

(2nd Year Submission)

The Office of Community Services (OCS) is providing a Microsoft Word version of the revised draft Model State Plan (MSP) for CSBG state agencies that have submitted a two year plan in FY 2015, to use for the planning and development of their FY 2016 State Plan submissions. While states are encouraged to complete all questions to the extent possible, OCS has highlighted in **yellow** the critical items for the OCS performance management and accountability framework. OCS will provide additional guidance and instructions for plan submission. Please Note, OMB is currently reviewing this revised draft and may make final adjustments.

Community Services Block Grant (CSBG) Model State Plan

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Mandatory Grant Application SF-424

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SECTION 1

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

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency [**Narrative, 2500 Characters**]

Nebraska Department of Health and Human Services

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**]

Children and Family Services Division, Economic Assistance Unit

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.

Douglas J. Weinberg, Director, Children and Family Services Division

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

301 Centennial Mall South, PO Box 95026

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

Lincoln

1.1g. State [**Dropdown**]

NE

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

68509

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

402-471-1757

1.1j. Fax number [Narrative, 10 characters]

402-471-9449

1.1k. Email address [Narrative, 2500 characters]

doug.weinberg@nebraska.gov

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

dhhs.ne.gov

DRAFT

This version of the MSP is currently under review by OMB, which may result in additional edits.

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]**

[Nebraska Department of Health and Human Services](#)

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

[Jennifer Dreibelbis, CSBG Program Specialist](#)

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

[301 Centennial Mall South, 4th floor, PO Box 95026](#)

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

[Lincoln](#)

1.2e. State **[Dropdown]**

[NE](#)

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

[68509](#)

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

[402-471-9346](#)

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

[402-471-9286](#)

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

jennifer.dreibelbis@nebraska.gov

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

dhhs.ne.gov

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]**

This version of the MSP is currently under review by OMB, which may result in additional edits.

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.

[Attachment 1: CSBG FY2016 Governor Designation Letter SIGNED.pdf](#)

DRAFT

ATTACH 1



Pete Ricketts
Governor

STATE OF NEBRASKA

OFFICE OF THE GOVERNOR
P.O. Box 94848 • Lincoln, Nebraska 68509-4848
Phone: (402) 471-2244 • pete.ricketts@nebraska.gov

September 1, 2015

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

Dear Director Chaffin:

As Chief Executive Officer of the State of Nebraska, I have exercised my authority to designate the Nebraska Department of Health and Human Services, Division of Children and Family Services (DHHS-CFS), to act as the lead agency for administration of the Community Services Block Grant (CSBG) program. I have also designated DHHS-CFS as the agency to review, sign and submit the plan and assurances in regard to the CSBG Program.

If you have any questions or concerns please feel free to contact Jodie Gibson, CSBG Program Administrator at (402) 471-1069.

Sincerely,

A handwritten signature in blue ink, appearing to read "Pete Ricketts".

Pete Ricketts
Governor

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]**

Attachment 2: Title 481 at http://dhhs.ne.gov/Pages/reg_t481.aspx

- 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

TITLE 481
COMMUNITY SERVICES BLOCK GRANT PROGRAM

CHAPTER 1-000 INTRODUCTION

1-001 Scope and Authority: These regulations govern the Community Services Block Grant (CSBG) Program. The Community Services Block Grant Program was created by the Economic Opportunity Act of 1964 and amended by Public Law 105-285, cited as the Coats Human Services Reauthorization Act of 1998.

1-002 Purposes and Goals: The purposes and goals of CSBG are to:

1. Provide assistance to states and local communities, working through a network of community action agencies and other neighborhood-based organizations for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a state program carried out under part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.)); and
2. Accomplish the goals described in number 1 through:
 - a. The strengthening of community capability for planning and coordinating the use of a broad range of federal, state, local, and other assistance (including private resources) related to the elimination of poverty, so that this assistance can be used in a manner responsive to local needs and conditions;
 - b. The organization of a range of services related to the needs of low-income families and individuals, so that these services may have a measurable and potentially major impact on the causes of poverty in the community and may help the families and individuals to achieve self-sufficiency;
 - c. The greater use of innovative and effective community-based approaches to attacking the causes and effects of poverty and of community breakdown;
 - d. The maximum participation of residents of the low-income communities and members of the groups served by programs assisted through the block grants made under this program to empower residents and members to respond to the unique problems and needs within their communities; and
 - e. The broadening of the resource base or programs directed to the elimination of poverty so as to secure a more active role in the provision of services for:
 - (1) Private, religious, charitable, and neighborhood-based organizations; and
 - (2) Individual citizens, and business, labor, and professional groups who are able to influence the quantity and quality of opportunities and services for the poor.

1-003 Definitions: For use within CSBG, the following definition of terms will apply unless the context denotes otherwise:

Department: The Nebraska Department of Health and Human Services.

Director: The Director of the Nebraska Department of Health and Human Services.

Eligible Entity: An entity that was eligible on October 26, 1998, the day before the date of enactment of the Coats Human Services Reauthorization Act of 1998, or designated by the process described in 481 NAC 2-011.

Poverty Line: The official poverty line established by the Director of the Office of Management and Budget based on the most recent data available from the Bureau of the Census.

Secretary: The Secretary of U.S. Health and Human Services, Office of Community Services.

1-004 Nondiscrimination and Equal Opportunity: An eligible entity must not discriminate on the basis of race, color, national origin, religion, sex, familial status, disability or age. The eligible entity must make known that use of the facilities and services are available to all on a nondiscriminatory basis. The eligible entity must have procedures to make known their policy of nondiscrimination. Eligible entities and recipients must also adopt procedures which will make available to interested persons information concerning the location of services and facilities that are accessible to persons with disabilities.

1-005 Confidentiality: All eligible entities must adopt written policies to protect the confidentiality of all persons served, and all persons employed by the eligible entities. Confidentiality policies regarding persons served must be framed in the best interests of the client, and must include disclosure to the client of any potential sharing of information.

1-006 Access to Records: All eligible entities must adopt written policies that identify those records which are available to the public, those records which are not available to the public, and the conditions under which records may be made available. The Department's intent is that information regarding the eligible entity's policies, financial operations, and operating effectiveness must be available to the public under reasonable conditions.

1-007 Appeals Process: All eligible entities must have a written appeals process through which clients or potential clients may appeal denials of service or improper provision of service. The appeals process should extend at least to the eligible entity's governing board.

1-008 Child Support Services and Referrals: During each fiscal year for which an eligible entity receives a CSBG grant, the entity must:

1. Inform custodial parents in single-parent families that participate in programs, activities, or services carried out or provided under this program about the availability of child support services; and
2. Refer eligible parents to the child support offices of state and local governments.

CHAPTER 2-000 ADMINISTRATIVE REQUIREMENTS

2-001 Board of Directors: An eligible entity must administer the Community Services Block Grant program through a tripartite board that fully participates in the development, planning, and evaluation of the program to serve low-income communities.

2-001.01 Selection and Composition of Board: The eligible entity must ensure that a process is in place for the selection of members of the board so that the board includes the following:

1. One-third of the members of the board are elected public officials holding office on the date of selection, or their representatives, except that if the number of elected officials reasonably available and willing to serve on the board is less than one third of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting the one third requirement;
2. No fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to ensure that these members are representative of low-income individuals and families who represent a specific neighborhood within a community and who reside in the neighborhood they represent; and
3. The remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.

2-001.02 Board Powers: The board must have all of the powers required under Neb. Rev. Stat., Chapter 21, Article 19, (The Nebraska Nonprofit Corporation Act) and its successors.

2-001.03 Selecting Representatives of the Sectors: The board must adopt a written plan which describes the procedures for selecting representatives for each of the three sectors of the board.

2-001.04 Limitations on Length of Service: The board must develop policies as to the length of time members may serve on the board.

2-001.05 Conflict of Interest: The following individuals are considered to have a conflict of interest and must not serve on the board of directors:

1. A person who is an officer or an employee of an organization contracting to perform a component of the work program funded by CSBG;
2. A paid employee of the eligible entity; and
3. An employee of the Nebraska Department of Health and Human Services.

These restrictions may be waived by the Director.

2-001.06 Petition for Representation on the Board: Eligible entities must establish procedures allowing a petition for adequate representation if a low income individual, community organization, religious organization, or representative of low income individuals feels under-represented on the board.

2-001.07 Alternates: The board may allow alternates to substitute for members. If alternates are allowed, the board must maintain written policies which specify:

1. How alternates are selected;
2. The powers given alternates; and
3. The limitations placed on alternates.

2-001.08 Filling Vacancies: The board must maintain written policies that describe the procedures to be used in filling vacancies.

2-001.09 Compensation: Although expense allowances for low income individuals and reimbursements to all members of the board for expenses are permitted, regular compensation to all members for their service on the board is not permitted.

