Asset-building programs					[Narrative, 2500 characters]

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 %	
f. Innovative programs/ activities by eligible entities or other neighborhood groups					[REQUIRED Narrative, 2500 characters] Describe here or attach additional information.
g. State charity tax credits					[Narrative, 2500 characters]
h. Other activities, specify					[Narrative, 2500 characters]
<b>Totals</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	

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]
- 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]
- 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. [Narrative, 2500 Characters]

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

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
			T/TA
FY1 - Q4	Training	ROMA	
38T	38T	38T	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): \_\_\_\_\_ [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) [Narrative, 2500 characters]
- 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. [Narrative, 2500 Characters]

**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

- 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.



**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. [Narrative, 2500 Characters]

**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. [Narrative, 2500 Characters]

**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. [Narrative, 2500 Characters]

**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). [Narrative, 2500 Characters]

**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. [Narrative, 2500 characters OR attach a document].

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. [Narrative, 2500 Characters]

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. [Narrative, 2500 Characters]

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: <ul style="list-style-type: none"> <li>• Daily</li> <li>• Weekly</li> <li>• Twice-Monthly</li> <li>• Monthly</li> <li>• Quarterly</li> <li>• Semi-Annually</li> <li>• Annually</li> <li>• Other</li> </ul>	Dropdown Options: <ul style="list-style-type: none"> <li>• Newsletter</li> <li>• Mailing</li> <li>• Meetings/Presentation</li> <li>• Blog</li> <li>• Email</li> <li>• Website</li> <li>• Social Media</li> <li>• Other</li> </ul>	[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			

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. [Narrative, 2500 Characters]

Note: This information is associated with State Accountability Measure 55(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. [Narrative, 2500 Characters]

**Note:** This information is associated with State Accountability Measures 75b; 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.

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	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Full onsite</li> <li>• Newly Designated</li> <li>• Follow-up</li> <li>• Other</li> <li>• No review</li> </ul>	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• FY1 Q1</li> <li>• FY1 Q2</li> <li>• FY1 Q3</li> <li>• FY1 Q4</li> <li>• FY2 Q1</li> <li>• FY2 Q2</li> <li>• FY2 Q3</li> <li>• FY2 Q4</li> </ul>	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. [Attach a document or add a link]
- 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.

**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? [Numeric, 3 digits]

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? [Narrative, 2500 characters]

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]

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]

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]

**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.

**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. [Narrative, 2500 Characters]

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]
- 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]

**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]

**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]



## 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]

**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

- 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.

- 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.

**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. [Narrative, 2500 characters or attach a document]

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. [Narrative, 2500 characters or attach a document]

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]

***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]

***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]

**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]

*Eligible Entity Linkages – Approach to Filling Service Gaps*

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

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

[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]

**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]

**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]

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

***Statement for Loan Guarantees and Loan Insurance***

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title

31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- 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 subrecipients or subcontractors in covered workplaces).

#### ***Certification Regarding Drug-Free Workplace Requirements***

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

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

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.

\*\*\*\*\*

*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.

- (8) 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.
- (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 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.

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*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 subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

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

# ANEJO 2

MODELO DE CARTA DEL GOBERNADOR  
DESIGNANDO LA AGENCIA PARA  
ADMINISTRAR LOS FONDOS CSBG

Date \_\_\_\_\_

US. Department of Health and Human Services  
Office of Community Services  
Administration for Children and Families  
Mary E. Switzer Building  
5<sup>th</sup> Floor, 330 C Street, SW,  
Washington, DC 20201

Attention: Office of Community Services

PROPOSAL COMMUNITY SERVICES BLOCK GRANT FY \_\_\_\_\_

Dear Sirs:

The Commonwealth of Puerto Rico is hereby submitting the Community Services Block Grant (CSBG) proposal for FY \_\_\_\_\_. This is to certify that the Administration for Children and Families, of Puerto Rico Department of the Family, is the designated agency for administering the Community Services Block Grant.

Hon. \_\_\_\_\_, Secretary of the Department of the Family and \_\_\_\_\_, Administrator of the Administration for Children and Families, are the authorized agents for the Government of the Commonwealth of Puerto Rico to administer the funds and ensure compliance within the rules and provisions of the CSBG funds. If you need additional information, feel free to contact at: The Administration for Children and Families, P.O. Box 194090, San Juan, P.R. 00919-4090, tel. (787)625-4900 ext.1801.

I would to thank the U.S. Department of Health and Human Services for its continued support to the Government of the Commonwealth of Puerto Rico in order to improve the quality of life of the economically and socially disadvantaged populations.

Cordially,

The Governor of the Commonwealth of Puerto Rico,

# ANEJO 3

MODELO DE AVISOS PUBLICOS PARA  
VISTA LEGISLATIVA O PARA VISTA  
ADMINISTRATIVA

Estado Libre Asociado de Puerto Rico  
Departamento de la Familia  
Administración de Familias y Niños

## AVISO PÚBLICO

### Vista Administrativa e Inspección pública

La Administración de Familias y Niños (ADFAN) del Departamento de la Familia, recibe fondos del Departamento de Salud y Servicios Humanos Federal, bajo la Ley 105-285 del Programa Concesión en Bloque para Servicios Comunes (CSBG).

Durante el mes de septiembre la Administración de Familias y Niños someterá el State Plan de los fondos CSBG al Gobierno Federal para el año programa \_\_\_\_\_.

Este Plan, estará disponible para revisión del público interesado el \_\_\_ de agosto de \_\_\_\_\_ en horario de 9:00 am – 3:00 pm, en la Administración Auxiliar de Servicios de Prevención en la Comunidad, piso 3 de la Administración de Familias y Niños ubicado en la Avenida Barbosa #306, Edificio Lila Mayoral.

\_\_\_\_\_  
Secretaría  
Departamento de la Familia

\_\_\_\_\_  
Administradora  
Administración de Familias y Niños

Estado Libre Asociado de Puerto Rico  
Departamento de la Familia  
Administración de Familias y Niños

## AVISO PÚBLICO

### Vista Legislativa e Inspección pública

Las Comisiones de Hacienda del Senado y de la Cámara de Representantes de Puerto Rico celebrarán una vista pública para discutir el Plan Estatal (año programa \_\_\_\_\_) que habrá de someter la Administración de Familias y Niños del Departamento de la Familia, al Departamento de Salud y Servicios Humanos Federal, sobre el uso y distribución de los fondos provistos bajo la Ley 105-285, Sección 676 (a)(B) del Programa Concesión en Bloque para Servicios Comunales (CSBG).

La vista legislativa se llevará a cabo el \_\_\_ de \_\_\_\_\_ de \_\_\_\_\_, a las \_\_\_\_ am en el salón \_\_\_\_\_ del \_\_\_\_\_.

Las personas interesadas en examinar el Plan Estatal, pueden hacerlo en horas laborables en la Administración de Familias y Niños, en la Avenida Barbosa, Edificio Lila Mayoral #306, piso 3 en la Administración Auxiliar de Servicios de Prevención en la Comunidad. En cumplimiento con la Sección C (2), el mismo estará disponible para revisión hasta el \_\_\_ de \_\_\_ de \_\_\_\_\_.

Este aviso se publica según lo dispone la Ley Federal 105-285, enmendada el 28 de octubre de 1998.

\_\_\_\_\_  
Secretaría  
Departamento de la Familia

\_\_\_\_\_  
Administradora  
Administración de Familias y Niños

# ANEJO 4

CSBG IM NUM. 102

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## **CSBG IM #102 CSBG Monitoring Checklist**

Published: June 12, 2012

Audience: **Community Services Block Grants (CSBG)**

Category: **Guidance, Policies, Procedures, Information Memorandums (IM)**

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

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# ADMINISTRATIVE OPERATIONS

## CSBG Application and Plan

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676 - Program Administration                      Sec. 676(b)(3) - Legislative Hearing                      Sec. 676(e)(1) - Revisions</p>	<p><input type="checkbox"/> Legislative Hearing - documentation from the State Plan showing that, in conjunction with the development of the State Plan, at least one legislative hearing was held every three years.</p>	<p><input type="checkbox"/> Examples of public comments or responses to the State Plan, if applicable.</p>
<p>Sec. 676(a)(2)(B) - Public Inspection                      Sec. 676(a)(1) - Lead Agency</p>	<p><input type="checkbox"/> Public Inspection - evidence that the lead agency of the State's CSBG program held at least one public hearing about the proposed use and distribution of CSBG funds, in sufficient time to provide for public response and comment.</p>	<p><input type="checkbox"/> Revisions - indication or verification of revisions to the State Plan by the Chief Executive Officer</p>
<p>Section 676(b)(13) - Narrative CSBG</p>	<p><input type="checkbox"/> Designation - document from the Chief Executive Officer of the State designating, in an application to OCS, an appropriate State agency to act as a lead agency for carrying out the State's CSBG program.</p> <p><input type="checkbox"/> Statutory Authority - reference to the State's statutory authority for the CSBG program.</p>	
	<p><input type="checkbox"/> State Application and Plan - evidence that the State submitted an Application and State Plan for not less than one fiscal year and not more than two fiscal years, no later than 30 days prior to the beginning of the first fiscal year covered by the Plan.</p>	
	<p><input type="checkbox"/> Narrative CSBG State Plan - evidence of the State's use of CSBG funds to carry out the Assurances.</p>	
	<p><input type="checkbox"/> Assurances - dated document, signed by the designee of the Chief Executive Officer of the State assuring that funds made available through the grant will be used according to the Assurances in Section 676 of the CSBG Act.</p>	

# ADMINISTRATIVE OPERATIONS

## Participating with Federal Investigations

<p><b>Purpose:</b> To determine that the State complies with Federal investigations regarding fiscal control, audits, and withholdings.</p> <p><b>Program Requirements:</b> The State conducts a yearly independent audit of Community Services Block Grant funds expenditures and dissemination. The State is responsive to requests for information from the Office of Community Services (OCS) and makes books, documents, papers, and records available on request. Within 30 days after completion, the State sends copies of evaluations to the eligible entity, State legislature, and OCS.</p>		
<p><b>Question 1:</b> Did the State provide specific details regarding current and past Federal investigations?</p>		
<p><b>Statutory References:</b></p> <p>Sec. 676(b)(7) - Federal Investigations                  Sec. 678D(A) - The State will establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act</p>	<p><b>Critical Information:</b></p> <p><input type="checkbox"/> Fiscal Controls - documentation of accounting procedures for disbursement of and accounting for CSBG funds paid to the State. Documentation of procedures for monitoring the funds provided.</p> <p><input type="checkbox"/> Single Audit Requirements - documentation of yearly audit reports of the State's CSBG expenditures and amounts transferred to carry out the purposes of the CSBG Act.</p> <p><input type="checkbox"/> Fiscal Controls - evidence that each audit was conducted by an independent agency and in accordance with the accounting standards of the Office of Management and Budgets (A-110 and A-122)</p> <p><input type="checkbox"/> Audit Requirements - evidence that the State made copies of completed audits available within 30 days to the State legislature, the Secretary and applicable eligible entities.</p> <p><input type="checkbox"/> General Information - required by OCS in preparation for an onsite monitoring visit.</p>	<p><b>Examples of Supportive Information:</b></p> <p><input type="checkbox"/> Books, documents, papers, and records of accounting</p> <p><input type="checkbox"/> Examples of forms and procedures books, documents, papers, and records of accounting</p> <p><input type="checkbox"/> Copies of CSBG audit reports and expenditures</p> <p><input type="checkbox"/> Examples of A-110 and A-122 compliance</p> <p><input type="checkbox"/> Dated examples of State's compliance with the 30-day audit availability requirement.</p>

# ADMINISTRATIVE OPERATIONS

## Monitoring Eligible Entities

<p><b>Purpose:</b> To determine if eligible entities meet the performance goals, administrative standards, financial management and other requirements developed by the State.</p> <p><b>Program Requirements:</b> The State conducts a full on-site review of each eligible entity at least once during a three-year period. A newly designated eligible entity receives an on-site visit from the State after one year of receipt of CSBG funds. The State conducts prompt follow-up reviews and return visits to eligible entities with CSBG programs that fail to meet the goals, standards and requirements established by the State. The State reviews eligible entities that have had other Federal, State or local grants terminated for just cause.</p>		
<p><b>Question 1:</b> Did the State provide specific details regarding their monitoring tools?</p>		
<p><b>Statutory References</b></p> <p>Sec. 676(a)(C) - Corrective Action, Termination and Funding</p> <p>Sec. 678(B) Monitoring of Eligible Entities</p> <p>Sec. 678(b)(11) - Community Action Plan</p> <p>Sec 678C(B)(4)(a) - Quality Improvement Plan</p>	<p><b>Critical Information</b></p> <p><input type="checkbox"/> Review Schedule - documentation showing onsite review of eligible entities every three years.</p> <p><input type="checkbox"/> New Eligible Entities - lists of new eligible entities.</p> <p><input type="checkbox"/> New Eligible Entity Reviews - dated documentation of onsite review of first year recipients of CSBG funds</p> <p><input type="checkbox"/> Follow-up Reviews - documentation of State's follow-up review of entities that failed to meet the State's requirements.</p> <p><input type="checkbox"/> Program Terminations - review documents of entities that have had Federal programs other than CSBG, terminated for cause.</p> <p><input type="checkbox"/> Selected Eligible Entity Evaluations - documentation of the State's performance measurement tools.</p> <p><input type="checkbox"/> Monitoring Documents - documentation of State's reviews, reports, letters, emails, notices, Quality Improvement Plans (QIPs) or training and technical assistance opportunities in reference to deficient eligible entities.</p>	<p><b>Examples of Supportive Information</b></p> <p><input type="checkbox"/> Monitoring evaluation reports</p> <p><input type="checkbox"/> Samples of State's Community Needs Assessments</p> <p><input type="checkbox"/> Data on newly designated eligible entities</p> <p><input type="checkbox"/> Revisions to the monitoring tool</p> <p><input type="checkbox"/> Quality Improvement Plans for eligible entities</p> <p><input type="checkbox"/> Community Action Plans of eligible entities</p>