2-002 Annual Plans: An annual community action plan must be submitted to the Department; the plan must include a community needs assessment of the low income population for the community served, and may be coordinated with community-needs assessments conducted for other programs.

2-002.01 Needs Assessment: Needs assessments must be conducted periodically and must, at a minimum, incorporate data from these sources:

1. Low-income residents;
2. Local elected officials and other service agencies; and
3. Statistical data.

2-002.02 Information Included in the Annual Plan: The following must be included in the annual plan:

1. A description of the service delivery system for services provided or coordinated with funds made available through CSBG grants targeted to low-income individuals and families in communities within the state;
2. A description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;
3. A description of how funds made available through CSBG grants will be coordinated with other public and private resources; and
4. A description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this program, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting.

2-003 Results Oriented Management and Accountability System (ROMA): Eligible entities must participate in the ROMA System or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.

2-003.01 ROMA Reports: ROMA reports must be submitted to the Department as specified in the written agreement with each eligible entity.

2-004 Personnel Policies: All eligible entities must maintain written personnel policies that address all state and federal requirements.

2-005 Fund Allocation: In general, not less than 90 percent of the CSBG funds made available to the Department must be used by the Department to make grants to the eligible entities. The fund allocation plan will be reviewed every ten years using poverty information taken from the U.S. Census. On an annual basis, the Department will notify eligible entities of the allocation breakout by entity upon receiving information from the Office of Community Services on the amount of the state's allocation.

The Department will use up to five percent of the remainder for administration purposes and the remainder for discretionary purposes. The discretionary funds will be used according to P. L. 105-285 and carried out according to written agreement with U.S. Health and Human Services.

2-006 Fund Transmittal Process: All funds provided to eligible entities are federal funds which are approved and forwarded through the Department. Contingent upon the availability of funds, the normal process for transmitting funds to eligible entities is in equal payments on a quarterly basis.

2-006.01 Obligational Authority: Funds distributed to eligible entities through CSBG grants for a fiscal year must be available for obligation during that fiscal year and the succeeding fiscal year, subject to 481 NAC 2-006.02.

2-006.02 Recapture and Redistribution of Unobligated Funds:

2-006.02A Amount: Beginning on October 1, 2000, the Department may recapture and redistribute funds distributed to an eligible entity through a CSBG grant that are unobligated at the end of a fiscal year if the unobligated funds exceed 20 percent of the amount distributed to the eligible entity for the fiscal year.

2-006.02B Redistribution: In redistributing funds recaptured in accordance with this paragraph, the Department must redistribute the funds to an eligible entity, or require the original recipient of the funds to redistribute the funds, to a private, nonprofit organization located within the community served by the original recipient of the funds for activities consistent with the purposes of this program.

2-007 Program Requirements:

2-007.01 Emergency Services: Eligible entities must provide, on an emergency basis, for the provision of supplies and services, nutritious foods, and related services, as may be necessary, to counteract conditions of starvation and malnutrition among low-income individuals to the extent funds are available.

2-007.02 Coordinate and Establish Linkages: Eligible entities must coordinate and establish linkages between governmental and other social services programs to ensure the effective delivery of services to low-income individuals and to avoid duplication of services, and will work with the Department to coordinate the provision of employment and training activities, as defined in section 101 of the Workforce Investment Act of 1998 (WIA) in the state and in communities with entities providing activities through statewide and local workforce investment systems under the WIA.

2-007.03 Coordination of Programs: Eligible entities will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the community and members of the groups served by the state, including religious organizations, charitable groups, and community organizations.

2-007.04 Activities Supported: Eligible entities must:

1. Support activities that are designed to assist low-income 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 farmworkers, and elderly low-income individuals and families, and include in their plan a description of how the activities will enable the families and individuals:
 - a. 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);
 - b. To secure and retain meaningful employment;
 - c. 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;
 - d. To make better use of available income;
 - e. To obtain and maintain adequate housing and a suitable living environment;
 - f. To obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - g. 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:
 - (1) Document best practices based on successful grassroots intervention to develop methodologies for widespread replication; and
 - (2) Strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

2. 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:
 - a. 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 after-school child care programs; and
 - b. To make more effective use of, and to coordinate with, other programs related to the purposes of this program (including state welfare reform efforts).

2-008 Reporting Requirements: Financial and program reports must be submitted according to the written agreement with each eligible entity.

2-009 Self-Evaluation/Review Requirements and Corrective Action:

2-009.01 Self-Evaluation: Eligible entities must regularly evaluate the effectiveness and/or impact of their operations through peer reviews and other means, and report findings to the Department.

2-009.02 Reviews: Eligible entities must cooperate with the Department when the Department conducts an onsite review of their agency. These will occur at least every three years and may or may not be conducted simultaneously with a peer review. Other reviews as appropriate may be conducted, including reviews of entities with programs that have had other federal, state, or local grants (other than assistance provided under this program) terminated for cause.

2-009.03 Corrective Action

2-009.03A Determination: If the Department determines, on the basis of a final decision in a review, that an eligible entity failed to comply with the terms of an agreement or the state plan to provide services under this program or to meet appropriate standards, goals, and other requirements established by the Department (including performance objectives), the Department must:

1. Inform the entity of the deficiency to be corrected;
2. Require the entity to correct the deficiency;
3. Either:
 - a. Offer training and technical assistance, if appropriate, to help correct the deficiency, and prepare and submit to the Secretary a report describing the training and technical assistance offered; or
 - b. If the Department determines that training and technical assistance are not appropriate, the Department will prepare and submit to the Secretary a report stating the reasons for the determination;

4. At the discretion of the Department (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency):
 - a. Allow the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct the deficiency within a reasonable period of time, as determined by the Department; and
 - b. Not later than 30 days after receiving from an eligible entity a proposed quality improvement plan, either approve the proposed plan or specify the reasons why the proposed plan cannot be approved.
5. After providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding under this subtitle of the eligible entity unless the entity corrects the deficiency.

A determination to terminate the designation or reduce the funding of an eligible entity is reviewable by the Secretary.

2-010 Audit Requirements: Eligible entities must comply with the federal audit guidelines, including OMB Circular A-133 and its successors.

2-011 Redesignation of Eligible Entities: If any geographic areas of the state cease to be served by an eligible entity and the Governor or his/her designee decides to serve the area, the Governor or his/her designee may solicit applications from and designate as an eligible entity a private nonprofit organization (which may include an eligible entity) that is geographically located in the unserved area and that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements in Title 481.

2-011.01 Requirement for the Board: In order to serve as the eligible entity for the area, the entity must agree to add additional members to the board of the entity to ensure a tripartite board.

2-011.02 Special Consideration: In designating an eligible entity, the Governor or his/her designee must grant the designation to an organization of demonstrated effectiveness in meeting the goals and purposes of this program and may give priority in granting the designation to eligible entities that are providing related services in the unserved area, consistent with the needs identified by a community needs assessment.

2-011.03 No Qualified Organization in or Near Area: If no private, nonprofit organization is identified or determined to be qualified to serve the unserved area as an eligible entity, the Governor or his/her designee may designate an appropriate political subdivision of the state to serve as an eligible entity for the area. In order to serve as the eligible entity for that area, the political subdivision must have a tripartite board.

2-012 Relationships with Local Officials: Eligible entities are encouraged to maintain close working relationships with all elected officials in their service areas. Annually, eligible entities must inform the county boards in their service areas as to the programs and activities to be carried out.

This version of the MSP is currently under review by OMB, which may result in additional edits.

REV. FEBRUARY 22, 2004
MANUAL LETTER # 20-2004

NEBRASKA DEPARTMENT OF
HEALTH AND HUMAN SERVICES

CSBG
481 NAC 2-013

2-013 Eligible Entity's Grievance Process: An eligible entity may file a grievance following any decision by the Department to reduce or withhold funding for any of the reasons cited in 481 NAC 2-009 ff. The eligible entity's grievance on the Department's decision must be filed within 30 days following the date the Department provides a written notice of disciplinary action, sanction, or warning. The grievance must be in writing and it is filed with the Director. The Director must review the grievance and issue a final ruling within 30 days following his/her receipt of the grievance. A determination to terminate the designation or reduce the funding of an eligible entity is reviewable by the Secretary.

CHAPTER 3-000 FINANCIAL ADMINISTRATION

3-001 Accounting Standards: The expenditures of all CSBG funds must be accounted for in accordance with generally accepted accounting principles and as stated in 481 NAC 2-010.

3-002 Availability of Information:

3-002.01 Access to Information and Documents: Eligible entities and contractors must provide access to any books, documents, papers or records that duly authorized representatives of the Department of Health and Human Services, the Secretary of U.S. Health and Human Services, and the State Auditor determine are pertinent to an approved project plan. Eligible entities must comply with the Privacy Act of 1974, 5 U.S.C. 552a.

3-002.02 Restrictions: The Department must not place restrictions on an eligible entity, nor must an eligible entity establish restrictions which limit public access to the eligible entity's records or to the records of its contractors, except when the records must remain confidential for any of the following reasons:

1. To prevent a clearly unwarranted invasion of personal privacy;
2. To comply with an Executive Order or statute which specifically requires the records to be kept secret;
3. To protect commercial or financial information which was obtained from a person or a firm on a privileged or confidential basis;
4. To protect information which can be improperly exploited for personal gains;
5. To comply with the Health Insurance Portability and Accountability Act of 1996;
6. To protect the confidentiality of individual program participant information; or
7. To protect the confidentiality of employee personnel records.

3-003 Bonding: Eligible entities must maintain adequate liability insurance, including employee malfeasance insurance, to cover the programs funded by CSBG.

3-004 Carry Over of Unspent Funds: Eligible entities may carry over up to 20 percent of the CSBG funds awarded during a year. Upon the provision of adequate justification, the Department may allow a larger amount to be carried over. Eligible entities must annually submit a written explanation of any funds carried over.

3-005 Limitations on Use of Funds:

3-005.01 Purchase or Improvement of Land or Buildings: Grants must not be used for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility. The Department may request a waiver from the Secretary for the purchase of land or construction.

REV. FEBRUARY 22, 2004
MANUAL LETTER # 20-2004

NEBRASKA DEPARTMENT OF
HEALTH AND HUMAN SERVICES

CSBG
481 NAC 3-005.02

3-005.02 Political Activities: Programs must not use CSBG program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of the programs with:

1. 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;
2. Any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any elections; or
3. Any voter registration activity.

3-005.03 Allowable Costs: The provisions of OMB Circular A-122, or its successors, determine what costs are allowable or prohibited in the use of federal funds. Where federal exceptions for block grant funds exist, the appropriate State of Nebraska rules apply.

SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities: Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency. **[Narrative, 2500 characters]**

The mission of the Nebraska Department of Health and Human Services (NE DHHS) is ‘Helping people live better lives’. NE DHHS provides important, and, oftentimes, life-sustaining services to Nebraskans. It looks for ways to effectively provide these services and make a difference in the lives of people.

NE DHHS adopted Values and Core Competencies it strives for in all programs. These are:

1. Constant Commitment to Excellence
2. High Personal Standard of Integrity
3. Positive and Constructive Attitude and Actions
4. Openness to New Learning
5. Dedication to the Success of Others

On June 20, 2016 NE DHHS released a business plan titled “Real Improvements Sustainable Progress Better Lives for Nebraskans”. The department has identified 25 priorities that will result in real improvements, sustain current progress, and help Nebraskans live better lives. They are grouped under five categories that span the work of the Department:

- Integrating Services and Partnerships
- Promoting Independence through Community-Based Services
- Focusing on Prevention to Change Lives
- Leveraging Technology to Increase Effectiveness
- Increasing Operating Efficiencies and Improvements

Within these categories will be an emphasis on family case management of Employment First families. This initiative within Economic Assistance will strengthen the partnership between CSBG goals and objectives and NE DHHS. This effort mirrors the case management efforts local community action agencies have been doing using CSBG dollars as leverage.

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.

(NOTE TO NE DHHS- these are repeats of the FY2016 goals. We changed the dates to reflect the new deadlines. Title changes were put on hold to address higher priority programs and to wait for ROMA NG. Policies and procedures stalled with changes present in IM 138 and ROMA NG as well as delayed feedback)

Eligible Entity Specific

1. No eligible entities in a Quality Improvement Plan (QIP) by FY2020. The State will monitor eligible entities for compliance with state and federal laws concerning grants management and the CSBG Act.
2. All 9 eligible entities meet at least 90% of the Organizational Standards by FY2017 review. The State will provide training and technical assistance to agencies as needed to ensure the eligible entities have tools available and improve their status with Organizational Standards.
3. All 9 eligible entities meet 100% of the Organizational Standards by FY2018 review. The state will provide training and technical assistance to agencies as needed to ensure the eligible entities have tools available and improve their status with organizational standards.
4. No eligible entity is in the In Crisis category by FY2018. The State will work with vulnerable and in crisis agencies, to ensure the eligible entity has the information and tools available to be competitive, high performing and providing services to the community it serves.
5. Five of the nine agencies implement a new program or significantly change an existing program to better meet needs identified in the community needs assessment by FY2020. The State will work with stable and thriving agencies to incorporate innovative and collaborative projects in its service delivery.

State Specific (looked at ASCI survey and evaluated)

1. Written plan to address timeliness of payments. Work with other departments to address concerns relating to payment and subaward timeliness to address long wait times for payments and subawards.
2. Complete revision of Title 481 regulations by July 2017 to ensure compatibility with new OMB guidance, Organizational Standard and CSBG State and Federal Accountability Measures and well as any relevant ROMA Next Generation components.
3. Complete written CSBG Policies and Procedures by May 2017
4. Better coordination between state programs working to alleviate poverty in Nebraska
5. Better communication with eligible entities on expectations and feedback on required reports and submissions from state office.

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]

Nebraska relied on the eligible entity annual plans, the results from the ACSI survey, and new initiatives and focuses of NE DHHS to revise and update this plan.

Nebraska CSBG program revised its goals for organizational standards based on the year one review that yielded an average score of 86%. Most if not all should reach 90% or higher in FY2017 review based on results from year 1.

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.

Nebraska reviewed the eligible entities annual plans submitted in July 2016 to ensure that the information reflected here was indicative of what the eligible entities were doing in their service areas. Nebraska also looked at past reports and desk audits from the previous years to help identify the state goals, training and technical assistance needs of eligible entities and community conditions.

This version of the MSP is currently under review by OMB, which may result in additional edits.

The State CSBG Program emailed the the DRAFT state plan to all eligible entities and the state association office prior to submission. The State CSBG Program will also present information on this state plan at the August 2016 CAN meetings to elicit feedback on the proposed plan.

The state also held a public hearing on August 4, 2016 to allow eligible entities as well as interested public members to provide comments and feedback on the proposed state plan. The public comment period ran from August 4, 2016 to August 18, 2016. This allowed time for eligible entities as well as interested public members to provide additional feedback.

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 1Sb(i) and (ii) and may pre-populate the State's annual report form.

The State CSBG Program added an in person meeting on the proposed plan at the August 2016 CAN meetings as well as discussed the plan components with the ROMA Task Force in June 2016. The office recorded feedback and made relevant changes to the document based on that feedback.

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: **88. [Numerical, 3 digits]** (this will be a 14 point jump from the 74 from 1st survey)

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.

2015 Office of Community Services (OCS) - Eligible Entities Satisfaction with the States Survey
 State - Nebraska
 Score Table

Sample Size	National Min	National Max	National		Nebraska		National Impact
			Scores	Sample Size	Scores	Sample Size	
Development of CSBG State Plan	18	76	50	561	68	9	0.4
Extent of involvement	6	74	46	551	65	9	-
Caliber of opportunities	19	81	54	557	70	9	-
Reflects your input	11	78	49	529	67	9	-
Distribution of funds	11	100	68	578	63	9	0.5
Ensured no interruption	11	100	70	573	64	9	-
Quality of process	23	100	67	575	63	9	-
Use of Discretionary funds	16	94	59	523	82	9	0.4
Transparency of distribution	15	96	60	519	79	9	-
Responsiveness to needs	16	93	60	495	84	9	-
Training & Technical Assistance	17	89	66	568	83	9	0.5
Effectiveness of training	0	89	66	559	85	9	-
Effectiveness of assistance	32	88	65	555	81	9	-
Responsiveness of staff	11	95	71	529	85	9	-
Amount of training & assistance	11	89	64	562	81	9	-
Monitoring & Corrective Action	20	95	69	571	76	9	0.8
Consistency of monitoring	33	100	67	511	80	9	-
Adherence to plan	33	100	75	553	83	9	-
Usefulness of visits	22	89	68	562	79	9	-
Clarity of feedback	0	96	71	559	85	8	-
Timeliness of feedback	13	100	66	558	50	8	-
Clarity of process	35	95	68	483	79	7	-
Linkages & Communication	6	91	65	576	77	9	2.5
Awareness of efforts	11	89	57	522	69	9	-
Sufficiency of linkages	19	89	56	500	68	8	-
Effectiveness of partnerships	0	86	56	510	71	8	-
Sufficiency of information	0	92	62	566	81	9	-
Usefulness of feedback	22	94	65	561	75	9	-
Frequency of communication	11	97	71	573	83	9	-
Clarity of communication	0	100	69	574	83	9	-
Responsiveness of staff to requests	0	100	74	567	79	9	-
Consistency of responses	0	100	68	567	84	9	-
Customer Satisfaction Index	19	96	65	579	75	9	N/A
Overall satisfaction	22	96	69	579	78	9	-
Satisfaction compared to expectations	22	96	64	579	74	9	-
Satisfaction compared to ideal	11	96	62	579	74	9	-
Confidence in Lead Agency	22	96	69	570	83	9	5.1
Confidence in fulfilling mission	22	96	69	570	83	9	-
Trust in the CSBG State Lead Agency	11	96	70	576	83	9	5.1
Trusted to meet needs	11	96	70	576	83	9	-

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]**

Nebraska held a public hearing on August 4, 2016 to allow anyone to comment on the DRAFT plan. The eligible entities also receive a copy via email and are encouraged to share the information as widely as they would like. The DRAFT State Plan was also discussed in person at the August 2016 CAN meetings in Scottsbluff.