# ADMINISTRATIVE OPERATIONS

## Monitoring

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 678B - Monitoring Information Memorandum # 49 2-21-01 Guidance on CSBG Program Challenges, Responsibilities and Strategies for FY 2007-2009 <a href="http://www.acf.hhs.gov/programs/cos/csbq/docum/entis/im49.html">www.acf.hhs.gov/programs/cos/csbq/docum/entis/im49.html</a></p> <p>Information Memorandum # 97 10-10-06 Guidance on CSBG Requirement to Monitor Eligible Entities <a href="http://www.acf.hhs.gov/programs/cos/csbq/docum/entis/im97.html">www.acf.hhs.gov/programs/cos/csbq/docum/entis/im97.html</a></p> <p>Information Memorandum # 98 03-01-07 CSBG Monitoring Schedule for FFY2007-2009 <a href="http://www.acf.hhs.gov/programs/cos/csbq/docum/entis/im98.html">www.acf.hhs.gov/programs/cos/csbq/docum/entis/im98.html</a></p>	<p><input type="checkbox"/> State Monitoring Process - documentation describing the criteria the State uses to develop its' monitoring process.</p> <p><input type="checkbox"/> State Monitoring Schedule - documentation describing the State's monitoring schedule. Evidence the monitoring schedule permits a full on site review of each eligible entity at least once during each three-year period.</p> <p><input type="checkbox"/> Newly Designated Entities - records of an onsite review of each newly-designated eligible entity immediately after the completion of the first year in which the entity received funds through the CSBG.</p> <p><input type="checkbox"/> Monitoring Report - examples of the most recent monitoring reports. Evidence of State's efforts to improve eligible entities' capacity to achieve results, (i.e., standards of excellence, practical constructive recommendation for continued progress or improvement of existing conditions.)</p> <p><input type="checkbox"/> Follow-up - documentation of the follow-up review process, (i.e., notices of deficiencies, training and technical assistance options, hearing options, and de-designation or reduction in funding actions.)</p> <p><input type="checkbox"/> Monitoring Assessment - documentation describing the results of monitoring practices in helping eligible entities to correct deficiencies.</p>	<p><input type="checkbox"/> Recent monitoring reports</p> <p><input type="checkbox"/> Board reviews and responses to monitoring reports</p> <p><input type="checkbox"/> Minutes of board action</p> <p><input type="checkbox"/> Examples of the process used to track participants and the services they received</p> <p><input type="checkbox"/> Documentation explaining how costs are determined for specific program services</p> <p><input type="checkbox"/> Check writing process for support services provided with CSBG funds.</p> <p><input type="checkbox"/> Case files (manual or electronic) used to determine income eligibility</p> <p><input type="checkbox"/> Action plans used to address areas of weakness</p>

ADMINISTRATIVE OPERATIONS

Designation and Re-designation of Eligible Entities

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676A - Designation and Re-designation of Eligible Entities In Un-served Areas</p> <p>Section 678C - Corrective Action, Termination and Reduction in Funds</p>	<p><input type="checkbox"/> Needs Assessment - documentation of a community's unmet needs for services.</p> <p><input type="checkbox"/> Records - documentation of the State's procedures and guidelines for designation and re-designation of eligible entities.</p> <p><input type="checkbox"/> Notices - Documentation of the State's procedures to inform an entity of a deficiency, the requirements for correcting the deficiency, use of the training and technical assistance option and/or the Quality Improvement Plan (QIP) option.</p> <p><input type="checkbox"/> Correspondence - letters notifying eligible entities of an opportunity for a hearing. Letters of termination to eligible entities.</p> <p><input type="checkbox"/> Report to Secretary - documentation stating the reasons for an eligible entities' de-designation.</p>	<p><input type="checkbox"/> Samples of the State's Community Needs Assessments</p> <p><input type="checkbox"/> Sample of the State's policy and procedures for the designation of an eligible entity</p> <p><input type="checkbox"/> State documents informing eligible entities of deficiency statuses and procedures to correct deficiencies</p>

# ADMINISTRATIVE OPERATIONS

## Tripartite Board

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

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

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

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

ADMINISTRATIVE OPERATIONS

Corrective Actions: Termination and Reduction of Funding

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

## Prohibition of Political Activities

<p><b>Purpose:</b> To determine if the State ensures that CSBG funding is not used for political activities.</p> <p><b>Program Requirements:</b> The State educates and monitors eligible entities to ensure compliance with the prohibition against the use of CSBG program funds, services or personnel in support of political activities.</p>		
<p><b>Question 1:</b> Did the State provide specific details regarding the prohibition of political activities?</p>		
Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 678F(b) - Prohibition of Political Activities            Information Memorandum # 81            Updated Guidance on Voter Registration Activities 12-14-2004</p> <p>The COATES Human Services Reauthorization Act of 1998, P.L. 105-285 significantly revised the political activity provisions of the CSBG Act with the addition of 678F(b). This section declares that programs assisted with CSBG funds, "shall not be carried on in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel, in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election; or any voter registration activity."</p>	<p><input type="checkbox"/> Political Activities - Documentation of monitoring procedures to ensure that partisan political activity or any political activity associated with a candidate or in connection with an election is recognized as prohibited.</p> <p><input type="checkbox"/> IM # 81 - documentation that Voter Registration Activities guidance is available to eligible entities.</p>	<p><input type="checkbox"/> CSBG State Plan - signed assurances</p> <p><input type="checkbox"/> Example of State - Issued guidance to eligible entities regarding Voter Registration activities.</p>



# ADMINISTRATIVE OPERATIONS

## Request and Use of Waivers

<p><b>Purpose:</b> To determine that the State complies with the prohibition of funds for the purchase of land, improvement of land, construction, and permanent improvement of buildings</p> <p><b>Program Requirements:</b> The State issues guidance to educate eligible entities about the limitations on the use of CSBG funds. Requests for waivers submitted by the State to the Office of Community Services comply with the requirements defined in Information Memoranda numbers 3 and 91 and when extraordinary circumstances present themselves, the State submits a request for waiver to the Office of Community Services accordance with IMs # 3 and 91. The State is active in seeking alternative solutions to the problem presented by the entity prior to requesting a waiver.</p> <p><b>Question 1:</b> Did the State provide specific details regarding compliance with limitation of use of funds.</p>		
<p><b>Statutory References</b></p> <p>Sec. 678F(a)(1) and (2) - Limitations on use of funds</p> <p>Information Memoranda # 60 (2-6-2002)</p> <p>Duties and Interests with Respect to Property Purchased, Constructed, or Improved by An Eligible Entity Using Block Grant Funds Provided Under Public Law 105-285 Section 678(a)(1)&amp;(2) Limitations on Use of Funds and the Secretary's Rights to Waive the Prohibition</p> <p>Information Memoranda # 91 (9-29-04)</p> <p>Hurricane Katrina and Hurricane Rita CSBG Update</p> <p><a href="http://www.scbg.bhs.gov/ocs/programs/csbglm91.html">www.scbg.bhs.gov/ocs/programs/csbglm91.html</a></p>	<p><b>Critical Information</b></p> <p><input type="checkbox"/> Waiver Request - documentation of State's request to OCS for a waiver of the limitation on use of funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement of any other building or other facility. (Low-cost residential weatherization or energy related home repairs excluded).</p> <p><input type="checkbox"/> Cost-benefit Analysis - evidence of State's cost-benefit analysis in support of waiver request.</p> <p><input type="checkbox"/> Extraordinary Circumstances - documentation of State's guidance to eligible entities on waiver request procedures for justifiable waiver requests. Evidence of long-term direct benefits for the low-income population being served by a waiver request.</p> <p><input type="checkbox"/> Monitoring Practices - evidence of State's search for alternative sources of funding from other public programs designed for these purposes.</p> <p><input type="checkbox"/> Funding Sources - evidence of eligible entities' use of Community Development Block Grant funds or other funding sources for the purchase or improvement of land.</p> <p><input type="checkbox"/> Impact - documentation of the waiver's impact on the State's ability to accomplish the CSBG goals and objectives.</p>	<p><b>Examples of Supportive Information</b></p> <p><input type="checkbox"/> Waiver request from State</p> <p><input type="checkbox"/> Cost-benefit analysis document</p> <p><input type="checkbox"/> State's procedures guidance to eligible entities - State's policy on waiver requests.</p> <p><input type="checkbox"/> Evidence documenting the results of the State's efforts to seek alternative sources of funds for land.</p> <p><input type="checkbox"/> Evidence documenting the results of an eligible entity's efforts to seek alternative sources of funds for lands.</p> <p><input type="checkbox"/> Waiver Impact Statements from the State or eligible entity.</p>

# ADMINISTRATIVE OPERATIONS

## Non-Discrimination Provisions

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

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

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

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

# FINANCIAL OPERATIONS

## Distribution of CSBG funds made available to Eligible Entities

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 675C (a) Grants to Eligible Entities.</p> <p>1. 90% CSBG funds available to eligible entities</p> <p>2. Obligational authority</p> <p>3. Carry-over policies</p> <p>Sec. 675 (b)(2) Administrative Funds Caps</p>	<p><input type="checkbox"/> State Plan - documentation of the State's policies and procedures to assure that no less than 90% of CSBG funds are available to eligible entities for reducing poverty.</p> <p><input type="checkbox"/> Obligation - evidence that the State made funds available to eligible entities for the fiscal year and succeeding fiscal year.</p> <p><input type="checkbox"/> \$55,000 or 5% Administrative Cap - records documenting the State's administrative expenses. Documentation of the number of full time and part time CSBG staff. Records of the monitoring budget.</p> <p><input type="checkbox"/> NASCSP Information Survey - review of the State's information as reported in the Information Survey.</p>	<p><input type="checkbox"/> CSBG operations manual</p> <p><input type="checkbox"/> Award letters</p> <p><input type="checkbox"/> Budget for Statewide activities/services</p> <p><input type="checkbox"/> Sample payments including FT/PT employees</p> <p><input type="checkbox"/> Travel expenses for monitoring activities</p>

# FINANCIAL OPERATIONS

<b>Fiscal Controls</b> Purpose: To determine the extent to which the State's oversight of the CSBG Program complied with federal laws and accounting standards.		
Program Requirements: State policies and procedures support the establishment of fiscal controls and fund accounting procedures necessary to assure the proper disbursement of and accounting for Federal funds, including procedures for monitoring the funds provided under CSBG.		
<b>Question 2: Did the State provide specific details regarding fiscal controls and monitoring of funds?</b>		
Statutory References	Critical Information	Examples of Supportive Information
Sec. 678D (a) Fiscal Controls Sec. 678D (a)(1)(A) Monitoring Procedures Sec. 678D (a)(1)(D) Make appropriate records available for examination and or reproduction. Information Memorandum # 49 2-21-07 Guidance on CSBG Program Challenges, Responsibilities and Strategies for FY 2001-2003 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/document/ism49.html">www.acf.hhs.gov/programs/ocs/csbg/document/ism49.html</a> Information Memorandum # 97 10-10-06 Guidance on CSBG Requirement to Monitor Eligible Entities <a href="http://www.acf.hhs.gov/programs/ocs/csbg/document/ism97.html">www.acf.hhs.gov/programs/ocs/csbg/document/ism97.html</a> Information Memorandum # 98 03-01-07 CSBG Monitoring Schedule for FY2007-2009 <a href="http://www.acf.hhs.gov/programs/ocs/csbg/document/ism98.html">www.acf.hhs.gov/programs/ocs/csbg/document/ism98.html</a>	<input type="checkbox"/> General Ledger - representative samples of general ledger activities. <input type="checkbox"/> Financial Accountability Training - evidence of on-site reviews of eligible entities and their programs to ensure goals, standards and requirements established by the State are met. Evidence of financial accountability training opportunities available for eligible entities. <input type="checkbox"/> Financial Accountability - for deficient eligible entities, records of follow-up reviews and results of training and technical assistance and QIPs to correct deficiencies related to financial accountability. <input type="checkbox"/> Records - documentation of financial accountability training provided for eligible entities within the past 12 months. <input type="checkbox"/> Records - documentation of fiscal policies, grants manual accounting procedures, accounting software, procurement policies, and bookkeeping system. Documentation of CAA financial reporting requirements and financial monitoring reports. <input type="checkbox"/> Monitoring Procedures Manual - documentation of monitoring schedule. Monitoring reports, newly-designated eligible entity reports, follow-up reviews, corrective action plans and results, 262 reports.	Examples of: <input type="checkbox"/> Fiscal policies <input type="checkbox"/> Grants manual/ accounting procedures <input type="checkbox"/> Accounting software <input type="checkbox"/> Bookkeeping system <input type="checkbox"/> Procurement policies <input type="checkbox"/> General Ledger activities <input type="checkbox"/> Monitoring procedures manual <input type="checkbox"/> Selected CAA reports <input type="checkbox"/> Corrective actions plans <input type="checkbox"/> 269 Reports <input type="checkbox"/> OCS requested documentation

# FINANCIAL OPERATIONS

## Audits and Inspections

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 678(a)(2) Audits</b></p> <p><b>Sec. 678F: Limitations On Use Of Funds</b></p>	<p><input type="checkbox"/> <b>Records</b> - documentation of independent audits conducted in accordance with the Independent Audit Act. Evidence that cost and accounting standards of the Office of Management and Budget are used to monitor the funds provided under the CSBG Act. Samples of CSBG expenditures.</p> <p><input type="checkbox"/> <b>A-133</b> - copies of the most recent A-133 Audits for the State and eligible entities. Documentation of actions taken for delinquent audits.</p> <p><input type="checkbox"/> <b>Findings</b> - documentation of audit findings, and reportable conditions. Evidence that the Chief Executive Officer of the State submitted a copy of an audit to any eligible entity that was the subject of the audit, at no charge.</p> <p><input type="checkbox"/> <b>Non-Compliance</b> - documentation of non-compliance issues and corrective actions plan for delinquent eligible entities.</p> <p><input type="checkbox"/> <b>Unresolved negative findings</b> - documentation of eligible entities given an opportunity for a hearing conducted within the State. Documentation of proceedings to terminate the designation of an eligible entity or to reduce and entity's funding.</p> <p><input type="checkbox"/> <b>Funds Limitation</b> - evidence of State's guidance to eligible entities on CSBG statutes regarding construction of facilities, political activities and nondiscrimination policies.</p>	<p><input type="checkbox"/> <b>Examples of independent audits</b> conducted in accordance with the Independent Audit Act</p> <p><input type="checkbox"/> <b>Samples of A-133 audits</b></p> <p><input type="checkbox"/> <b>Examples of delinquent audit procedures</b></p> <p><input type="checkbox"/> <b>Repayment provisions policies</b></p> <p><input type="checkbox"/> <b>Records of audit requirements</b> for eligible entities</p> <p><input type="checkbox"/> <b>Examples of non-compliance issues and documentation of actions</b></p> <p><input type="checkbox"/> <b>Examples of reportable conditions</b> - outcomes</p> <p><input type="checkbox"/> <b>Examples of fraud reported</b> - outcomes</p> <p><input type="checkbox"/> <b>Examples of questioned cost reported and outcome of follow-up action</b></p> <p><input type="checkbox"/> <b>General Ledger</b></p>

# PROGRAM OPERATIONS

## Use of Funds Section

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

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

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

### Statutory References:

Sec. 675C(a)(1) - Use of Funds Grant Management

Sec. 672 - Purposes and Goals

### Critical Information

- Monitoring Schedule - examination of the State's monitoring schedule of eligible entities for the last three years
- State Monitoring Tool - documentation of the performance goals, financial management requirements, ROMA and other requirements established by the State for eligible entities.
- Use of Funds - examination of the planned use of funds. Documentation of how State funds were actually spent, including administrative costs and direct delivery of local services.
- Community Action Plans & Needs Assessments - documentation of the State's process for securing a Community Action Plan with a community needs-assessment.
- Reporting Requirements - evidence of State's requirement that entities establish and implement procedures for a tripartite board, conduct a needs assessment, submit a CAP, participate in the ROMA system, form linkages with other programs, cooperate with Federal investigations, create effective service delivery systems, coordinate with other social service programs and provide for emergency food services.
- CSBG Information Survey - examination of the number and characteristics of clients served by the CSBG program based on data collected from eligible entities.