- 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]**

Nebraska published the public hearing notice in the Omaha World Herald and the Lincoln Journal Star, the two papers with the largest statewide distribution. The DRAFT State Plan is also posted on the dhhs.ne.gov website for 14 days to allow people to review the information prior to the public hearing. Notice of the public hearing is also provided on the dhhs.ne.gov website. All eligible entities and grantees receiving discretionary money are notified via email of the upcoming public hearing. The plan is mailed to anyone who requests a copy for review. For this review, ___ people asked for a paper copy.

- 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]
April 5, 2016	Nebraska State Capitol Room 1510 Lincoln, NE 68508	<input checked="" type="radio"/> Legislative
August 4, 2016	Nebraska State Office Building, 301 Centennial Mall South	<input type="radio"/> Public

This version of the MSP is currently under review by OMB, which may result in additional edits.

Date	Location	Type of Hearing [Select an option]
	Lincoln, NE 68509 ROOM: LLA	
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.]**

Attachment 4.4 Pending. Include public hearing notice (affidavit) from papers and transcript.

Attachment 4.4. Legislative hearing Health and Human Services Committee meeting transcript 4-5-2016

DRAFT

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**NEBRASKA DEPARTMENT OF HEALTH AND HUMAN SERVICES
NOTICE OF PUBLIC HEARING**

Thursday August 4, 2016, at 1:00 p.m. CT
State Office Building, Lower Level Conf.
Room A 301 Centennial Mall South, Lincoln, NE

The Department of Health and Human Services (DHHS) Division of Children and Family Services is holding this hearing to accept comments on proposed state plan for:

- The Low-Income Home Energy Assistance Program for the period of October 1, 2016 through September 30, 2017. The state plan is submitted annually to the federal Department of Health and Human Services, which provides funding to states to assist low-income individuals and families with home heating and cooling costs. The plan describes Nebraska's program, including eligibility requirements and benefit guidelines. The proposed plan is available from Sandy Payne, LIHEAP Program Specialist, at Sandy.Payne@nebraska.gov, 402-471-9262, or P.O. Box 95026, Lincoln, NE 68509.
- The Community Services Block Grant (CSBG) for the period of October 1, 2016 through September 30, 2018. The state plan is submitted biennially to the federal Department of Health and Human Services. The CSBG is an anti-poverty federal grant providing the base funding for Nebraska's nine local Community Action Agencies, which operate programs and services to low-income families state wide. The CSBG also provides discretionary dollars used to fund specific programs or initiatives. The plan describes Nebraska's use of CSBG funds, including eligible entities, the service delivery system, and developing or ongoing initiatives. The proposed plan is available from Jennifer Dreifelbis, CSBG Program Specialist, at Jennifer.Dreifelbis@nebraska.gov, 402-471-9346, or P.O. Box 95026, Lincoln, NE 68509.

Interested persons are invited to submit written comments or to attend and comment at the hearing. Written comments should be submitted by 5:00 p.m. CT on August 18, 2016 and sent to the address above.

If auxiliary aids or reasonable accommodations are needed to participate in the hearing, please call 402-471-8223. For persons with hearing impairments, please call 402-471-9570 (voice and TDD) or the Nebraska Relay System at 711 or 800-853-7352 TDD.

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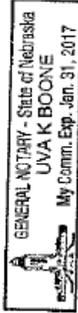
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NEBRASKA
DEPARTMENT OF HEALTH AND
HUMAN SERVICES
NOTICE OF PUBLIC HEARING
Thursday August 4, 2016,
at 1:00 p.m. CDT
State Office Building,
Lowry Office Complex, Room A,
301 Centennial Mall South,
Lincoln, NE

The undersigned, being first duly sworn, deposes and says that she/he is a Clerk of the Lincoln Journal Star, legal newspaper printed, published and having a general circulation in the County of Lancaster and State of Nebraska, and that the attached printed notice was published in said newspaper one successive time(s) the first insertion having been on July 18, 2016 and thereafter _____, 20____.

and that said newspaper is the legal newspaper under the statutes of the State of Nebraska. The above facts are within my personal knowledge and are further verified by my personal inspection of each notice in each of said issues.

Subscribed in my presence and sworn to before me on July 19, 2016
[Signature] Notary Public



Cost \$42.40

Reference # 622685

The Department of Health and Human Services (DHHS) Director of Child Care Family Services is conducting this hearing to accept comments on proposed state plan for:

* The Low-Income Home Energy Assistance Program (LHEAP) Period of Performance through September 30, 2017. The state plan is submitted annually to the federal Department of Health and Human Services, which provides funding to states to assist low-income families and individuals with the heating and utility costs. The plan describes Nebraska's program, including eligibility requirements and benefit guidelines. The proposed plan is available from the website at <http://www.dhs.nebraska.gov>, 402-471-9252, or P.O. Box 85026, Lincoln, NE 68506.

The Community Services Block Grant (CSBG) for the period September 30, 2016 through September 30, 2018. The state plan is submitted biennially to the federal Department of Health and Human Services. The CSBG is used to fund poverty-fighting grants including the local Community Action Agencies, which operate programs and services to low-income families, states and individuals. The CSBG is used to fund specific programs or initiatives. The plan describes Nebraska's use of CSBG funds, including eligible entities, the service delivery system, and developing and maintaining a CSBG program plan. A copy of the proposed plan is available from Jennifer Drebnobier, CSBG Program Specialist, at Jennifer.Drebnobier@nebraska.gov, 402-471-9348, or P.O. Box 85026, Lincoln, NE 68506. All persons are invited to submit written comments or to attend and comment at the hearing. Written comments should be submitted by 5:00 p.m. CDT on August 18, 2016 and sent to the address above.

Accommodations are needed to participate in the hearing. Please call 402-471-9223. For persons with hearing impairments, please call 402-471-9578 (Voice and TDD) or 402-471-9578 (Voice and TDD) or 800-833-7352 TDD. #622685 11 July 18 25-14-2023

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**NEBRASKA DEPARTMENT OF HEALTH
AND HUMAN SERVICES
NOTICE OF PUBLIC HEARING**

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State Office Building, Lower Level Conf.
Room A 301 Centennial Mall South, Lincoln, NE

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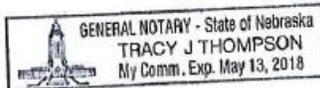
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State of Nebraska, County of Douglas, ss:

Anita Cousin-Hardrick, being duly sworn, deposes and says that she is an employee of The Omaha World-Herald, a legal daily newspaper printed and published in the county of Douglas and State of Nebraska, and of general circulation in the Counties of Douglas, and Sarpy and State of Nebraska, and that the attached printed notice was published in the said newspaper on the 18th day of July, 2016, and that said newspaper is a legal newspaper under the statutes of the State of Nebraska. The above facts are within my personal knowledge. The Omaha World-Herald has an average circulation of 118,247 Daily and 144,202 Sunday, in 2016.

(Signed) Anita Cousin-Hardrick Title: Account Executive

Subscribed in my presence and sworn to before me this 18th day of July, 2016.



Tracy J. Thompson
Notary Public

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Health and Human Services Committee
April 05, 2016

[CONFIRMATION BRIEFING]

The Committee on Health and Human Services met at 12:00 p.m. on Tuesday, April 5, 2016, in Room 1510 of the State Capitol, Lincoln, Nebraska, for the purpose of conducting a public hearing on a gubernatorial appointment and a briefing. Senators present: Kathy Campbell, Chairperson; Sara Howard, Vice Chairperson; Sue Crawford; Nicole Fox; Mark Kolterman; and Merv Riepe. Senators absent: Roy Baker.