### Examples of Supportive Information:

- Example of State organizational chart
- CSBG staff responsibilities document
- CSBG State budget & award notification to eligible entity
- Monitoring Schedule for the past three years
- Eligible entities' applications and award letters
- Monitoring reports
- If finding or corrective action - status
- Records verifying program services
- Review Community Action Plan. Are the needs being achieved?
- Examples of innovative and diverse services
- Example of evidence-based practices
- Process documenting how the State verified/verifies the Results Oriented Management and Accountability data
- Reports submitted from eligible entities

# PROGRAM OPERATIONS

## Discretionary Use of Funds

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676C(b)(1)</p>	<p><input type="checkbox"/> Discretionary Funds - documentation describing how the State made discretionary funds available from the remainder of the grant. (Not applicable to States with statutes which do not allow for Discretionary funding.)</p> <p><input type="checkbox"/> Innovation - documentation describing how the State supported innovative community and neighborhood-based initiatives with discretionary funds.</p> <p><input type="checkbox"/> ROMA - evidence that Statewide activities, and service delivery systems are based on needs assessments, have performance goals, coordinate with other programs, limit duplication and are managed and evaluated for results.</p> <p><input type="checkbox"/> Use of Funds - Examination of the State Plan for the planned use of funds by each State and eligible entity. Documentation of how funds were actually spent in the State, including administrative costs and on the direct delivery of local services.</p> <p><input type="checkbox"/> Community Action Plan (CAP).</p>	<p><input type="checkbox"/> Review budget and expenditures for limitations in the statute</p> <p><input type="checkbox"/> Evaluate methodology used to distribute funds - analyze distribution process - is it meeting the greatest need?</p> <p><input type="checkbox"/> Record of outcomes achieved through Statewide activities that increased access to services in the service area</p> <p><input type="checkbox"/> Examples of ways the State's activities increased diversity among services</p> <p><input type="checkbox"/> Examples of Statewide coordination and communication</p> <p><input type="checkbox"/> Examples of the process States used which supports coordination with other State programs and services</p> <p><input type="checkbox"/> Results of State's asset-building programs such as IDA for effectiveness</p> <p><input type="checkbox"/> Examples of data supported by results-based evidence</p> <p><input type="checkbox"/> Examples of past initiative(s) success.</p> <p><input type="checkbox"/> Examples of verified collaborative approaches within the communities</p> <p><input type="checkbox"/> Examples of outcomes of first hand partnerships</p> <p><input type="checkbox"/> Examples of the State's process to measure outcomes when using the discretionary funds</p> <p><input type="checkbox"/> Samples of media documents that demonstrate results</p> <p><input type="checkbox"/> Sample of community needs assessments and CSBG program outcomes</p> <p><input type="checkbox"/> Examples of outcomes of other Statewide CSBG activities</p>

**PROGRAM OPERATIONS**

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

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

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

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

**Statutory References:** Critical Information

**Examples of Supportive Information:**

Sec. 676(b)(5) Linkages & Coordination

Sec. 676(b)(6) Low Income Home Energy Assistance Program (LIHEAP)

Sec. 676(b)(9) Other Organizations

Linkages - evidence of new partners, new partnerships, and newly coordinated service delivery systems resulting from State's efforts to stimulate coordination and linkages within the CAA system.

Organization Coordination - evidence of agreements that establish linkages, partnerships or collaborations with other social service program providers, (i.e., Memoranda of Understanding (MOU)).

Workforce Investment Act - evidence of State agreement(s) with WIA, which determine to what extent cooperation and linkages are developed and nurtured

Description of the linkages established with other social services programs to determine their effectiveness in the delivery of services for the low-income population

Examples of procedures created to prevent duplication of services

Policies used to coordinate the provision of employment and training specifically to WIA at the State and eligible entity levels

Verification procedures that allow the State to determine that the eligible entities are working with the WIA One Stop programs?

Examples of the written CSBG services eligibility and document verification policies and procedures

Examples of any media which demonstrates effective coordination and linkages within the service areas

Examples of collaboration - One-Stop application process used for the various program services provided examples of outcome improvements resulting from religious, charitable and community organization linkages.



# PROGRAM OPERATIONS

## Community Action Plan

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>678(b)(11) - Community Action Plan</p>	<p><input type="checkbox"/> Collection Procedure - description of the procedure established by the State for obtaining Community Action Plans (with community needs assessments) from the eligible entities.</p> <p><input type="checkbox"/> CAP Integration - examples of State's coordinating information from CAP needs assessments with needs assessments conducted for other programs. Examples of expansion in State's service delivery systems, new partnerships or financial improvements.</p> <p><input type="checkbox"/> CAP Review - documentation describing the State's review process for Community Action Plans.</p> <p><input type="checkbox"/> CAP Approval - documentation describing the State criteria for approving the Community Action Plan of eligible entities.</p> <p><input type="checkbox"/> CAP Assistance - evidence of training opportunities available to eligible entities for learning to create outcome measures that promote self-sufficiency, family stability and community revitalization.</p>	<p><input type="checkbox"/> State organizational chart</p> <p><input type="checkbox"/> Staff listing with staff titles</p> <p><input type="checkbox"/> Community Action Plan outcomes</p> <p><input type="checkbox"/> Examples of the methodology used to develop the needs assessment and the implementation of the needs assessment to manage CSBG services.</p> <p><input type="checkbox"/> Examples of CSBG's impact</p> <p><input type="checkbox"/> Geographic Information System (GIS) - map of service area(s)</p>

# PROGRAM OPERATIONS

## Nutritional Services

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676(b)(4) - Nutritional Services</p>	<p><input type="checkbox"/> Poverty Assessments - documentation of State's methods for ensuring that services are provided to qualifying low-income families and individuals.</p> <p><input type="checkbox"/> Plan Implementation - examples of State's strategies to counteract conditions of starvation and malnutrition among low-income individuals. Documentation describing emergency food provisions plan - qualifications, limitations, evaluations, and coordination with other programs.</p> <p><input type="checkbox"/> Prevention Strategies - description of State's strategies to reduce reliance on nutritional services.</p>	<p><input type="checkbox"/> Examples of case files to determine income eligibility</p> <p><input type="checkbox"/> Examples of educational programs that address malnutrition.</p> <p><input type="checkbox"/> Processes in place to determine how nutritional services are provided</p> <p><input type="checkbox"/> USDA documents certifying health code compliance for food banks</p> <p><input type="checkbox"/> Examples of service coordination and service delivery which prevent service duplication and/or improve client outcomes</p>

# PROGRAM OPERATIONS

## Emergency Services

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p>Sec. 676(b)(1)(A)(vi) - Emergency Services</p>	<p><input type="checkbox"/> Community Assessments - documentation of State's methods for ensuring that services are provided to qualifying low-income families and individuals.</p> <p><input type="checkbox"/> Plan Implementation - examples of State's strategies to respond to the need for emergency services. Documentation describing emergency services provision plan - qualifications, limitations, evaluations, and coordination with other programs.</p> <p><input type="checkbox"/> Prevention Strategies - description of State's strategies to reduce reliance on emergency services.</p>	<p><input type="checkbox"/> Examples of case files to determine income eligibility</p> <p><input type="checkbox"/> Examples of educational programs that address financial planning, child and spousal abuse prevention and education and emergency preparedness response education</p> <p><input type="checkbox"/> Processes in place to determine how emergency services are provided</p> <p><input type="checkbox"/> Examples of service coordination and service delivery which prevent service duplication and/or improve client outcomes</p>

# PROGRAM OPERATIONS

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

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 676E(a)(1) - Performance Measurement</b> Information Memorandum # 49 - State's Requirements to Monitor Entities.</p> <p><b>ROMA National Goals</b> Goal 1: Low income people become more self-sufficient. Goal 2: The conditions in which low-income people live are improved. Goal 3: Low income people own a stake in their community. Goal 4: Partnerships among supporters and providers of services to low-income people are achieved. Goal 5: Agencies increase their capacity to achieve results. Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.</p>	<p><input type="checkbox"/> ROMA and National Goals - documentation of State's monitoring goals and objectives which inform program evaluation, monitoring and oversight and ensure eligible entities' compliance with Federal and State statutes, laws, policies and procedures.</p> <p><input type="checkbox"/> CSBG Information Survey Data - documentation of State's procedures to ensure full participation with the Survey and of policies to safeguard against incomplete data.</p> <p><input type="checkbox"/> State Data Collection and Tracking Systems - Evidence of the State's ability to collect and track information that can demonstrate the outcomes achieved with CSBG funds. Evidence of oversight procedures to review data collection, data tabulation and data verification methods used by eligible entities</p> <p><input type="checkbox"/> Partnerships - documentation of State's partnerships to advance ROMA performance-based concepts among eligible entities through planning, analysis and resource mobilization. Evidence of State and Association-sponsored assistance with training/technical assistance in areas such as governance, management, service delivery and program operation.</p>	<p><input type="checkbox"/> Data verification policies</p> <p><input type="checkbox"/> Examples of eligible entities' methods to gather data</p> <p><input type="checkbox"/> Examples of eligible entities' information verification policies or practices</p> <p><input type="checkbox"/> Examples of the State's method for tabulating the data from each eligible entity</p> <p><input type="checkbox"/> Records of the type of training provided to the eligible entities on ROMA</p> <p><input type="checkbox"/> Records on the process of gathering and inputting of data</p> <p><input type="checkbox"/> Documents and records used by management for data collection and verification</p>

**PROGRAM OPERATIONS**

**Annual Report**

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

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

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

Statutory References	Critical Information	Examples of Supportive Information
<p><b>Sec. 576E(a)(2) -Annual Report</b></p>	<p><input type="checkbox"/> Annual Report - documentation of the State's annual report containing a summary of the evaluations required in subsection (b) and a listing of all activities assisted under this section.</p> <p><input type="checkbox"/> National Goals - documentation on the State's procedure to ensure eligible entity's compliance with the National Goals and outcome measures.</p> <p><input type="checkbox"/> Training and Technical Assistance - documentation of eligible entity training</p>	<p><input type="checkbox"/> Records that identify the strategy each eligible entity uses to verify information</p> <p><input type="checkbox"/> Outcomes documents that demonstrate the difference between the planned vs. actual uses of funds</p> <p><input type="checkbox"/> State and eligible entity correspondence documenting the procedural guidance on National Goals and outcomes measures</p> <p><input type="checkbox"/> Training and technical assistance documents or records relating to outcomes, measures, national goals</p> <p><input type="checkbox"/> Records of processes for data gathering, recording and reporting</p> <p><input type="checkbox"/> State and eligible entity reports, publications, newsletters, awards etc.</p> <p><input type="checkbox"/> Other documents and records used by management for data collection and verification</p>

**PROGRAM OPERATIONS**

**Child Support Services and Referrals**

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

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

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

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

CONTACT INFORMATION

PROGRAM REPRESENTATIVE \_\_\_\_\_

TITLE \_\_\_\_\_

PHONE NUMBER \_\_\_\_\_ FAX \_\_\_\_\_

EMAIL \_\_\_\_\_

STATE \_\_\_\_\_ DATE COMPLETED \_\_\_\_\_

ALTERNATE CONTACT \_\_\_\_\_

TELEPHONE NUMBER \_\_\_\_\_

EMAIL \_\_\_\_\_

PROGRAM WEBSITE \_\_\_\_\_

Alternative contact is person responsible for completing this form.

# ANEJO 5

REFUNDING APPLICATION





ESTADO LIBRE ASOCIADO DE  
**PUERTO RICO**  
Administración de Familias y Niños

## COMMUNITY SERVICES BLOCK GRANT (CSBG)

### REFUNDING APPLICATION PROGRAM YEAR

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ADMINISTRADOR/A

**Administración Auxiliar Servicios  
de Prevención en la Comunidad**  
Edif. L3a Mayoral, 306 Ave Barbosa  
PO Box 194090, San Juan, PR 00919-4090  
Tel. 787-625-4900 Fax: 787-625-4918



COMMUNITY SERVICES BLOCK GRANT (CSBG)  
APPLICATION FOR FEDERAL FISCAL YEAR \_\_\_\_\_

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PART I  
ENTITY INFORMATION

ENTITY INFORMATION

A. GENERAL INFORMATION - PROGRAM YEAR \_\_\_\_\_

Community Action Agency: \_\_\_\_\_  
Corporate Name

Program Activities: \_\_\_\_\_  
\_\_\_\_\_

Program Year: From: \_\_\_\_\_ To: \_\_\_\_\_  
m/d/y m/d/y

Applicant: \_\_\_\_\_

Contact Person and Position: \_\_\_\_\_

Local Address: \_\_\_\_\_

Postal Address: \_\_\_\_\_

Zip Code: \_\_\_\_\_

Service Area for this Project: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Corporate Number: \_\_\_\_\_

Employer's Social Security: \_\_\_\_\_

Number of Services Recipients: \_\_\_\_\_

CSBG Budget requested: \$ \_\_\_\_\_

CSBG carry over funds projected \$ \_\_\_\_\_

Certification: To the best of my knowledge, the information on this application is correct and has been authorized by the governing body of the organization. We acknowledge that information contained becomes part of the terms and conditions of any grant that is awarded on the basis of this application. The applicant will comply with the stipulations of the grant if this is approved.

\_\_\_\_\_  
Board Chairman Name and Signature Date \_\_\_\_\_

\_\_\_\_\_  
Chief Executive Officer (CEO) Date \_\_\_\_\_

B. CERTIFICATION OF COMPLIANCE

We certify that \_\_\_\_\_  
(Insert name of agency)

The board and staff have read the federal statute governing CSBG, (42 U.S.C. 9901 et seq.), as amended, and agree to comply with all applicable certifications and assurances, including, but not limited to, the composition and function of the board of directors, the use of funds the Community Action Plan, CSBG Work Plan and Budget, the submission of reports, and the applicable laws limitations and restrictions. Further, we have reviewed the attached application requesting CSBG Funds for FFY \_\_\_\_\_ and have determined that all documents are complete and accurate.