ALYSSON MUOTRI: (Recorder not on)...but as well as to find ways to interfere on this process and try to correct or ameliorate the condition. So my background is actually genetics. I did a Ph.D. in human genetics and in cancer biology from the University of Sao Paulo back in Brazil. And then I moved as a post-doc to the Salk Institute. I worked with Fred "Rusty" Gage on neuroscience and neurodegenerative cell biology. And I studied with him for six years. And then I taught my lab in 2008, 2009, and since then have been having a wonderful time here at UCSD. [CONFIRMATION]

SENATOR CAMPBELL: Excellent. Thank you for that information. Give us a little idea. Is this your first appointment? It's not a reappointment, I don't believe. [CONFIRMATION]

ALLYSON MUOTRI: At UCSD, you mean? [CONFIRMATION]

SENATOR CAMPBELL: No, to the Stem Cell Research Advisory Committee. [CONFIRMATION]

ALLYSON MUOTRI: Oh. It is a first appoint, correct. [CONFIRMATION]

SENATOR CAMPBELL: Doctor, do you recall who might have approached you about serving on the committee? [CONFIRMATION]

ALLYSON MUOTRI: I'm not close to my computer. But I don't remember the name right now. But if you give me a moment, I can find you correct...that information. I just don't have it in my hand. [CONFIRMATION]

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Health and Human Services Committee
April 05, 2016

SENATOR CAMPBELL: That's fine. You probably were contacted by Dr. Safranek from the Department of Health and Human Services. I just didn't know whether you knew if there was a person who had nominated you. [CONFIRMATION]

ALLYSON MUOTRI: Yeah, no. And I don't know (inaudible). [CONFIRMATION]

SENATOR CAMPBELL: Okay. Were you familiar with the Stem Cell Research Advisory Committee before that phone call? [CONFIRMATION]

ALYSSON MUOTRI: No. I wasn't familiar. And they sent me some information about the program and what is expected, how the program would work, and it is very standard, I mean, I think, helping other stem cell committees over the years, so I'm very familiar with the process. [CONFIRMATION]

SENATOR CAMPBELL: Excellent. I'm glad that you have the information. We've been very, certainly, impressed with the credentials that you provided, in terms of publication, and your vitae. And I know that you will see similar backgrounds in the people you will serve with. We are so impressed that people who are working in this field of research are willing to give of their time and serve on the committee. So ahead of time, thank you very much. [CONFIRMATION]

ALYSSON MUOTRI: Thank you. This is an opportunity for me to grow, to learn from other people. So I always welcome this kind of opportunity. [CONFIRMATION]

SENATOR CAMPBELL: Yes. And that I am sure we can guarantee you. Questions from the senators on the confirmation? One of the questions that I had is, since you are doing research in this area, what do you...give us an idea of the future of stem cell research. What kinds of things are you seeing? [CONFIRMATION]

ALYSSON MUOTRI: Yeah. So I think there is two lines of research that are very promising. And one is the one that I am working on, which is a stem cell disease modeling, where we use the in vitro in the lab to generate, for instance, mini-brains of people we've never watched absorb it. And we test drugs on these mini-brains to see how they react. So this allows us to test

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Health and Human Services Committee
April 05, 2016

SENATOR CAMPBELL: Excellent. Any other comments? Senator Riepe. [CONFIRMATION]

SENATOR RIEPE: Thank you, Senator Campbell. Thank you for joining us today. One of the questions I have is, do you have an existing stem cell line that you work off of?
[CONFIRMATION]

SENATOR CAMPBELL: Did you hear the question, Doctor? [CONFIRMATION]

ALYSSON MUOTRI: I did, yes. And then I said, repeat again, repeat correctly. I have a stem cell (inaudible) that I (inaudible)? [CONFIRMATION]

SENATOR CAMPBELL: Yes, yes. I think that's the... [CONFIRMATION]

SENATOR RIEPE: Okay. The second and my last question would be the...where is your source of new stem cell lines? I think, in a conservative state like Nebraska, people might ask that question. [CONFIRMATION]

ALYSSON MUOTRI: Yeah. So most of the stem cells that we have now, we derive from the skin of patients. So this is a technology that was developed by a researcher in Japan called Shinya Yamanaka. He actually got the Nobel Prize for that. And he can...he showed us that we can reprogram any cell from the body back into these stem cells (inaudible) that resemble an embryonic stem cell line. So we don't actually use embryos to generate the stem cell lines that we use. We actually take them from the skin cells or even dental probes or hair cells from the patient, and we reprogram these cells back in the lab. So it's what we call induced pluripotent stem cells. [CONFIRMATION]

SENATOR RIEPE: Okay. Thank you very much. [CONFIRMATION]

ALLYSON MUOTRI: Welcome. [CONFIRMATION]

SENATOR CAMPBELL: Any other questions, Senators? Doctor, we don't have any other questions today for you. Again, we want to thank you for your service on the Stem Cell Research

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Health and Human Services Committee
April 05, 2016

Advisory Committee and wish you the very best in the research you're conducting in your laboratory. [CONFIRMATION]

ALYSSON MUOTRI: Thank you so much for the opportunity; looking forward to interact more with people in Nebraska. [CONFIRMATION]

SENATOR CAMPBELL: Absolutely. Have a great day, and goodbye. [CONFIRMATION]

ALLYSON MUOTRI: Thank you for inviting. [CONFIRMATION]

SENATOR CAMPBELL: Okay. We will move to the second part of our hearing today. And we are having the DHHS Community Services Block Grant briefing. And this is required by the federal government in order for us to receive the grant. So Mr. Busch, thank you so much for coming today. I don't know. Are you the one that always gives the briefing? I can't remember. [CSBG BRIEFING]

NATHAN BUSCH: I am not the one that always gives the briefing. [CSBG BRIEFING]

SENATOR CAMPBELL: Aah. [CSBG BRIEFING]

NATHAN BUSCH: And I'm just the lucky one today. [CSBG BRIEFING]

SENATOR CAMPBELL: Well, we're glad to have you. [CSBG BRIEFING]

NATHAN BUSCH: Well, thank you. [CSBG BRIEFING]

SENATOR CAMPBELL: So you go right ahead. [CSBG BRIEFING]

NATHAN BUSCH: (Exhibit 1) Thank you, Senator. Good afternoon, Senator Campbell and members of the Health and Human Services Committee. My name is Nathan Busch, N-a-t-h-a-n B-u-s-c-h. I am the administrator of legislative coordination of project development in the Division of Children and Family Services in the Department of Health and Human Services. I

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Health and Human Services Committee
April 05, 2016

am here today concerning Nebraska's state plan for Community Service Block Grant, CSBG funds for federal fiscal years 2017 and 2018. Nebraska submits a plan every two years to the Office of Community Services in the United States Department of Health and Human Services, establishing what the state of Nebraska and community action agencies will do with the funding during the specified period. The CSBG act requires a legislative hearing once every two years. CSBG funds are federal funds distributed to the states and earmarked by federal law for distribution to eligible entities which, in Nebraska, are community action agencies. A formula based on each state's poverty population, determines each state's grant amount. Nebraska receives approximately \$4.7 millions annually. CSBG funding provides a range of services and activities to assist the needs of low-income individuals. Community action agencies are required to provide the funded services and activities addressing these needs in Nebraska. The services and activities are determined locally through needs assessments and other community-based assessment tools. Agencies report outcomes and activities twice a year and send an annual report to the Office of Community Services with the Administration for Children and Families every February. Nebraska recognizes nine community action agencies serving all 93 counties. The board of each agency is comprised of one-third low-income representatives, one-third elected officials or their representative, and one-third private-sector representatives, all who live in the agency's service area. Community action agency board members are responsible for planning, overall direction, and management of the agency. And the state is responsible for monitoring and oversight of the agencies to ensure compliance with federal and state laws and regulations. Nebraska's community action agencies conduct an in-depth community needs assessment at least once every three years. The community needs assessment provides a picture of the services and programs needed, strengths and opportunities in the community to address low-income issues, poverty, and helping individuals achieve self-sufficiency. Agencies continue to focus on holistic approaches to alleviating poverty. Much of their efforts are around in-depth case management for their clients. While each agency is diverse and offers a variety of services based on their communities, several programs are similar, including Head Start, Early Head Start, and adult education programs, job training and direct employment of low-income individuals, AmeriCorps, housing services, childcare, homeless shelter and other homeless assistance, and migrant services. Emergency assistance is also a key program area for community actions agencies. These services provide rental assistance, utility deposits and payment of past-due bills with a shut-off notice, food and transportation, alcohol and drug counseling, mental health

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Health and Human Services Committee
April 05, 2016

services, and food pantries, food banks and the commodity food program. Agencies also collaborate with other state entities, such as the Division of Public Health's WIC Maternal Child Health, and immunizations programs, as well as Nebraska Energy Office's low-income weatherization program. They work with local organizations to operate programs such as senior centers and other senior programs, including home-delivered meals and transportation and youth-mentoring projects. In federal fiscal year 2014, community action agencies in Nebraska provided services to more than 81,000 individuals from more than 31,000 families facing a variety of barriers to self-sufficiency. More than 25,000 of these were children, and more than 13,000 were senior citizens. The agencies continue to serve mostly families at or below 125 percent of poverty. Guidance on the federal fiscal year 2017 and 2018 state plan will come out in July 2016. We will submit our state plan to the federal Office of Community Services by September 1, 2016, via their online system. Copies of the plan will be available for public comment prior to submission, as required by the CSBG act. Per federal law, 90 percent of the funds go to Nebraska's nine community action agencies. The state may use up to 5 percent of the funds for state administration of the grant. And the remaining 5 percent of funds are discretionary funds used to provide training and technical assistance to the agencies. The CSBG is only one funding source for community action activities. It is the base funding to allow agencies to leverage additional private and public dollars for their programs. Last year agencies leveraged more than \$70 million or \$174.56 per CSBG dollar in other federal state and local dollars. Thank you for allowing me to present Nebraska's intention to submit the CSBC state plan and to provide a small sampling of what community action does in our state. If you're not familiar with the community action agency in your district, I invite you to visit those agencies. I have included a list of the nine community action agencies in Nebraska. And I'll be happy to answer any questions you may have. [CSBG BRIEFING]