Sub Grantee Authorized Signatures:

_____	_____
Board Chairman	Signature
_____	_____
Printed Name	Date
_____	_____
Chief Executive Officer (CEO)	Signature
_____	_____
Printed Name	Date



D. PROGRAM PRIORITIES FFY \_\_\_\_\_

As a result of the needs assessment, describe the program priorities for FFY \_\_\_\_\_  
for the following Goals:

Goal 1: Low-Income People Become More Self-Sufficient

Goal 2: The Conditions in Which Low-Income People Live are Improved

Goal 3: Low-Income People Own a Stake in Their Community

Goal 4: Partnerships among Supporters and Providers of Service to Low-Income People  
are Achieved

Goal 5: Agencies Increase Their Capacity to Achieve Results

Goal 6: Low-Income People, Especially Vulnerable Populations, Achieve Their  
Potential by Strengthening Family and Other Supportive Systems



## E. EXECUTIVE SUMMARY

### 1. Description of Applicant

- a) Briefly describe the applicant agency or corporation (eligible entity); include the following: Vision, Mision, Goals and Objectives.
- b). Describe the following: target population, service delivery and the organizations achievements.

### 2. Organizational Structure and Sustainability

1. Describe the administrative capacity to implement the proposed project. Describe the method in the delivery of the services.
2. Indicate if the proposed is a continuation project, and briefly describe the project achievements during the past year.

### 3. Application Summary

1. Briefly and concisely, describe the services need of the low-income population in the proposed service area. Justify the needs for the project.
2. In general, describe what will be done and the service impact (outcome) on the identified communitie's needs and the target population.
3. Identify the budget needs.

### 4. Organizationzal Flow Chart

PART II:  
COMMUNITY ACTION PLAN

## PART II: COMMUNITY ACTION PLAN

### A. Administration Structure

#### 1. Eligible Entity:

- a) Outlines the mission, vision and responsibilities of the agency (eligible entity) designated to administer the Community Services Block Grant Program.
- b) Goals and objectives of the agency to administer the funds.
- c) Organization Chart

#### 2. Delegate Agencies

- a) Provide a list of delegate agencies and the delivered services.
- b) Show geographic areas and the participants characteristics served.

#### 3. Describe the monitoring and evaluation process to delegate agencies.

### B. Community Services Program Implementation.

Program Overview, describe the following:

1. Community Needs Assessment (problems, needs or situations and their underlying causes)
2. Service Delivery System
3. Family Development and Linkages
4. Coordinations/Partnerships

4. *Coordination/\_\_\_\_\_ Community Partnership*

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

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Name and Type of Organization:

Description of Involvement:

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Name and Type of Organization:

Description of Involvement:

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Name and Type of Organization:

Description of Involvement:

COPY THIS PAGE AS MANY TIMES AS NEED.

42 U.S.C. 9908 et seq., Section 676 (b), "(9) an assurance 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;"

Coordination / \_\_\_\_\_ Community Partnership (continued)

42 U.S.C. 9908 et seq., Section 676 (b), "(5) an assurance 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 the linkages with Workforce Innovation and Opportunity Act. Of 2014, (WIOA). This law replaces Workforce Investment Act of 1998.

Describe other linkages (optional):

## C. WORK AND EVALUATION PLAN (LOGIC MODEL)

### 1. Work and Evaluation Narrative Plan

The entity must elaborate separate narratives for the Work Plan and for the Evaluation Plan. The narrative of the Work and Evaluation Plan should be divided into the following components: First a narrative of the Work Plan which corresponds to columns 1 to 4 of the Work and Evaluation Plan Form/Logic Model, and second, the Evaluation Narrative Plan which corresponds to columns 5 and 6 of the same Form.

The Work Plan Narrative should include specific information about each of the Programs or Services to be offered by the Entity during the corresponding program year. The narrative should provide the detailed information that cannot be presented in the Form and that provides to the application evaluator a clear understanding of the Services or Program proposed. The expected outcomes should be stated in a way that reflects the results of the intervention in the lives of the people served.

In terms of the Evaluation Narrative Plan, describe the complete procedure that will be used to evaluate the achievements of the expected outcomes. Describe the procedure to collect the information, the instruments that will be used to gather the data, where it will be placed and the personnel responsible for those activities. Establish the frequency data will be collected, the procedure to manage it and the projected use of the resulting information.

### 2. Work and Evaluation Plan Forms and Instructions

Following the CSBG Work and Evaluation Form / Logic Model, please use it to present the Plan. To facilitate and standardize its completion we provide a brief definition of the Form.

CSBG PROGRAM

Work and Evaluation Form / Logic Model

FY \_\_\_\_\_

Agency Reporting: \_\_\_\_\_  
 National Goal: \_\_\_\_\_  
 Program Name: \_\_\_\_\_

Total Program Cost: \_\_\_\_\_  
 Family  Agency  Community

Identified Problem, Need, Situation	Service or Activity Identify the timeframe served or the # of units offered	National Performance Indicator Added NPI number, sec NPI Instruction Manual	Expected Outcome Projected # and % of clients who will achieve each outcome or Projected # and % of units expected to be achieved.	Actual Results The actual # of clients achieving the outcome divided by the number served, the % of clients who achieved each outcome.	Measurement Tool, Data Source, Collection Procedure, Personnel responsible	Frequency and used of Data Collection and Reporting
(1) Planning	(2) Intervention	(3) Performance	(4) Performance	5) Accountability	(6) Accountability	(7) Accountability

Mission:

Proxy outcome:

## WORK AND EVALUATION FORM INSTRUCTIONS

Agency Reporting	Name of the entity.
National Goal	Write the national goal that corresponds to the work plan presented. Complete a plan for each national goal.
Program Name	Name of the program or services presented in the plan.
Total Program Cost	The cost of the program or service presented in the plan.
<input type="checkbox"/> Family <input type="checkbox"/> Agency <input type="checkbox"/> Community	Select, the one that corresponds to, the national goal of the plan presented.
Column 1	Identified Problem, Need, and Situation: Provide a general statement of need that provides the rationale for the service, activity, or intervention to be provided.
Column 2	Service or Activity: Specify the service (s) or intervention (s) to be provided in response to the problem, need, or situation. Always indicate the number of people or number of services offered and a timeframe.
Column 3	National Indicator: Specify the code of the National Indicator to which the activity corresponds.
Column 4	Outcome/Indicator: Outcome/Indicator refers to the results or impact of a program activity, service, or intervention and are used to measure performance. Indicators are typically represented with both the # and the %. Column 4 is used to project the expected outcome.
Column 5	Actual Results: This column is for reporting the actual results in the Quarterly Reports and in the Annual Report of Results.
Column 6	Measurement Tool: Specify the data source; this is where raw data is collected, e.g. survey instrument, attendance log, case record, pre and post tests, waiting list, etc. Include the personnel responsible for the data collection.
Column 7	Frequency of Data Collection, Used and Reporting: How often data is required to be collected and how often it is reported: to whom and with what purpose.
Mission:	Provide the mission statement.
Proxy Outcome:	Indicate if a Proxy Outcome is used in the Logic Model.



PART III

BUDGET JUSTIFICATION  
NARRATIVE AND FORMS

## PART III: BUDGET JUSTIFICATION NARRATIVE AND FORMS (INSTRUCTIONS)

### 1. Distribution and Allocation of Funds to the Eligible Entities and Delegate

Agencies:

Describe and provide a breakdown of planned administrative expenses and direct services for the fiscal year \_\_\_\_\_ and the criteria allocation of the CSBG funds to delegate agencies.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness and allocation of the proposed costs. For each Program presented in the Work and Evaluation Plan provide a narrative of how the requested budget will be used. Complete the general budget formats A.1 to A.4 and for each Program presented in the Work Plan complete the forms provided by CSBG Program.

### 2. Additional Information

Use the following guidelines for preparing the budget and budget justification. Both federal and local shared resources (when required) shall be detailed and justified in the budget and in the narrative justification. Use the formats provided in the application. The justification should be in a narrative form.

#### PERSONNEL

Description: Costs of employee salaries and wages.

Justification: For each staff person, provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates, etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant.

#### FRINGE BENEFITS

Description: Cost of employees fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, etc.

#### TRAVEL

Description: Costs of project-related travel by employees of the applicant organization. (This item does not include costs of consultant travel).

Justification: For each trip show: the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used; and other transportation costs and subsistence allowances. Travel costs for key staff to attend OCS-sponsored workshops should be detailed in the budget.

#### EQUIPMENT

Description: 'Equipment' means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; indicate where the equipment will be located; and a plan for use on the project; as well as use and/or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

#### SUPPLIES

Description: Costs of all tangible personal property other than that included under the Equipment Category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

#### CONTRACTUAL

Description: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations, including delegate agencies and specific project(s) and/or businesses to be financed by the applicant.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, the maximum extent practical, open and free competition. Must justify any anticipated procurement action that is expected to be awarded without competition.

Recipients might be required to make available to ADFAN pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, etc.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

#### OTHER

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: insurance; food; medical and dental costs (non-contractual); professional services costs; space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

Justification: Provide computations, a narrative description and a justification for each cost under this category.

## INDIRECT COSTS

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal Agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant's organization must submit a signed acknowledgement that is accepting other rate than allowed.

## NON-FEDERAL RESOURCES

Description: Amounts of non-federal resources that will be used to support the project.

Justification: The firm commitment of these resources must be documented and submitted with the application so that is given credit in the review process. A detailed budget must be prepared for each funding source.

## UNALLOWABLE COSTS INCLUDE, BUT ARE NOT LIMITED TO:

1. Advertising and public relations costs
2. Advisory councils
3. Alcoholic beverages
4. Audit costs and related services
5. Bad debts
6. Bonding costs
7. Communication costs
8. Compensation for personal services

9. Contingency provisions
10. Entertainment costs
11. Fines and penalties
12. Lobbying
13. Taxes

For the elaboration of the budget summary, the eligible entities should refer to The Super Circular, effective on December 26, 2014.

**BUDGET FORMS (PLEASE COMPLETE THE FOLLOWING FORMS)  
 COMMONWEALTH OF PUERTO RICO  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 COMMUNITY SERVICES BLOCK GRANT**

BUDGET INFORMATION SUMMARY				
<b>I. BASIC INFORMATION</b>				
A. Name and Address  Social Security		B. Program Year	C. Financing Sources <input type="checkbox"/> Administration <input type="checkbox"/> CSBG Regular <input type="checkbox"/> Discretionary Funds <input type="checkbox"/> Others (Specify)	
<b>II. USE OF FUNDS SUMMARY</b>				(A)
DESCRIPTION				TOTAL BUDGET
A. ADMINISTRATION				
B. ELIGIBLE ACTIVITIES				
TOTAL				
<b>III. ACTIVITIES AND COST CATEGORIES</b>				
(B)	(C)	(D)	(E)	(F)
REFERENCE	DESCRIPTION	CSBG FUNDS	LOCAL SHARE	TOTAL
	A. ADMINISTRATION			
	SALARIES (Exhibit 1)			
	FRINGE BENEFITS (Exhibit 2)			
	EXTERIOR TRAVEL (MILEAGE AND DIET)			
	LOCAL TRAVEL (MILEAGE AND DIET)			
	PROFESSIONAL SERVICES a. Audit ( ) b. Legal Services ( ) c. Consult ( )			
	MATERIAL (Exhibit 3)			
	EQUIPMENT (Exhibit 4)			
	RENT OF FACILITIES			
	UTILITIES (WATER AND LIGHT)			
	TELEPHONE			
	INSURANCES AND DEPOSITS			
	OTHER MISCELLANEOUS EXPENSES			
	SUB-TOTAL			

B. ELIGIBLE ACTIVITIES				
1.	SELF SUFFICIENCY			
2.	EMPLOYMENT			
3.	EDUCATION			
4.	BETTER USE OF INCOME			
5.	HOUSING			
6.	EMERGENCY			
7.	COMMUNITY DEVELOPMENT a. Entities and Governmental Alliance ( ) b. Prevention Program ( )			
8.	YOUTH SERVICES a. After-School Program ( ) b. Prevention Program ( )			
9.	OTHERS			
SUB-TOTAL				
TOTAL				

**CERTIFICATION**

CERTIFY TO MY BEST KNOWLEDGE THAT THIS EXHIBIT TO THE BUDGET INFORMATION SUMMARY IS CORRECT IN ALL ASPECTS; THAT ALL EXPENSES REPORTED ARE PERMISSIBLE UNDER THE COMMUNITY SERVICES LAW, ITS REGULATIONS; ADMINISTRATIVE MEMORANDUMS FROM ADFAN AND THAT MORE DISEMBURSED IN ACCORDANCE TO THE APPROVED PROPOSAL AND THE CONTRACT STIPULATIONS AND FUNDS DELEGATIONS.

_____	_____	_____	_____
NAME	POSITION	SIGNATURE	DATE
_____	_____	_____	_____
NAME	POSITION	SIGNATURE	DATE

FOR INTERNAL USE - ADFAN

OBSERVATIONS:

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VERIFIED BY: \_\_\_\_\_

NAME	POSITION	SIGNATURE	DATE
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APPROVED BY: \_\_\_\_\_

NAME	POSITION	SIGNATURE	DATE
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COMMONWEALTH OF PUERTO RICO  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 COMMUNITY SERVICES BLOCK GRANT

EXHIBIT FOR THE BUDGET INFORMATION SUMMARY

I. BASIC INFORMATION

A. NAME AND ADDRESS	C. ACTIVITIES	D. FINANCING SOURCES
_____	<input type="checkbox"/> SELF SUFFICIENCY <input type="checkbox"/> EMPLOYMENT <input type="checkbox"/> EDUCATION <input type="checkbox"/> BEST USE OF INCOME <input type="checkbox"/> HOUSING <input type="checkbox"/> EMERGENCY SERVICE <input type="checkbox"/> COMMUNITY DEVELOPMENT <input type="checkbox"/> YOUTH	<input type="checkbox"/> CSBG REGULAR <input type="checkbox"/> DISCRETIONAL FUNDS
B. PROGRAM YEAR		
_____		

(A) II. COST CATEGORIES BUDGET	(B) CSBG FUNDS	(C) LOCAL SHARE	(D) TOTAL
SALARIES (EXHIBIT 1)			
FRINGE BENEFITS (EXHIBIT 2)			
TRAVEL (MILEAGE AND DIET)			
PROFESSIONAL & CONSULTING SERVICES			
MATERIALS (EXHIBIT 3)			
EQUIPMENT (EXHIBIT 4)			
RENT OF FACILITIES			
UTILITIES (WATER AND LIGHT)			
TELEPHONE			
ASSURANCES AND DEPOSITS			
OTHER EXPENSES			
<b>TOTAL</b>			

CERTIFICATION

CERTIFY TO MY BEST KNOWLEDGE THAT THIS EXHIBIT TO THE BUDGET INFORMATION SUMMARY IS CORRECT IN ALL ASPECTS; THAT ALL EXPENSES REPORTED ARE PERMISSIBLE UNDER THE COMMUNITY SERVICES LAW, ITS REGULATIONS; ADMINISTRATIVE MEMORANDUMS FROM ADFAN AND THAT MORE DISEMBURSED IN ACCORDANCE TO THE APPROVED PROPOSAL AND THE CONTRACT STIPULATIONS AND FUNDS DELEGATIONS.