SENATOR CAMPBELL: Any questions for Mr. Busch? Senator Riepe. [CSBG BRIEFING]

SENATOR RIEPE: Thank you, Senator Campbell. Thank you for being with us. One of the questions I have is, do we have a complete inventory? When you're talking about a lot of these agencies, you know, my, I guess my mind runs along towards both state and government, in terms of what it was in, maybe, 2005, almost on a grid chart, 2010, 2015, by dollar amounts? Do want it to be by community? I mean, to me, when I see something like that, without some

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inventory that's not just a balance sheet, one-day picture. I'm looking for some trend lines and (inaudible). [CSBG BRIEFING]

NATHAN BUSCH: Sure. [CSBG BRIEFING]

SENATOR RIEPE: Do we do that? I mean, I am kind of (inaudible). [CSBG BRIEFING]

NATHAN BUSCH: What we could do is, we could look at each individual community action agency and what funding they have received. And then compare that up with the community assessments on what needs need to take place in the community. And then you can look at that over the different biyearly submission of the report. And we could probably figure out some trend lines in that way. [CSBG BRIEFING]

SENATOR RIEPE: To me...I don't know how others (inaudible)...it gives you a visual picture then if you're trending right or , and I would be encouraging to...that you'd give some editorial comments. And since this is... [CSBG BRIEFING]

NATHAN BUSCH: Sure. [CSBG BRIEFING]

SENATOR RIEPE: We think we're doing okay? Or we think we need to do more? And if need to do more, how much more? And I'm just trying to...you know, we sit here today. It's kind of like, boom, and... [CSBG BRIEFING]

NATHAN BUSCH: Yeah. [CSBG BRIEFING]

SENATOR RIEPE: And that's hard for me to do. [CSBG BRIEFING]

NATHAN BUSCH: Yeah, we would love to demonstrate for you the effectiveness and the outcomes of what's being achieved with these dollars. [CSBG BRIEFING]

SENATOR RIEPE: Personally, that would be very helpful. Thank you. [CSBG BRIEFING]

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NATHAN BUSCH: Yeah, you bet. [CSBG BRIEFING]

SENATOR RIEPE: Thank you, Senator. [CSBG BRIEFING]

SENATOR CAMPBELL: Other questions, Senator Kolterman. [CSBG BRIEFING]

SENATOR KOLTERMAN: Thank you, Senator Campbell. I have a question, and it's more for my own. I had the pleasure of serving on Blue Valley Community Action of Fairbury. [CSBG BRIEFING]

NATHAN BUSCH: Um-hum. [CSBG BRIEFING]

SENATOR KOLTERMAN: I guess this says they're at Humboldt, but can you tell me...part of their work is in the area of weatherization. [CSBG BRIEFING]

NATHAN BUSCH: Um-hum. [CSBG BRIEFING]

SENATOR KOLTERMAN: I assume that's for low-income people, where they come in and insulate a house or put in new storm doors and things of that nature.

NATHAN BUSCH: Yeah. Correct. [CSBG BRIEFING]

SENATOR KOLTERMAN: I also served on a board, Southeast Nebraska Development District. [CSBG BRIEFING]

NATHAN BUSCH: Um-hum. [CSBG BRIEFING]

SENATOR KOLTERMAN: And they did the same thing. Are there two programs that overlap in that arena, because they both, they're both dealing with the same area pretty much? [CSBG BRIEFING]

NATHAN BUSCH: Sure. [CSBG BRIEFING]

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SENATOR KOLTERMAN: And they're also both dealing with the same process. [CSBG BRIEFING]

NATHAN BUSCH: Sure. There may be multiple agencies that deal with the same causal factors...weatherization and what we may need to be looking at there. But they generally tend to have different eligibility requirements, while ours that...the three of the action groups follows the federal eligibility requirements for this grant. Other agencies may use separate eligibility determinations. But, if anything, it allows for the widest net to be cast, in terms of helping folks, low-income folks or poverty folks, to be able to make sure they're in good shape. [CSBG BRIEFING]

SENATOR KOLTERMAN: You know, in a way, so in essence what you're telling me is like Blue Valley Community Action, that's all federal monies? [CSBG BRIEFING]

NATHAN BUSCH: Most of it, yes. [CSBG BRIEFING]

SENATOR KOLTERMAN: Okay. And I think the other one...stand as a...they use state monies... [CSBG BRIEFING]

NATHAN BUSCH: Um-hum. [CSBG BRIEFING]

SENATOR KOLTERMAN: ...from the Department of Energy. That's probably the difference. [CSBG BRIEFING]

NATHAN BUSCH: Yeah. That would make sense. That would make sense. [CSBG BRIEFING]

SENATOR KOLTERMAN: Thank you. [CSBG BRIEFING]

NATHAN BUSCH: You're welcome. [CSBG BRIEFING]

SENATOR CAMPBELL: Any other questions, Senators? Mr. Busch, I have a question for you. [CSBG BRIEFING]

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NATHAN BUSCH: Yes, Senator. [CSBG BRIEFING]

SENATOR CAMPBELL: Does the committee need to formally adopt the report in order for you to report to the federal government, or does the hearing suffice? [CSBG BRIEFING]

NATHAN BUSCH: I believe the hearing suffices, but I'll double-check and be in touch with Joselyn if I need to be. [CSBG BRIEFING]

SENATOR CAMPBELL: Okay, that would be great... [CSBG BRIEFING]

NATHAN BUSCH: Yeah. [CSBG BRIEFING]

SENATOR CAMPBELL: ...because we obviously want to take whatever action is appropriate to bring down those federal dollars; that would be terrific. [CSBG BRIEFING]

NATHAN BUSCH: Absolutely. [CSBG BRIEFING]

SENATOR CAMPBELL: And my recollection is that we generally just had to have the hearing. [CSBG BRIEFING]

NATHAN BUSCH: I believe so, Senator, but I'll double-check. [CSBG BRIEFING]

SENATOR CAMPBELL: Okay, that would be terrific. [CSBG BRIEFING]

NATHAN BUSCH: Okay. [CSBG BRIEFING]

SENATOR CAMPBELL: With that, it concludes our hearing for today, and we are adjourned. [CSBG BRIEFING]

SECTION 5 CSBG Eligible Entities

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

CSBG Eligible Entity	Public or Nonprofit	Type of Entity	Geographical Area Served by County	Brief Description of 'Other'
Blue Valley Community Action Partnership (BVCA)	Nonprofit	Community Action Agency	Butler, Fillmore, Gage, Jefferson, Polk, Saline, Seward, Thayer, York	NA
Community Action Partnership of Lancaster and Saunders Counties (CAPLSC)	Nonprofit	Community Action Agency	Lancaster, Saunders	NA
Community Action Partnership of Western Nebraska (CAPWN)	Nonprofit	Community Action Agency	Scottsbluff, Morrill, Cheyenne, Kimball, Garden, Banner, Deuel	NA
Central Nebraska Community Services (CNCS)	Nonprofit	Community Action Agency	Boone, Colfax, Platte, Boyd, Holt, Wheeler, Brown, Keya Paha, Rock, Hall, Howard, Hamilton, Merrick, Nance, Blaine, Custer, Loup, Sherman, Valley, Garfield, Greeley	NA
Eastern Nebraska Community Action Partnership (ENCAP)	Nonprofit	Community Action Agency	Douglas, Sarpy	NA
Community Action Partnership of Mid Nebraska (Mid)	Nonprofit	Community Action Agency	Grant, Hooker, Thomas, Arthur, McPherson, Logan, Keith, Lincoln, Perkins, Dawson, Buffalo, Chase, Hayes, Frontier, Gosper, Phelps, Kearney, Adams, Clay, Dundy, Hitchcock, Red Willow, Furnas, Harlan, Franklin, Webster, Nuckolls	NA

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Northwest Community Action Partnership (NCAP)	Nonprofit	Community Action Agency	Cherry, Sheridan, Box Butte, Dawes, Sioux	NA
Northeast Nebraska Community Action Partnership (NENCAP)	Nonprofit	Community Action Agency	Antelope, Burt, Cedar, Cuming, Dakota, Dixon, Dodge, Knox, Madison, Pierce, Stanton, Thurston, Washington, Wayne	NA
Southeast Nebraska Community Action Partnership (SENCAP)	Nonprofit	Community Action Agency	Cass, Otoe, Johnson, Nemaha, Pawnee, Richardson	NA

5.2. Total number of CSBG eligible entities: 9 [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. X 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.