NAME	POSITION	SIGNATURE	DATE
_____	_____	_____	_____
NAME	POSITION	SIGNATURE	DATE
_____	_____	_____	_____

INTERNAL USE-ADFAN

OBSERVATIONS: \_\_\_\_\_

VERIFIED BY:	NAME	POSITION	SIGNATURE	DATE
APPROVED BY: :	NAME	POSITION	SIGNATURE	DATE
	_____	_____	_____	_____
	_____	_____	_____	_____

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
COMMUNITY SERVICES BLOCK GRANT

DETAIL OF SALARIES					
I. INFORMATION					
A. NAME AND ADDRESS:	B. PROGRAM YEAR:	C. ELIGIBLE ACTIVITIES:	D. FINANCING SOURCES		
_____	_____	<input type="checkbox"/> SELF <input type="checkbox"/> EMPLOYMENT <input type="checkbox"/> EDUCATION <input type="checkbox"/> BETTER USE <input type="checkbox"/> OF INCOME <input type="checkbox"/> HOUSING <input type="checkbox"/> EMERGENCY <input type="checkbox"/> COMMUNITY <input type="checkbox"/> INVOLVEMENT <input type="checkbox"/> YOUTH	<input type="checkbox"/> ADMINISTRATION <input type="checkbox"/> CSBG REGULAR <input type="checkbox"/> DISCRETIONAL <input type="checkbox"/> FUNDS		
_____					
_____					
II. SALARIES					
NAME	FUNCTIONAL POSITION	PERIOD	ANNUAL SALARY	CSBG FUNDS	LOCAL SHARE
					<input type="checkbox"/> CASH <input type="checkbox"/> IN-KIND
<b>TOTAL</b>					

COMMUNITY SERVICES BLOCK GRANT  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 COMMUNITY SERVICES BLOCK GRANT

Exhibit 2  
Rev. 2013

DETAIL OF FRINGE BENEFITS			
I. INFORMATION	B. PROGRAM YEAR:	C. ELIGIBLE ACTIVITIES:	D. FINANCING SOURCES
A. NAME AND ADDRESS:		SELF SUFFICIENCY _____ EMPLOYMENT _____ EDUCATION _____ BETTER USE OF INCOME _____ HOUSING _____ EMERGENCY _____ COMMUNITY INVOLVEMENT _____ YOUTH _____	ADMINISTRATION _____ CSBG REGULAR _____ DISCRETIONAL FUNDS _____
II. FRINGE BENEFITS	DESCRIPTION	CSBG FUNDS	LOCAL SHARE
ACCOUNT NUMBER			CASH      IN-KIND
	SOCIAL SECURITY * _____ X % = _____		
	NON OCCUPATIONAL DISABILITY INSURANCE * _____ X _____ = _____		
	UNEMPLOYMENT INSURANCE		
	STATE FUND INSURANCE		
	DRIVING INSURANCE		
	HEALTH INSURANCE		
	CHRISTMAS BONUS		
<b>TOTAL</b>			

\*Please, use in the description the amount (\$) and percent (%) to be use in CSBG Funds.

ADMINISTRATION FOR CHILDREN AND FAMILIES  
COMMUNITY SERVICES BLOCK GRANT

DETAIL OF MATERIALS			
I. INFORMATION		D. FINANCING SOURCES	
A. NAME AND ADDRESS:		ADMINISTRATION	
B. PROGRAM YEAR:		___ CSBG REGULAR	
C. ELIGIBLE ACTIVITIES:		___ DISCRETIONAL FUNDS	
___ SELF SUFFICIENCY		___	
___ EMPLOYMENT		___	
___ EDUCATION		___	
___ BETTER USE OF INCOME		___	
___ HOUSING		___	
___ EMERGENCY		___	
___ COMMUNITY INVOLVEMENT		___	
___ YOUTH		___	
II. MATERIALS		COST PER UNIT	AMOUNT
QUANTITY	DESCRIPTION		
<b>TOTAL</b>			

Rev. 2013

COMMONWEALTH OF PUERTO RICO  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 COMMUNITY SERVICES BLOCK GRANT

DETAIL OF EQUIPMENT				
I. INFORMATION				
A. NAME AND ADDRESS:		B. PROGRAM YEAR:	D. FINANCING SOURCES	
_____		_____	<input type="checkbox"/> ADMINISTRATION <input type="checkbox"/> CSBG REGULAR <input type="checkbox"/> DISCRETIONAL FUNDS	
C. ELIGIBLE ACTIVITIES:				
_____		<input type="checkbox"/> SELF SUFFICIENCY <input type="checkbox"/> EMPLOYMENT <input type="checkbox"/> EDUCATION <input type="checkbox"/> BETTER USE OF INCOME <input type="checkbox"/> HOUSING <input type="checkbox"/> EMERGENCY <input type="checkbox"/> COMMUNITY INVOLVEMENT <input type="checkbox"/> YOUTH		
II. EQUIPMENT		DESCRIPTION	COST PER UNIT	AMOUNT
QUANTITY				
<b>TOTAL</b>				

PART. IV  
REQUIRED CERTIFICATIONS,  
FORMS AND OTHERS DOCUMENTS

LIST OF BOARD OF DIRECTORS AND OFFICERS FFY

GENERAL INFORMATION:

Eligible Entity: \_\_\_\_\_ Date: \_\_\_\_\_

Total Board members, as stated in current By Laws: \_\_\_\_\_

If the total of members on this list differs from By Laws, explain: \_\_\_\_\_

Provide the names and addresses of all the members of the CSBG Entity's Board of Directors in the chart below. Include the total number of seats allocated to each sector and the number of current vacancies for each sector. \*Provide a written plan of action to fill vacancies.

Officers	
<u>Name</u>	<u>Office</u>
_____	_____
_____	_____
_____	_____
_____	_____

**Elected Public Officials (1/3 of the members)**

Total Number of Seats: \_\_\_\_\_ (as stated in current by laws)  
 Total Number of Vacancies: \_\_\_\_\_ (as of the date of this document)

Name and Address	Public Official*	Term
1	Office:  Title:  Organization:	to
2	Office:  Title:  Organization:	to
3	Office:  Title:  Organization:	to



Elected Public Officials (continued)		
Name and Address	Public Official*	Term
4	Office:  Title:  Organization:	to
5	Office:  Title:  Organization:	to
6	Office:  Title:  Organization:	to
7	Office:  Title:  Organization:	to
8	Office:  Title:  Organization:	to
9	Office:  Title:  Organization:	to
10	Office:  Title:  Organization:	to

11	Office:  Title:  Organization:	to
----	--	----

\*Public Official: One-third of the members must be elected public officials or their representatives. The elected public official must be in office. Indicate the *office* and *title* of the public official serving or being represented (mayor, county supervisor, member of congress, etc.)

COMMUNITY SERVICES BLOCK GRANT  
LIST OF BOARD OF DIRECTORS AND OFFICERS

Eligible Entity: \_\_\_\_\_ Date: \_\_\_\_\_

Representatives of Low-Income Individuals and Communities (at least 1/3 of the members)		
Total Number of Seats: _____ (as stated in current by laws)		
Total Number of Vacancies: _____ (as of the date of this document)		
Name and Address	Neighborhood*	Term
1		to
2		to
3		to
4		to
5		to
6		to
7		to

8		to
9		to
10		to

\*Neighborhood: Please complete, if applicable, in compliance with the federal statute which requires, "Each representative of low-income individuals and families selected to represent a specific neighborhood must reside in the neighborhood represented."

**COMMUNITY SERVICES BLOCK GRANT  
LIST OF BOARD OF DIRECTORS AND OFFICERS**

Eligible Entity: \_\_\_\_\_ Date: \_\_\_\_\_

Representative of the Private Sector (remainder of the members) [Must be members or officials]		
Total Number of Seats: _____ (as stated in current by laws)		
Total Number of Vacancies: _____ (as of the date of this document)		
Name and Address	Member/Official*	Term
1		to
2		to
3		to
4		to
5		to
6		to
7		to

8		to
9		to
10		to

\*Indicate the federally required category. The federal statute requires the remaining seats to be filled with members or officials of business, industry and labor, religious, law enforcement, education, or other major groups and interest in the community served.

Authorized Signatures FFY \_\_\_\_\_

Subgrantee/Eligible Entity: \_\_\_\_\_

The Board of Directors of the above-stated agency has authorized the Board Chairman/President and the following person(s) to sign CSBG contracts and related documents as indicated below.

DOCUMENT	TITLE	NAME	SIGNATURE
CONTRACTS/ AMENDMENTS	1). 2).		
FINANCIAL REPORTS	1). CEO Executive Director 2). Fiscal Officer/ Controller		
PROGRAM REPORTS	1). 2).		
VOUCHERS	1). 2).		

The above authorizations were approved by the Board of Directors on \_\_\_\_\_

Date

Board Chairman Name \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

(Board Chairman)

If more than two persons are authorized to sign copy and attach additional sheets.  
Check here if extra sheets are attached.

FAILURE TO SUBMIT THIS FORM WITH ORIGINAL SIGNATURES INDICATES THAT ONLY THE BOARD CHAIRMAN IS AUTHORIZED TO SIGN ALL CSBG DOCUMENTS.

IF CHANGES OCCUR DURING THE CONTRACT PERIOD, A REVISED AUTHORIZED SIGNATURES FORM MUST BE SUBMITTED.



COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

COMMUNITY SERVICES BLOCK GRANTS (CSBG)

CERTIFICATION REGARDING COMPLIANCE WITH FEDERAL  
POVERTY GUIDELINES

I, \_\_\_\_\_ hereby certify that I will use the OMB, Poverty Guidelines to determine eligibility of participants for CSBG funded programs and services.

To be eligible, participants must be at or below 125% of the poverty level.

Furthermore, I certify that I have established a procedure to determine the eligibility of each applicant for the services sponsored with CSBG funds.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title of Authorized Official

\_\_\_\_\_  
Subgrantee/Eligible Entity

\_\_\_\_\_  
Date

FEDERAL CERTIFICATION REGARDING DEBARMENT,  
SUSPENSION AND OTHER RESPONSIBILITY MATTERS (LOWER TIER)

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 whom 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, [[Page 33043]] 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
8. 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 5 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.

\_\_\_\_\_  
Subgrantee/ Eligible Entity Name

\_\_\_\_\_  
Name and Title of  
Authorized Representative

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

CSBG PROGRAM

CERTIFICATION REGARDING DRUG-FREE WORKPLACE

I, \_\_\_\_\_  
(Sub-grantee Chief Executive Officer)

Certify that the Program or Project workplace \_\_\_\_\_  
funded with CSBG grant will continue to provide a drug-free workplace. I will  
take the following measures to fulfil this agreement.

(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 ten 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).

I certify that the above information is true and accurate. I also understand that to render a false certification, or otherwise violating the requirements of the Drug-Free Workplace Act, will terminate the CSBG payments and or subvention.

\_\_\_\_\_  
Signature and Title of  
Authorized Official

\_\_\_\_\_  
Date

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

CSBG PROGRAM

*CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE*

The Pro-Children Act of 2001, 42 U.S.C. 7181 through 7184, imposes restrictions on smoking in facilities where Federally-funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity.

\*\*\*\*\*

By signing and submitting this assurance/grantee certifies that it will comply with the requirements of the Act. The grantee further agrees that it will require the language of this certification be included in any sub awards which contain provisions for children's services and that all sub grantees shall certify accordingly.

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

CSBG PROGRAM

ASSURANCE OF COMPLIANCE WITH THE DEPARTMENT OF  
HEALTH AND HUMAN SERVICES REGULATION UNDER  
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

\_\_\_\_\_ (Hereafter called the "Applicant" HEREBY AGREES THAT it will comply with Title VI of Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45CFR Part 80) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Department, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Department.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date here of the Applicant by the Department, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance



will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial Enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Signature and Title of Authorized  
Official

\_\_\_\_\_  
Area Code - Telephone Number

\_\_\_\_\_  
Applicant (type or print)

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City            State            zipcode

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

CSBG PROGRAM

*CERTIFICATION REGARDING LOBBYING*

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

STATEMENT FOR LOAN GUARANTEES AND LOAN INSURANCE

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

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

\_\_\_\_\_  
Subgrantee/ Eligible Entity

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Official

\_\_\_\_\_  
Signature

## ASSURANCES FOR COMMUNITY SERVICES BLOCK GRANT APPLICATIONS

The subgrantee certifies that it agrees to use the Fiscal Year \_\_\_\_\_ funds available through the Community Services Block Grant:

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals—

(i) To remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) To secure and retain meaningful employment;

iii) to attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;

(iv) To make better use of available income;

(v) To obtain and maintain adequate housing and a suitable living environment;

(vi) To obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and

(vii) To achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to—

(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;

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

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

(ii) After-school child care programs; and *State Community Services Block Grant Assurances*  
Page 2 of 5

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

The subgrantee certifies that it will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

The subgrantee certifies that it will coordinate and establish linkages with 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. The subgrantee will, to the maximum extent possible, coordinate programs 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.

The subgrantee agrees to participate in the Results Oriented Management and Accountability System (ROMA) for measuring performance and results.

\_\_\_\_\_  
Subgrantee/ Eligible Entity

\_\_\_\_\_  
Board Chairman or Chief  
Executive Officer

\_\_\_\_\_  
Date

COMMONWEALTH OF PUERTO RICO  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
DEPARTMENT OF THE FAMILY

CSBG PROGRAM

LGBTQ Accessibility Policy

I hereby attest and certify that:

The needs of lesbian, gay, bisexual, transgender, and questioning program participants are taken into consideration in applicant's program design. Applicant considered how its program will be inclusive of and non-stigmatizing toward such participants. If not already in place, awardee and, if applicable, sub-awardees must establish and publicize policies prohibiting harassment based on race, sexual orientation, gender, gender identity (or expression), religion, and national origin. The submission of an application for this funding opportunity constitutes an assurance that applicants have or will put such policies in place within 12 months of the award. Awardees should ensure that all staff members are trained to prevent and respond to harassment or bullying in all forms during the award period. Programs should be prepared to monitor claims, address them seriously, and document their corrective action(s) so all participants are assured that programs are safe, inclusive, and non-stigmatizing by design and in operation. In addition, any sub-awardees or subcontractors:

- Have in place or will put into place within 12 months of the award policies prohibiting,
- Harassment based on race, sexual orientation, gender, gender identity (or expression),
- Religion, and national origin,
- Will enforce these policies,
- Will ensure that all staff will be trained during the award period on how to prevent and,
- Respond to harassment or bullying in all forms, and,
- Have or will have within 12 months of the award, a plan to monitor claims, address them seriously, and document their corrective action(s).