Central Nebraska Community Services legally changed its name to Central Nebraska Community Action Partnership November 13, 2015.

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]**

NA

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]**

Nebraska will work with the eligible entities and NE DHHS administration to develop policies and procedures for the CSBG program and incorporate Organizational Standards and Federal and State Performance Measures into those policies and procedures.

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

X Peer-to-peer review (with validation by the State or State-authorized third party)

X 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]

In Year 2 of the Organizational Standards implementation, Nebraska will use a peer review model for FFY2017. In FFY2018, the eligible entities will conduct a self assessment with the State CSBG Program validating the results.

For FFY2017, the eligible entities will provide a peer review where one agency will review another agency. The Community Action of Nebraska board of directors voted to adopt the peer review model for Year 2 (FFY2017) at the May 2016 meeting. They delegated to the State CSBG Program and the Association the task of deciding which agency does the peer review of which agency.

In June 2016, the State CSBG Program asked agencies if they were willing to share their scores. One agency refused and two agencies did not respond. Without unanimous support, the State CSBG Program declined to provide the results and set up the review based on the highest Met agency reviewing the lowest Met. While this practice would produce some optimal training and technical assistance, this option is not feasible without agencies knowing each other's scores.

The peer review will be based on a random assignment taking into account that one agency from the East side of the state reviewing one from the West side of the state requires a day's travel.

The peer review will consist of the review team made up of representatives chosen by the Executive Director of the agency doing the review. This team will review all the Not Met standards and a random number of Organizational Standards that are Met. By having the random option, it requires the reviewed agency to make sure it has all its documentation available for any standard because it will not know which ones will be selected until the review team is on site. The review team will complete its report on the Not Mets and the random selection and provide a written report back to the State CSBG Program. The State CSBG Program will verify results.

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In FFY2018, each eligible entity will conduct a self assessment. The forms are being adapted from Iowa's Department of Human Rights CSBG program to fit Nebraska's needs. It will be reviewed through FFY2017 for implementation at the start of FFY2018.

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- 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]**

NA

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? **[67%]**

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

DRAFT

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.

CSBG Eligible Entity	Planned CSBG 90 Percent Funds			
	Year One (FY2017) Estimate		Year Two (FY2018) Estimate	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Blue Valley Community Action	\$310,983	6.965%	\$310,983	6.965%
Community Action Partnership of Lancaster and Saunders Counties	\$641,523	14.368%	\$641,523	14.368%
Community Action Partnership of Western Nebraska	\$291,561	6.530%	\$291,561	6.530%
Central Nebraska Community Services	\$496,948	11.130%	\$496,948	11.130%
Eastern Nebraska Community Action Partnership	\$1,130,077	25.310%	\$1,130,077	25.310%

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Community Action Partnership of Mid Nebraska	\$588,346	13.177%	\$588,346	13.177%
Northwest Community Action Partnership	\$225,881	5.059%	\$225,881	5.059%
Northeast Nebraska Community Action Partnership	\$529,274	11.854%	\$529,274	11.854%
Southeast Nebraska Community Action Partnership	\$250,349	5.607%	\$250,349	5.607%
TOTAL	\$4,464,942	100.000%	\$4,464,942	100.000%

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]**

For ease, a spreadsheet is provided at the end of this description with the average time for each step based on FY2016 actions. The State CSBG Program has improved expediency in FY2016 as opposed to previous years. The hours dropped from 111 hours to 93, a 16% improvement. The State CSBG Program will continue to work with other state offices to attempt to improve timeliness.

Nebraska starts the subgrant process upon receipt of a Notice of Award letter from the funding agency, in this case, Office of Community Services. The subgrant amount can only be written for the amount expressed on the “This Action” portion of the Notice of Award. If the full amount is not listed in the “Allotment” section then the State CSBG Program must issue amendments for each partial allotment Notice of Award received.

Once the Notice of Award is received, the State CSBG Program prepares the subgrants for approval through the Economic Assistance Unit Administrators and legal representative. Once approved by Economic Assistance Unit Administrators, the subgrants go into an automated approval system called NIS. In this system, Legal department, Support Services, Grants Management and Administration approve the subgrants. Once the subgrants are approved by all entities, the State CSBG Program receives notification from Support Services that they have been approved and they are given a Y3 number. The State CSBG Program sends a PDF copy to each of the subgrantees (the 9 eligible entities) for Executive Director/CEO signature. Once the

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signed original copies are received via US Mail (NE DHHS cannot accept electronic signatures at this time) at the State CSBG Program, the signed subgrants are routed through Economic Assistance Administrators to the NE DHHS designee to sign the subgrant. Once the subgrant is received with all signatures (both eligible entity and NE DHHS), the subgrant is sent to Support Services to load into the NIS system for payment. Support Services then notifies the State CSBG Program that payments can be made on the executed subgrants.

Once subgrant is executed, payments take anywhere from 7 -21 days to process through the system for payment to the eligible entity. Payments are initiated by the State CSBG Program through an automated system called OnBase. Once the payment is entered and approved on the program side, approvals continue through Support Services, Grants Management and Accounting. Accounting notifies the program staff when payment has been completed. The eligible entity can expect payment within two (2) to three (3) working days from that notice.

Each time an amendment is needed when more money is distributed on the grant, the same process repeats for each amendment.

Average time frame based on FY2016 actions	
Steps	Usual Time Frame
Economic Assistance Prior Approval	21 days
NIS Approvals	14 days
Notification from Support Services	1 day
PDF sent to Eligible Entities	1 day
Eligible Entity returns Signed subgrant	14 days
Signed subgrant to Economic Assistance for routing	1 day
Signature from NE DHHS Representative	17 days
Loaded into NIS for payments	2 days
Payments coded to subgrant	1 day
Payments made to grantee	21 days
Total time	93 days

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.

Please see 7.3 for the process and timeline for approving subgrants and payments within NE DHHS.

Once a subgrant is executed and after the first payment, the State CSBG Program processes subsequent payments monthly for eligible entities. The subsequent payments are fairly consistent, ensuring payment within 21 days of receiving an accurate payment request from an eligible entity.

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.

The State CSBG Program had improvement in FFY2016. By monitoring the time frames for payments, the payments took 93 days in FFY2016. This is a 16% improvement from last year. The State CSBG Office will continue to monitor timeliness and look for ways to expedite the process on the program side. The program will work with other state programs and NE DHHS administrators to come up with potential solutions to improve the timeliness of payments.

In the past the State CSBG Program has worked with Internal Auditing, Legal, Grants Management and Support Services to revise its program practices to cut down on returned items that need to be changed prior to approval.

The State CSBG Program will continue to monitor timeliness in the coming FFY2017 and 2018 with the goal of reducing the time frame from notice of award to first payment to under 90 days. The FFY2019 is 60 days but the program and agency need time to work on processes to get to that number. To reach the goal expressed in 7.4 will require a major overhaul of NE DHHS practices. It seems unlikely that Nebraska CSBG program will reach 30 days or less.

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. **[5%]**

Five (5) percent is allocated for administrative activities.

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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]**

Two. One (1) full time position and one (1) part time position. A part time (.5FTE) Program Manager II was added to the CSBG program. There is a varying number of other administration positions based on the State’s cost allocation plan.

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

1.5 FTE and a varying number of other administration positions based on the State’s cost allocation plan.

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

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

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

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

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

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

Note: This information is associated with State Accountability Measures 3Sa; the responses may pre-populate the State’s annual report form.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses	Year One (FY2017) est		Year Two (FY2018) est		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
(See 675C(b)(1) of the CSBG Act)					
a. Training/technical assistance to eligible entities	\$100,000	30%	\$50,000	17%	Agencies will receive assistance in meeting Organizational Standards and additional training on ROMA Next Generation as well as identified needs through Years 1 and 2.
b. Coordination of State-operated programs and/or local programs	\$70,000	21%	\$70,000	23%	Nebraska contracts with Nebraska Children and Families Foundation to provide grant writing services (\$49,000) to statewide and local projects impacting CSBG programs or eligible entities. Additional funds will be available to better coordinate among state agencies (\$20,000)

c. Statewide coordination and communication among eligible entities	\$120,000	36%	\$120,000	40%	Nebraska gives Community Action of Nebraska operational dollars for a system administrator position and a community outreach position to assist with statewide activities and training.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0	0%	\$0	0%	
e. Asset-building programs	\$0	0%	\$0	0%	Community Action of Nebraska received AFI grant money so the state office does not contribute to these efforts
f. Innovative programs/ activities by eligible entities or other neighborhood groups	\$15,000	4%	\$30,000	10%	Nebraska is part of the national Learning Community Trauma Informed Approaches to Alleviating Poverty. These dollars will go to support activities around implementing strategies and involvement in the LC

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g. State charity tax credits	\$0	0%	\$0	0%	Nebraska does not have state charity tax credits
h. Other activities, specify Community Needs Assessment	\$30,000	9%	\$30,000	10%	Nebraska pays for Community Action of Nebraska to conduct a statewide needs assessment
Totals	\$335,000	100%	\$300,000	100%	
* amount is over FY2017 estimated allotment due to carryover of discretionary and admin dollars					
*amount is over FY2018 estimated allotment due to carryover of discretionary and admin dollars					

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]**

- XCSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- X Other community-based organizations
- X State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- X 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.