\_\_\_\_\_  
Subgrantee/ Eligible Entity

\_\_\_\_\_  
Board Chairman or Chief  
Executive Officer

\_\_\_\_\_  
Date

# ANEJO 6

ESPECIALISTAS EN EVALUACION DE  
PROGRAMA  
PROGRAMA CSBG



**Programa de Concesión en Bloque para Servicios  
Comunales (CSBG)**

Especialista en Evaluación de Programas	Correo Electrónico	Teléfono
Sra. Elena Meléndez	emelendez@familia.pr.gov	(787)625-4900 Ext. 1783
Sra. Yolanda González	ygonzalez@familia.pr.gov	(787)625-4900 Ext. 1786
Sr. Pedro C. Ortiz	pcrodriguez@familia.pr.gov	(787)625-4900 Ext. 1785

*Administración Auxiliar de  
Servicios de Prevención en la Comunidad*  
Edif. Lña Mayoral, 306 Ave Barbosa  
PO Box 194090, San Juan, PR 00919-4090  
Tel. 787-625-4900





# ANEJO 7

HOJA DE COTEJO DE DOCUMENTOS PARA  
CONTRATOS

CORPORACIÓN: \_\_\_\_\_  
 NÚM. CONTRATO: \_\_\_\_\_

HOJA DE COTEJO – DOCUMENTOS PARA CONTRATOS

	<b>Certificado del Registro Único de Licitadores (ASG)</b>
	<b>Identificación</b> con foto vigente (copia) – licencia de conducir; identificación oficial expedida por Departamento de Transportación y Obras Públicas; pasaporte; tarjeta electoral, solo si se ofrece o muestra voluntariamente sin serle requerida.
	<b>Certificación de Radicación de Planillas de Contribución sobre Ingreso en original</b> expedida por el Departamento de Hacienda indicando que ha radicado planillas contributivas por los últimos cinco (5) años. (Forma SC 6088). De no constar alguno de los periodos contributivos deberá evidenciar los mismos mediante la Forma SC 2781 preparado por Hacienda. De no surgir radicado alguno de los años cubiertos por la certificación, deberá presentar evidencia de la radicación con copia de la primera hoja de la planilla correspondiente conteniendo el sello de recibida por Hacienda. <b>Las corporaciones exentas deberán presentar evidencia de que no han rendido planillas por los años correspondientes.</b>
	<b>Certificación negativa de Deuda en original</b> expedida por Hacienda (Forma SC 6096). De surgir deuda contributiva, se debe evidenciar mediante documento expedido por Hacienda que está acogido a plan de pago y que está en cumplimiento con los términos del mismo.
	<b>Certificación de radicación de Planillas de Impuesto sobre Ventas y Uso (IVU)</b> expedida por Departamento de Hacienda para los últimos sesenta (60) periodos contributivos. (Forma SC 2942). Debe incluir base y localidad.
	<b>Certificación negativa de Deuda por concepto de Impuesto Sobre Ventas y Uso (IVU)</b> expedida por el Departamento de Hacienda (Forma 2927). De surgir deuda contributiva, se debe evidenciar mediante documento expedido por Hacienda que está acogido a plan de pago y que está en cumplimiento con los términos del mismo.
	<b>Copia de Certificado de Registro de Comerciantes</b> (Forma SC2918) – De ser comerciante recién incorporado, deberá entregar copia de su solicitud de certificado con evidencia de entrega de la mismo y/o de que está en proceso. El contratista tendrá un término no mayor de sesenta (60) días calendario desde la firma del contrato para entregar la copia del Certificado de Registro de Comerciantes.
	<b>Certificación de radicación de planillas de contribución sobre la propiedad mueble e inmueble</b> por los últimos cinco (5) años original, expedida por el CRIM. De no poseer propiedad mueble ni figurar radicando planilla deberá presentar Certificación negativa y Declaración Jurada, siguiendo las instrucciones que se detallan al reverso.
	<b>Certificación de Deuda por todos los conceptos</b> expedida por el CRIM en original con sellos. De no poseer propiedad mueble o inmueble ni figurar radicando planilla deberá presentar Certificación negativa y Declaración Jurada, siguiendo las instrucciones que se detallan al reverso.
	<b>Certificación de Registro como Patrono y Certificación negativa de Deuda por concepto de Seguro de Desempleo y Seguro por Incapacidad</b> expedida por Departamento del Trabajo, sea patrono o no patrono. De surgir deuda contributiva, se debe evidenciar mediante documento que está acogido a plan de pago y que está en cumplimiento con los términos del mismo.
	<b>Certificación de Registro como Patrono y Certificación negativa de Deuda por concepto de Seguro Choferil</b> expedida por Departamento del Trabajo, sea o no patrono.
	<b>Certificado de Cumplimiento</b> ("Good Standing") expedido por Departamento de Estado.
	<b>Certificado de Existencia</b> expedido por Departamento de Estado o Certificación de Autorización para hacer negocios en Puerto Rico, expedido por el Centro Único de Servicios (Administración de Servicios Generales)
	<b>Certificación de Póliza del Fondo del Seguro del Estado</b> en original
	<b>Póliza de Seguro de Responsabilidad Pública</b> , si aplica, o cualquier tipo de póliza de seguro que se requiera para el servicio o bien contratado. Debe estar endosada a favor del Departamento de la Familia
	<b>Fianza de Cumplimiento</b> (Performance Bond) o <b>Fianza de Fidelidad</b> (Fidelity Bond), o cualquier tipo de fianza que se requiera, si aplicara.
	<b>Certificación de Relevo de Retención</b> expedido por Hacienda (Forma SC2615)
	<b>Certificación de Exención Contributiva</b> expedida por Hacienda y documento de exención concedida.
	<b>Resolución Corporativa</b> – debe estar debidamente notariada; emitida no más de seis (6) meses, autorizando el acto/contrato que se trate; debe ser original o copia certificada indicando es copia fiel y exacta del original.
	<b>Certificado de Antecedentes Penales</b>

	<b>Certificación Negativa de Pensión Alimentaria o Certificación de estado de cuenta de ASUME (individuo)</b>
	<b>Certificado de Estado de Cumplimiento de ASUME – acreditar que la corporación cumple con las debidas retenciones a sus empleados</b>
	<b>Declaración Jurada</b>

**SE VALIDARÁN TODAS LAS CERTIFICACIONES OBTENIDAS A TRAVÉS DE INTERNET**

**Certificaciones del CRIM, según aplique:**

1. En caso de que contratista posea propiedad inmueble, pero no propiedad mueble-- Presentar Certificación Negativa de Propiedad Mueble, Certificación de Deuda por todos los conceptos y la Declaración Jurada.
2. En caso de que contratista posea propiedad mueble, pero no inmueble – Presentar Certificación de Radicación de Planilla sobre la Propiedad Muebles y Certificación de Deuda por todos los conceptos.
3. En caso de que contratista no posea propiedad mueble ni inmueble – Presentar Certificación Negativa de Propiedad Mueble e Inmueble y Declaración Jurada.

**Contenido de Declaración Jurada que debe acompañar documento del CRIM:**

1. Que los ingresos generados se derivan y son pagados por concepto de su operación/servicios profesionales (explicar la naturaleza/origen de los ingresos).
2. Que durante los últimos cinco (5) años o desde la fecha que comenzó a operar/brindar servicios profesionales (indicar fecha; precisar años), no ha poseído negocio ni propiedad mueble tributable al 1ro. de enero de cada año.
3. Que por dicha razón no viene obligado (a) a rendir planilla de propiedad mueble de conformidad al Artículo 6.03 de la Ley de Ley 83-1991, según enmendada, conocida como la Ley de Contribución sobre la Propiedad Municipal.
4. Que, por tal motivo, la Corporación/Individuo no posee expediente contributivo en el sistema mecanizado del CRIM que indique la radicación de planillas sobre propiedad mueble para los últimos cinco (5) años y/o desde que comenzó a operar/brindar los servicios profesionale

# ANEJO 8

FORMULARIOS FISCALES  
PROGRAMA CSBG

PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES

A. NOMBRE, DIRECCION Y SEGURO SOCIAL PATRONAL  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Seg. Soc. Patronal \_\_\_\_\_

B. NUMERO DE CONTRATO  
 \_\_\_\_\_

C. PERIODO DE INFORME  
 \_\_\_\_\_

D. NUMERO DE PETICION  
 \_\_\_\_\_

E. FUENTES DE FINANCIAMIENTO  
 ADMINISTRACION  
 CSRS REGULAR  
 FONDOS DISCRECIONALES  
 PROGRAMA NUTRICIONAL

DESCRIPCION	EMPLEO	EDUCACION	MEJOR USO DEL INGRESO	SERVICIO A DEAMBULANTE	NUTRICION	VIVIENDA	SERVICIOS DE EMERGENCIA	ENVOLVIMIENTO COMUNAL	AUTO SUFICIENTE	ADMINISTRACION	TOTAL
H. TOTAL DE ANTICIPOS RECIBIDOS A LA FECHA	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
G. PETICION EN TRANSITO											
H. APORTACION LOCAL											
I. OTROS INGRESOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
J. EFECTIVO DISPONIBLE	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
K. GASTOS ACUMULADOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
L. GASTOS PROYECTADOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
M. TOTAL GASTOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
N. EFECTIVO REQUERIDO (EXCESO DE EFECTIVO)	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
TOTALES	0	0	0	0	0	0	0	0	0	0	0

CERTIFICACION  
 CERTIFICACION QUE ESTA PETICION DE FONDO ES CORRECTA EN TODOS SUS ASPECTOS: QUE LOS FONDOS SON NECESARIOS PARA EFECTUAR LOS DISTINGUIDOS: QUE ESTOS SUPLEN LA TOTALIDAD DE ESTA PETICION Y QUE SON ÚNICAMENTE PARA CUMPLIR CON LAS ACTIVIDADES AUTORIZADAS POR LA REGULACION DEL PROGRAMA DE SERVICIOS COMUNALES.

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

PREPARADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

PARA USO OFICINA CENTRAL ADPAV

PERIODO QUE CUBRE EL ANTICIPO:	EMPLEO	EDUCACION	MEJOR USO DEL INGRESO	SERVICIOS A DEAMBULANTE	NUTRICION	VIVIENDA	SERVICIOS DE EMERGENCIA	ENVOLVIMIENTO COMUNAL	AUTO SUFICIENTE	ADMINISTRACION	TOTAL
ANTICIPO APROBADO	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

OBSERVACIONES: \_\_\_\_\_

VERIFICADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

Y, DADO FECHA DE ACEPTACION ABSOLUTA CERTIFICACION QUE NINGUN EMPLEADOR PUEDE DE ADELANTE EN PARTE O EN SU TOTALIDAD EN LA GARANTIA O BENEFICIO PRODUCCION DEL CONTRATO O EN SU PARTE O EN SU TOTALIDAD EN LA GARANTIA O BENEFICIO PRODUCCION DEL CONTRATO HA MEDIANTE UNA DISPENSA PREVIA LA DIGNA COMISIONACION PARA ADMINISTRAR LOS BIENES O SERVICIOS OBJETO DEL CONTRATO HA SIDO EL MODO APROBADO CON EL RECONOCIMIENTO AUTORIZADO DE LA AGENCIA DE FONDO DE ESTA FACTURA HA SIDO Y ENACTO Y QUE SU IMPORTE HA SIDO RECIBIDO PARCIAL, NI TOTAL

FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

ADMINISTRACION DE FAMILIAS Y NIÑOS  
 PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES  
 INFORME DE GASTOS ACUMULADOS

4. NOMBRE DIRECCION Y SECCION SOCIAL PATRONAL  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Sep. Soc. Patronal \_\_\_\_\_

I. INDICIO DE CONTRATO  
 \_\_\_\_\_  
 C. PERIODO DE INFORME  
 \_\_\_\_\_  
 D. INFORME DE CURR. \_\_\_\_\_

E. FUENTES DE FINANCIAMIENTO  
 ADMINISTRACION  
 \_\_\_\_\_  
 FONOS DISCIPLINARIOS  
 \_\_\_\_\_  
 PROGRAMA NUTRICIONAL  
 \_\_\_\_\_  
 OTRAS \_\_\_\_\_  
 [Especifique] \_\_\_\_\_

(A)	(B)	(C)	(D)	(E)	(F) (D+E)	(G) (C-F)	(H)
REFERENCIAS	DESCRIPCION	PRECIPIENTO AUSTADO	GASTOS ACUMULADOS AL COMIENZO DEL MES	GASTOS ACUMULADOS DEL MES (INCLUYA LISTA DE OBLIGACIONES)	TOTAL DE GASTOS ACUMULADOS A LA FECHA	BALANCE DISPONIBLE	APORTACION LOCAL
	A. ADMINISTRACION						
	SALARIOS				\$ 0.00	\$ 0.00	
	RENTAS MARGINALES				\$ 0.00	\$ 0.00	
	VIAJES AL EXTERIOR (OTRA Y MILITAR)				\$ 0.00	\$ 0.00	
	VIAJES AL LOCAL (OTRA Y MILITAR)				\$ 0.00	\$ 0.00	
	SERVICIOS PROFESIONALES				\$ 0.00	\$ 0.00	
	MATERIALES				\$ 0.00	\$ 0.00	
	EQUIPO				\$ 0.00	\$ 0.00	
	RENTA FACILIDADES				\$ 0.00	\$ 0.00	
	TELÉFONO				\$ 0.00	\$ 0.00	
	TELÉFONO				\$ 0.00	\$ 0.00	
	SEGUROS Y PLANOS				\$ 0.00	\$ 0.00	
	OTROS GASTOS				\$ 0.00	\$ 0.00	
	SUBTOTAL ADMINISTRATIVO	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00
	D. ACTIVIDADES ECONÓMICAS						
	1. PASEO				\$ 0.00	\$ 0.00	
	2. EDUCACION				\$ 0.00	\$ 0.00	
	3. PASEO USO DEL NEGOCIO				\$ 0.00	\$ 0.00	
	4. VIVIENDA				\$ 0.00	\$ 0.00	
	5. SERVICIOS DE EMERGENCIA				\$ 0.00	\$ 0.00	
	6. AUTOSUPLENENCIA				\$ 0.00	\$ 0.00	
	7. EMPLACEMENTO COMUNITARIO				\$ 0.00	\$ 0.00	
	8. OTROS				\$ 0.00	\$ 0.00	
	SUBTOTAL ACT. ECON.	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
	SUBTOTAL A.M. Y ACT. ECON.	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
	OTRAS FUENTES DE FINANCIAMIENTO						
	INTERESES DIVENDADOS				\$ 0.00	\$ 0.00	
	APORTACION LOCAL				\$ 0.00	\$ 0.00	\$ 0.00
	OTROS (Especifique)				\$ 0.00	\$ 0.00	\$ 0.00
	SUBTOTAL	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
	TOTAL GENERAL	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

CERTIFICO QUE ESTE INFORME DE GASTOS ACUMULADOS ES CORRECTO EN TODOS SUS ASPECTOS, QUE TODOS LOS GASTOS FINANCIADOS SON PERMISIBLES BAJO LA LET DEL PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES, SUS REGLAMENTOS Y MANUALES ADMINISTRATIVOS DEL DEPARTAMENTO DE LA FAMILIA Y/O LA ADMINISTRACION DE FAMILIAS Y NIÑOS, QUE FUERON INCURRIDOS DE ACUERDO A LA PROPIEDAD Y LAS CUALIDADES DEL CONTRATO PARA LA PRESTACION DE SERVICIOS.

VERIFICADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ FIRMA \_\_\_\_\_ TITULO \_\_\_\_\_ FECHA \_\_\_\_\_

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ FIRMA \_\_\_\_\_ TITULO \_\_\_\_\_ FECHA \_\_\_\_\_

**ADMINISTRACION DE FAMILIAS Y NIÑOS  
 PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES**

ANEJO AL INFORME DE GASTOS ACUMULADOS		CATEGORIAS DE COSTOS		(B)		(E)		(F)		(G)	
A. NOMBRE, DIRECCION Y SEGURO SOCIAL PATRONAL	E. ACTIVIDADES ELEGIBLES	PRESUPUESTO AJUSTADO	GASTOS ACUMULADOS AL COMIENZO DEL MES	GASTOS ACUMULADOS DEL MES (INCLUYA LISTA DE OBLIGACIONES)	TOTAL DE GASTOS ACUMULADOS A LA FECHA	BALANCE DISPONIBLE	APORTACION LOCAL				
A. NOMBRE, DIRECCION Y SEGURO SOCIAL PATRONAL _____ B. AÑO DEL PROGRAMA _____ C. NÚMERO DE CONTRATO _____ D. NÚMERO DEL INFORME _____		E. ACTIVIDADES ELEGIBLES EMPLEO VIVIENDA NUTRICION EDUCACION AUTO-SUFICIENCIA MEJOR USO DEL INGRESO ENVOLVIMIENTO COMUNAL SERVICIO DE EMERGENCIA OTYAS		F. FUENTES DE FINANCIAMIENTO ADMINISTRACION CSBG REGULAR FONDOS DISCRECIONALES PROGRAMA NUTRICIONAL OTYAS (ESPECIFIQUE)							
<b>INFORMACION BASICA</b>											
CERTIFICACION CERTIFICO A MI MEJOR ENTENDER, QUE ESTE ANEJO AL INFORME DE GASTOS ACUMULADOS ES CORRECTO EN TODOS SUS ASPECTOS, QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LEY DEL PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES, SUS REGLAMENTOS Y MEMORIALES ADMINISTRATIVOS POR EL DEPARTAMENTO DE LA FAMILIA Y/O LA ADMINISTRACION DE FAMILIAS Y NIÑOS, Y QUE FUERON INCURRIDOS DE ACUERDO A LA PROPUESTA Y LAS ESTIPULACIONES DEL CONTRATO DE USO Y DELEGACION DE FONDOS.											
VERIFICADO POR:		NOMBRE		FIRMA		TITULO		FECHA			
APROBADO POR:		NOMBRE		FIRMA		TITULO		FECHA			
TOTAL ADMINISTRACION		\$0.00	\$0.00	\$0.00	\$0.00	0.00	0.00	0.00			

ADMINISTRACION DE FAMILIAS Y NIÑOS  
 PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES

ANEXO AL INFORME DE GASTOS ACUMULADOS

I. INFORMACION BASICA		E. ACTIVIDADES ELEGIBLES		F. FUENTES DE FINANCIAMIENTO	
A. NOMBRE, DIRECCION Y SEGURO SOCIAL PATRONAL		EMPLEO		ADMINISTRACION	
B. AÑO DEL PROGRAMA		VIVIENDA		CSRG REGULAR	
C. NÚMERO DE CONTRATO		NUTRICION		FONDOS DISCRECIONALES	
D. NÚMERO DEL INFORME		EDUCACION		PROGRAMA NUTRICIONAL	
		AUTO-SUFICIENCIA		OTRAS	
		MEJOR USO DEL INGRESO		(ESPECIFIQUE)	
		ENVOYAMIENTO COMUNAL			
		SERVICIO DE EMERGENCIA			
		OTRAS			

  

(A)	(B)	(C)	(D)	(E)	(F)	(G)
II. CATEGORIAS DE COSTOS	PRESUPUESTO AJUSTADO	GASTOS ACUMULADOS AL COMIENZO DEL MES	GASTOS ACUMULADOS DEL MES (INCLUYA LISTA DE OBLIGACIONES)	TOTAL DE GASTOS ACUMULADOS A LA FECHA	BALANCE DISPONIBLE	APORTACION LOCAL
SALARIOS						
BENEFICIOS MARGINALES						
VIAJES AL EXTERIOR (DIETA Y MILLAJE)						
VIAJES AL LOCALES (DIETA Y MILLAJE)						
SERVICIOS PROFESIONALES						
MATERIALES						
EQUIPO						
RENTA FACILIDADES						
UTILIDADES (AGUA Y LUZ)						
TÉLEFONO						
SEGUROS Y FIANZAS						
OTROS GASTOS MISCELANEOS	\$0.00	\$0.00	\$0.00	0.00	0.00	0.00
<b>TOTAL</b>						

CERTIFICACION:

CERTIFICO QUE ESTE INFORME DE GASTOS ACUMULADOS ES CORRECTO EN TODOS SUS ASPECTOS, QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LETRA DEL PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES, SUS REGLAMENTOS Y MEMORIALES ADMINISTRATIVOS DEL DEPARTAMENTO DE LA FAMILIA Y/O LA ADMINISTRACION DE FAMILIAS Y NIÑOS, QUE FUERON INCURRIDOS DE ACUERDO A LA PROPUESTA Y LAS CLÁUSULAS DEL CONTRATO PARA LA DELEGACION DE FONDOS.

VERIFICADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ FIRMA \_\_\_\_\_ TÍTULO \_\_\_\_\_ FECHA \_\_\_\_\_

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ FIRMA \_\_\_\_\_ TÍTULO \_\_\_\_\_ FECHA \_\_\_\_\_



ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
 PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES

RECONCILIACIÓN BANCARIA		
INFORMACIÓN BÁSICA		
<b>A. NOMBRE, DIRECCIÓN Y SEGURO SOCIAL PATRONAL</b> _____ _____ _____  SEGURO SOCIAL PATRONAL _____	<b>D. NOMBRE DEL BANCO</b> _____  <b>E. NUMERO DE CUENTA</b> _____	
<b>B. NÚMERO DE CONTRATO</b> _____	<b>F. FUENTES DE FINANCIAMIENTO</b> _____ ADMINISTRACIÓN _____ REGULAR _____ DISCRECIONAL _____ NUTRICION _____ OTROS (ESPECIFIQUE)	
<b>C. AÑO DEL PROGRAMA</b> _____		
<b>G. SALDO DE LA CUENTA SEGÚN EL BANCO (MES: _____ AÑO: _____)</b>		\$ _____
<b>MÁS:</b>		
<b>H. DEPOSITOS EN TRANSITO</b>	\$ _____	
<b>I. INTERESES GANADOS</b>	\$ _____	
<b>J. OTROS (ESPECIFIQUE)</b>	\$ _____	
<b>SUBTOTAL</b>		\$ _____
<b>MENOS:</b>		
<b>K. CHEQUES PENDIENTES DE PAGO</b> <small>(VÉASE C583-005A)</small>	\$ _____	
<b>L. CARGOS BANCARIOS PENDIENTES DE REGISTRAR EN LOS LIBROS</b>	\$ _____	
<b>M. OTROS (ESPECIFIQUE)</b>	\$ _____	
<b>SUBTOTAL</b>		(\$ _____)
<b>N. SALDO SEGÚN LIBROS</b>		\$ _____
<b>O. SALDO EN LIBROS DE CAJA AL CIERRE DEL PERIODO</b>		\$ _____
<b>P. DIFERENCIA (EXPLIQUE)</b>		\$ _____
<b>PREPARADO POR:</b> _____	_____	_____
TÍTULO	FIRMA	FECHA
<b>APROBADO POR:</b> _____	_____	_____
TÍTULO	FIRMA	FECHA





FECHA MM/DD/AA	NÚMERO DE ORDEN	NOMBRE DEL SUPPLIDOR	DESCRIPCIÓN DEL GASTO	IMPORTE	NÚMERO DE CHEQUE	FECHA DE PAGO
TOTAL:				\$0.00		
SUBTOTAL:				\$0.00		
CERTIFICADO QUE ESTA INFORMACIÓN ES CORRECTA Y TENEMOS LOS DOCUMENTOS NECESARIOS QUE EVIDENCIE QUE ESTE GASTO CONSIDERADO DENTRO DEL PRESUPUESTO APROBADO:						
PREPARADO POR: FIRMA: _____ FECHA: _____			APROBADO POR: FIRMA: _____ FECHA: _____			

## INFORME TRIMESTRAL DE RESULTADOS AÑO PROGRAMA \_\_\_\_\_

Nombre de la Agencia y / o Municipio: \_\_\_\_\_  
 Meta Nacional: \_\_\_\_\_  
 Nombre del Programa: \_\_\_\_\_

Costo Total del Programa: \_\_\_\_\_  
 ( ) Familia ( ) Agencia ( ) Comunidad  
 Trimestres: ( ) Primero ( ) Segundo ( ) Tercero ( ) Cuarto  
 Fecha del Informe: \_\_\_\_\_

Identificar Problemas o necesidad	Servicios o Actividad Identificar el tiempo Identificar el # de clientes Servicios o el # de unidades	Indicadores	Resultado / Indicador Proyectar el # y % de Clientes Quien logrará cada resultado o el logro Resultado, # y % que se espera lograr	Resultados Actuales Especificar % y # actuales de clientes ¿Quién logró el resultado, o el # y % actual de unidades?	Datos Acumulados del trimestre	Instrumentos de Medición Datos, Procedimiento de Recoger Datos, Personal	Frecuencia de Recoger Datos y Reportes
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

Funcionario que preparó el Informe: \_\_\_\_\_  
 Nombre

Firma del Alcalde, Director Ejecutivo(a) o Presidente de la Junta de Directores: \_\_\_\_\_

Firma: \_\_\_\_\_  
 Revisado por: \_\_\_\_\_  
 Nombre

Firma: \_\_\_\_\_

ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG

INFORME DE ECONOMIAS

I. INFORMACIÓN BÁSICA

A. Nombre y Dirección

B. Año Programa

D. Fuentes de Financiamiento

Administración

CSBG Regular

Fondos Discrecionales

Otros (ESPECIFIQUE)

C. Número de Contrato

Seguro Social Patronal:

II. RESUMEN DE USO DE FONDOS

DESCRIPCIÓN

(a)  
PRESUPUESTO  
TOTAL

A. ADMINISTRACIÓN

B. ACTIVIDADES ELEGIBLES

TOTAL

III. ACTIVIDADES Y CATEGORÍAS DE COSTOS

(B) REFERENCIA	(C) DESCRIPCIÓN	(D) PRESUPUESTO AJUSTADO	(E) GASTOS ACUMULADOS	(F) BALANCE (D-E)
	<b>A. ADMINISTRACIÓN</b>			
	SALARIOS (Anejo 1)			
	BENEFICIOS MARGINALES (Anejo 2)			
	VIAJES AL EXTERIOR (DIETA Y MILLAJE)			
	VIAJES LOCALES (DIETA Y MILLAJE)			
	SERVICIOS PROFESIONALES			
	MATERIALES (Anejo 3)			
	EQUIPO (Anejo 4)			
	RENTA DE FACILIDADES			
	UTILIDADES (AGUA Y LUZ)			
	TELÉFONO			
	SEGUROS Y FIANZAS			
	OTROS GASTOS MISCELÁNEOS			
	SUB-TOTAL			
	<b>B. ACTIVIDADES ELEGIBLES</b>			
	1. AUTOSUFICIENCIA			
	2. EMPLEO			
	3. EDUCACIÓN			
	4. MEJOR USO DEL INGRESO			
	5. VIVIENDA			
	6. SERVICIOS DE EMERGENCIA			
	7. ENVOLVIMIENTO COMUNAL			
	8. NUTRICION			
	SUB-TOTAL			
	TOTAL			
	<b>IV. OTRAS FUENTES DE FINANCIAMIENTO</b>			
	Intereses			
	Aportación Local			
	Otras (Especifique)			
	SUB-TOTAL			
	TOTAL			

CERTIFICACIÓN

CERTIFICO, A MI MEJOR ENTENDER QUE ESTE INFORME DE ECONOMIAS ES CORRECTO EN TODOS SUS ASPECTOS, QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LEY DE SERVICIOS COMUNALES SUS REGLAMENTOS, MEMORIALES ADMINISTRATIVOS EMITIDOS POR LA ADFAN; Y QUE SERÁN INCURRIDOS DE ACUERDO CON LA PROPUESTA APROBADA Y LAS ESTIPULACIONES DEL CONTRATO DE USO Y DELEGACIÓN DE FONDOS.

NOMBRE

TITULO

FIRMA

FECHA

NOMBRE

TITULO

FIRMA

FECHA

PARA USO OFICINA CENTRAL - ADFAN

OBSERVACIONES:

VERIFICADO POR:

NOMBRE

TITULO

FIRMA

FECHA

APROBADO POR:

NOMBRE

TITULO

FIRMA

FECHA

ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG

ANEJO AL INFORME DE ECONOMIAS

**I. INFORMACIÓN BÁSICA**

1. NOMBRE Y DIRECCIÓN	D. ACTIVIDADES	E. FUENTES DE FINANCIAMIENTO
	AUTOSUFICIENCIA	CSBG REGULAR
	EMPLEO	FONDOS DISCRECIONALES
	EDUCACIÓN	
3. AÑO PROGRAMA	MEJOR USO DEL INGRESO	
	VIVIENDA	
	SERVICIOS DE EMERGENCIA	
2. NÚMERO DEL CONTRATO	ENVOLVIMIENTO	
	COMUNAL	
	NUTRICION	

(a) II. PRESUPUESTO POR CATEGORÍAS DE COSTOS	(b) PRESUPUESTO AJUSTADO	(c) GASTOS ACUMULADOS	(d) BALANCE (b-c)
SALARIOS (ANEJO 1)			
BENEFICIOS MARGINALES (ANEJO 2)			
VIAJE AL EXTERIOR (DIETA Y MILLAJE)			
SERVICIOS PROFESIONALES Y CONSULTIVOS			
MATERIALES (ANEJO 3)			
EQUIPO (ANEJO 4)			
RENTA DE FACILIDADES			
UTILIDADES (AGUA Y LUZ)			
TELÉFONO			
SEGUROS Y FIANZAS			
OTROS GASTOS			
<b>TOTAL</b>			

**CERTIFICACIÓN**

CERTIFICO A MI MEJOR ENTENDER, QUE ESTE ANEJO AL INFORME DE ECONOMIAS ES CORRECTO EN TODOS SUS ASPECTOS; QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LEY DE SERVICIOS COMUNALES; SUS REGLAMENTOS; MEMORIALES ADMINISTRATIVOS EMITIDOS POR LA ADFAN; Y QUE SERÁN INCURRIDOS DE ACUERDO CON LA PROPUESTA APROBADA Y LAS ESTIPULACIONES DEL CONTRATO DE USO Y DELEGACIÓN DE FONDOS.

NOMBRE	TITULO	FIRMA	FECHA
NOMBRE	TITULO	FIRMA	FECHA

IV. PARA USO OFICINA CENTRAL-ADFAN

OBSERVACIONES: \_\_\_\_\_

VERIFICADO POR:	NOMBRE	TITULO	FIRMA	FECHA
APROBADO POR: :	NOMBRE	TITULO	FIRMA	FECHA





ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG

DETALLE DE BENEFICIOS MARGINALES			
I. INFORMACIÓN			
A. NOMBRE Y DIRECCIÓN:	B. AÑO PROGRAMA:	D. ACTIVIDADES ELEGIBLES:	E. FUENTE DE FINANCIAMIENTO
		AUTOSUFICIENCIA	ADMINISTRACIÓN
		EMPLEO	CSBG REGULAR
		EDUCACIÓN	FONDOS DISCRECIONALES
	C. NÚMERO CONTRATO	MEJOR USO DE INGRESO	
		VIVIENDA	
		SERVICIO DE EMERGENCIA	
		ENVOLVIMIENTO COMUNAL	
		NUTRICIÓN	
II. DETALLE DE BENEFICIOS MARGINALES			
NÚMERO DE CUENTA	DESCRIPCIÓN	APORTACIÓN FEDERAL	APORTACIÓN LOCAL
	SEGURO SOCIAL FEDERAL * X % =		EFFECTIVO
	SEGURO POR INCAPACIDAD		EN ESPECIE
	NO OCUPACIONAL * X =		
	SEGURO POR DESEMPLEO		
	FONDO DEL SEGURO DEL ESTADO		
	SEGURO CHOFERIL		
	SEGURO DE SALUD		
	BONO NAVIDAD		
<b>TOTAL</b>			

\*Favor de describir la cantidad de dinero y el por ciento que va a utilizar de los fondos CSBG



ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG

DETALLE DE EQUIPO			
I. INFORMACIÓN			
A. NOMBRE Y DIRECCIÓN:		B. AÑO PROGRAMA:	E. FUENTE DE FINANCIAMIENTO
		D. ACTIVIDADES ELEGIBLES:	ADMINISTRACIÓN
		AUTOSUFICIENCIA	CSBG REGULAR
		EMPLEO	FONDOS DISCRECIONALES
		EDUCACIÓN	
		MEJOR USO DE INGRESO	
		VIVIENDA	
		SERVICIO DE EMERGENCIA	
		ENVOLVIMIENTO COMUNAL	
		NUTRICIÓN	
C. NÚMERO CONTRATO			
II. DETALLE DE MATERIALES			
CANTIDAD	DESCRIPCIÓN	COSTO POR UNIDAD	IMPORTE
<b>TOTAL</b>			



DEPARTAMENTO DE LA FAMILIA  
PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES

INFORME DE GIERE ANUAL

A. NOMBRE, DIRECCION Y SEGURO SOCIAL PATRONAL  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Srg. Soc. Patronal \_\_\_\_\_

B. NÚMERO DE CONTRATO  
 \_\_\_\_\_

C. PERIODO DE INFORME  
 \_\_\_\_\_

D. NÚMERO DE PETICION  
 \_\_\_\_\_

E. FUENTES DE FINANCIAMIENTO  
 ADMINISTRACION  
 CSRG REGULAR  
 FONDOS DISCRECIONALES  
 PROGRAMA NUTRICIONAL

II. DESCRIPCION	EMPLEO	EDUCACION	MEJOR USO DEL INGRESO	SERVICIO A DEAMBULANTE	NUTRICION	VIVIENDA	SERVICIOS DE EMERGENCIA	ENVOLVIMIENTO COMUNAL	AUTO SUFFICIENTE	ADMINISTRACION	TOTAL
H. TOTAL DE ANTICIPOS RECIBIDOS A LA FECHA	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
I. TOTAL DE ANTICIPOS RECIBIDOS A LA FECHA	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
G. PETICION EN TRANSITO											
H. APORTACION LOCAL											
I. OTROS INGRESOS											
J. EFECTIVO DISPONIBLE	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
K. GASTOS ACUMULADOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
L. GASTOS PROTEGIDOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
M. TOTAL GASTOS	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
N. EFECTIVO REQUERIDO (EXCESO DE EFECTIVO)	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
O. TOTAL	0	0	0	0	0	0	0	0	0	0	0

CERTIFICACION  
 CERTIFICO QUE ESTA PETICION DE FONDO ES CORRECTA EN TODOS SUS ASPECTOS, QUE LOS FONDOS SON NECESARIOS PARA EFECTUAR LOS DESARROLLOS, QUE ESTOS SUMAN LA TOTALIDAD DE ESTA PETICION Y QUE SON ÚNICAMENTE PARA CUMPLIR CON LAS ACTIVIDADES AUTORIZADAS POR LA REGULACION DEL PROGRAMA DE SERVICIOS COMUNALES.

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

PREPARADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

VERIFICADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

APROBADO POR: \_\_\_\_\_ NOMBRE \_\_\_\_\_ TITULO \_\_\_\_\_ FIRMA \_\_\_\_\_ FECHA \_\_\_\_\_

PERIODO QUE CUBRE EL ANTICIPO	EMPLEO	EDUCACION	MEJOR USO DEL INGRESO	SERVICIOS A DEAMBULANTE	NUTRICION	VIVIENDA	SERVICIOS DE EMERGENCIA	ENVOLVIMIENTO COMUNAL	AUTO SUFFICIENTE	ADMINISTRACION	TOTAL
ANTICIPO APROBADO	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
OBSERVACIONES:	V. DADO PRIMA DE INDUJO ADOLESCENTES QUE TIENEN SERVICIOS EN LAS COMUNIDADES O SERVICIOS PRODUCTO DEL CONTRATO QUE DEBE PARTIR DE ESTA FACTURA Y DE SER PARTE O TENER INTERES EN LAS GANANCIAS O BENEFICIO PRODUCTO DEL CONTRATO QUE DEBE PARTIR DE ESTA FACTURA EN SUO ENTERO Y CORRECTO, CERTIFICO QUE ESTA FACTURA ES MIA, Y EXACTA Y QUE SU IMPORTE NO HA SIDO RECIBIDO PARCIAL NI TOTAL. FIRMA _____ FECHA _____										

**ADMINISTRACION DE FAMILIAS Y NIÑOS**  
**PROGRAMA DE CONCESION EN BLOQUE PARA SERVICIOS COMUNALES**  
**INFORME DE LIQUIDACION/ OBLIGACIONES PENDIENTES DE PAGO**

AÑO PROGRAMA: \_\_\_\_\_

AGENCIA DELEGADA: \_\_\_\_\_  
 MES: \_\_\_\_\_  
 PROYECTO: \_\_\_\_\_

FECHA MM/DD/AA	NÚMERO DE ORDEN	NOMBRE DEL SUPLIDOR	DESCRIPCIÓN DEL GASTO	IMPORTE	NÚMERO DE CHEQUE	FECHA DE PAGO
TOTAL:				\$0.00		
SUBTOTAL:				\$0.00		

CERTIFICO QUE ESTA INFORMACION ES CORRECTA Y TENEMOS LOS DOCUMENTOS NECESARIOS QUE EVIDENCIE QUE ESTE GASTO CONSIDERADO DENTRO DEL PRESUPUESTO APROBADO:

PREPARADO POR: \_\_\_\_\_  
 FIRMA: \_\_\_\_\_  
 FECHA: \_\_\_\_\_

APROBADO POR: \_\_\_\_\_  
 FIRMA: \_\_\_\_\_  
 FECHA: \_\_\_\_\_



ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG  
RESUMEN DE INFORMACIÓN PRESUPUESTARIA

**I. INFORMACIÓN BÁSICA**

A. Nombre y Dirección	B. Año Programa	D. Fuentes de Financiamiento
_____	_____	____ Administración
	C. Número de Contrato	____ CSBG Regular
	_____	____ Fondos Discrecionales
		____ Otros (ESPECIFIQUE)

Seguro Social Patronal : \_\_\_\_\_

**II. RESUMEN DE USO DE FONDOS**

DESCRIPCIÓN	(a) PRESUPUESTO TOTAL
A. ADMINISTRACIÓN	
B. ACTIVIDADES ELEGIBLES	
TOTAL	

**III. ACTIVIDADES Y CATEGORÍAS DE COSTOS**

(B) REFERENCIA	(C) DESCRIPCIÓN	(D) APORTACIÓN FEDERAL	(E) APORTACIÓN LOCAL	(F) TOTAL
	<b>A. ADMINISTRACIÓN</b>			
	SALARIOS (Anejo 1)			
	BENEFICIOS MARGINALES (Anejo 2)			
	VIAJES AL EXTERIOR (DIETA Y MILLAJE)			
	VIAJES LOCALES (DIETA Y MILLAJE)			
	SERVICIOS PROFESIONALES			
	a. Auditoría ( ) b. Servicios Legales ( ) c. Consultoría ( )			
	MATERIALES (Anejo 3)			
	EQUIPO (Anejo 4)			
	RENTA DE FACILIDADES			
	UTILIDADES (AGUA Y LUZ)			
	TELÉFONO			
	SEGUROS Y FIANZAS			
	OTROS GASTOS MISCELÁNEOS			
	SUB-TOTAL			
	<b>B. ACTIVIDADES ELEGIBLES</b>			
	1. AUTOSUFICIENCIA			
	2. EMPLEO			
	3. EDUCACIÓN			
	4. MEJOR USO DEL INGRESO			
	5. VIVIENDA			
	6. SERVICIOS DE EMERGENCIA			
	7. ENVOLVIMIENTO COMUNAL			
	a. Alianza Entidades y Gobierno ( ) b. Prog. Prevención ( )			
	8. SERVICIOS A JÓVENES			
	a. Horario Extendido ( ) b. Prog. Prevención ( )			
	9. OTROS			
	SUB-TOTAL			
	TOTAL			

**CERTIFICACIÓN**

CERTIFICO, A MI MEJOR ENTENDER QUE ESTE RESUMEN DE INFORMACIÓN PRESUPUESTARIA ES CORRECTO EN TODOS SUS ASPECTOS, QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LEY DE SERVICIOS COMUNALES SUS REGLAMENTOS, MEMORIALES ADMINISTRATIVOS EMITIDOS POR LA ADFAN; Y QUE SERÁN INCURRIDOS DE ACUERDO CON LA PROPUESTA APROBADA Y LAS ESTIPULACIONES DEL CONTRATO DE USO Y DELEGACIÓN DE FONDOS.

NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____
NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____

PARA USO OFICINA CENTRAL - ADFAN

OBSERVACIONES: \_\_\_\_\_

VERIFICADO POR:

NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____

APROBADO POR:

NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____

ESTADO LIBRE ASOCIADO DE PUERTO RICO  
ADMINISTRACIÓN DE FAMILIAS Y NIÑOS  
PROGRAMA CSBG

ANEJO AL RESUMEN DE INFORMACIÓN PRESUPUESTARIA			
<b>I. INFORMACIÓN BÁSICA</b>			
A. NOMBRE Y DIRECCIÓN	D. ACTIVIDADES	E. FUENTES DE FINANCIAMIENTO	
	AUTOSUFICIENCIA	CSBG REGULAR	
	EMPLEO	FONDOS DISCRECIONALES	
	EDUCACIÓN		
	MEJOR USO DEL INGRESO		
B. AÑO PROGRAMA	VIVIENDA		
	SERVICIOS DE EMERGENCIA		
	ENVOLVIMIENTO		
C. NÚMERO DEL CONTRATO	COMUNAL		
	JOVENES		
<b>II. PRESUPUESTO POR CATEGORÍAS DE COSTOS</b>			
(A)	(B)	(C)	(D)
	APORTACIÓN FEDERAL	APORTACIÓN LOCAL	TOTAL
SALARIOS (ANEJO 1)			
BENEFICIOS MARGINALES (ANEJO 2)			
VIAJE AL EXTERIOR (DIETA Y MILLAJE)			
SERVICIOS PROFESIONALES Y CONSULTIVOS			
MATERIALES (ANEJO 3)			
EQUIPO (ANEJO 4)			
RENTA DE FACILIDADES			
UTILIDADES (AGUA Y LUZ)			
TELÉFONO			
SEGUROS Y FIANZAS			
OTROS GASTOS			
<b>TOTAL</b>			
<b>CERTIFICACIÓN</b>			
CERTIFICO A MI MEJOR ENTENDER, QUE ESTE ANEJO AL RESUMEN DE INFORMACIÓN PRESUPUESTARIA ES CORRECTO EN TODOS SUS ASPECTOS; QUE TODOS LOS GASTOS INFORMADOS SON PERMISIBLES BAJO LA LEY DE SERVICIOS COMUNALES; SUS REGLAMENTOS; MEMORIALES ADMINISTRATIVOS EMITIDOS POR LA ADFAN; Y QUE SERÁN INCURRIDOS DE ACUERDO CON LA PROPUESTA APROBADA Y LAS ESTIPULACIONES DEL CONTRATO DE USO Y DELEGACIÓN DE FONDOS.			
NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____
NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____
<b>IV. PARA USO OFICINA CENTRAL-ADFAN</b>			
OBSERVACIONES: _____			
VERIFICADO POR: _____			
NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____
APROBADO POR: _____			
NOMBRE	TÍTULO	FIRMA	FECHA
_____	_____	_____	_____