The eligible entities at times receive discretionary money to offset costs of training and technical assistance. For example, in FY2016, discretionary money was given to agencies that needed to meet federal requirements under the Commodities and Supplemental Food Program (CSFP). Nebraska anticipates providing about \$10,000 per agency in FY2017 to offset costs of training and technical assistance around ROMA Next Generation. In FY2018, the amount will be reduced to focus on innovate projects.

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.

The State CSBG Program has not altered the use of discretionary funds from FY2016 efforts focused on training and technical assistance. With the Organizational Standards, ROMA Next Generation and OMB new guidance, much of the discretionary dollars given to eligible entities was used for training and technical assistance. The office anticipates similar needs in FY2017.

The State CSBG Program provides operational support to the state association, Community Action of Nebraska. The office does not anticipate removing that support.

The State CSBG Program also provides support for statewide community assessment projects and statewide community mapping projects that provide benefit to all eligible entities. These funds go to the state association to administer these efforts.

By FFY2018, the State CSBG program hopes to provide more money for innovative projects.

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:	Toggle Options:	Dropdown Options:	[Narrative, 2500 characters]
· FY1 – Q1	Both	ROMA AND Organizational Standards for eligible entities with unmet standards on TAP or QIP plans	
· FY1 – Q2	Both	Other	Trauma Informed Practices
· FY1 – Q3	Both	Other	Trauma Informed Practices AND focus on implementation of ROMA NG
· FY1 – Q4	Both	Technology AND Reporting	

This version of the MSP is currently under review by OMB, which may result in additional edits.

· FY2 – Q1	Both	· Correcting Significant Deficiencies Among Eligible Entities	
· FY2 – Q2	Both	Community Assessment	
· FY2 – Q3	Both	Strategic Planning	
· FY2 – Q4	Both	ROMA AND Organizational Standards for eligible entities with unmet standards on TAP or QIP plans	
· Ongoing / Multiple Quarters		Organizational Standards - General AND Reporting AND ROMA NG	
· All quarters		Monitoring AND Communication AND Governance/Tripartite Board	
ADD a ROW function Note: Rows will be able to be added for each additional training			

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): **\$380,000 and \$320,000_ [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).

Eligible entities had until August 18, 2016 to submit any documentation to change a Not Met standard to Met. After submission of the State Plan for FFY2017-2018, the State CSBG Program will work on finalizing the TAP plans for those standards Not Met. The TAP plans will go into effect October 1, 2016. The peer review process as explained in 6.4 will then measure eligible entity progress on those Not Met categories. The process will repeat for FY2018 until all agencies are compliant with all Organizational Standards.

- 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
 - X State Community Action association
 - X Regional CSBG technical assistance provider(s)
 - X National technical assistance provider(s)
 - X 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.

The State CSBG Program is not making significant changes to the training and technical assistance plan. Per the customer survey, the state office meets expectations here. While the training and technical assistance plan processes will not change, the subject matter will change. In FY2017 the emphasis will be on ROMA Next Generation. The state office will focus on advancing its knowledge as well as the network's by working on Trauma Informed Approaches to Alleviating Poverty. Nebraska was chosen as one of the partners for the National Learning Communities running through FFY2017.

The State CSBG Program's goal is to have all nine (9) eligible entities out of Crisis stage at a minimum and have no agencies in a Quality Improvement Plan by FFY2018. Once that happens, the focus will change from training and technical assistance to innovative program support.

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
- X Other

The State CSBG Program had the goal to work more closely with other state entities in FFY2016. However, these collaborations did not happen.

The State CSBG Program does not work closely with any of the programs listed above. The State CSBG Program defers other low income programs to work directly with the community action agencies.

However, Weatherization and CSBG started working more collaboratively in FFY2015 when it jointly presented OMB training to its grantees. In FFY2016, the two programs worked on

training and technical assistance needs going forward for implementation in FFY2017. The two departments were co hosts of the National Association of State Community Services Programs (NASCSPP) Annual Conference held in Omaha, NE in September 2016. This allowed the staff to learn more about each program.

LIHEAP, SNAP, and TANF are housed in the same Economic Assistance Unit within Children and Family Services at Nebraska Department of Health and Human Services. The administrators may work together on joint projects and the administrators share the same director. In March 2016, CSBG and LIHEAP moved under the same supervisor so improved partnerships with that program should occur going forward. As needed, programs will work together to meet client needs in the low income community.

Some homeless programs [Emergency Solutions Grant and Nebraska Homeless Assistance Program (NHAP)grant] are located within the Economic Assistance Unit as well.

In FFY2016, CSBG and CFSP, the commodity program, started working more closely together.

CSBG staff sits on a Grants Management Community of Practice consisting of grants program staff from various NE DHHS programs with a strong Public Health presence. The group is expanding to include more divisions and grant programs. CSBG was invited due to its knowledge and involvement with specific grantees.

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.

At this point, the State CSBG Program does not work closely with any of the programs listed above. The State CSBG Program supports local agencies activities as much as possible either with training and technical assistance or with discretionary dollars as available. The grantwriting subgrant with Nebraska Children and Families Foundation allows discretionary dollars to support collaborative activities with other low income providers statewide or locally.

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.

Attachment 9.3 -9.7 CSBG FY2017 Agency Application Narrative

Nebraska incorporated this question into the agency annual plan as shown in Attachment 9.3-9.7. In addition to requiring agencies to complete the narrative, linkages and coordination are discussed in the on site review. The State CSBG Program talks to staff and administration as well as the board about coordination.

- 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.

Nebraska incorporated this question into the agency annual plan as shown in Attachment 9.3-9.7. In addition to requiring agencies to complete the narrative, gaps in services are discussed in the on site review. The gaps are also identified in each agency's community needs assessment that the State CSBG Program reviews. When discussing gaps in services, the State CSBG Program asks staff, administration and board what would they like to see the agency doing that it is currently not doing. The followup question is whether the agency is the best one to do it or are there other partners they work with that could do it better? These questions help the agency incorporate gaps in services, their current practices and partnerships into the discussion of how they are delivering services.

- 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]**

NA

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]**

At this time, the State CSBG Program Specialist is not involved in these activities. The State CSBG Program Specialist was invited to its first WIOA meeting in June 2016.

However, the NE DHHS Economic Assistance Policy Chief is coordinating activities with WIOA and the Department of Labor who oversees WIOA as designated by the Governor. She is actively working with the Department of Labor and the WIOA. There are plans to incorporate CSBG into WIOA in the next two years.

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.

The LIHEAP program is also operated under the Economic Assistance Unit of Nebraska Department of Health and Human Services. Administrators work together and the programs are under the same unit within NE DHHS so share a Director. The LIHEAP program staff are responsible for meeting LIHEAP assurances. The State CSBG Program and the LIHEAP program share a supervisor as of March 2016, so this partnership is likely to improve.

Currently, LIHEAP partners with 7 of the 9 eligible entities and provides additional LIHEAP dollars to the Weatherization program which is operated at 7 of the 9 eligible entities.

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

Nebraska incorporated this question into the agency annual plan as shown in Attachment 9.3-9.7. In addition to requiring agencies to complete the narrative, partnerships are discussed in the on site review. Each eligible entity has numerous partnerships that include faith based, charitable groups and other community partners. Partnerships are also reviewed as part of the

on site review process. Finally, agencies are required to list partners and affiliations and relationships on the annual Community Services Block Grant Information Services report.

- 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.

Nebraska incorporated this question into the agency annual plan as shown in Attachment 9.3-9.7. In addition to requiring agencies to complete the narrative, leveraging funds is discussed in the on site review. Agencies are also required to submit their public and private dollars received on the annual Community Services Block Grant Information Services report. The State CSBG Program reviews the annual CSBG-IS report and compiles data around the leveraged dollars. The information is shared individually with each agency and reported as an aggregate to the network. Since Nebraska collaborates with the State Association on the CSBG-IS report, we are able to do evaluation of leveraging and identify strengths and weaknesses for training and technical assistance.

- 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]**

Nebraska provides discretionary money to the State Community Action Association to coordinate outreach and training and technical assistance activities statewide. The State also provides funding to the Association to work with the eligible entities in coordinating and completing the IS report. The Association and State CSBG Program have a good working relationship and meet regularly to discuss eligible entity needs. Both the state and association participate in the RPIC and continue to improve activities under that grant.

- 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.

This version of the MSP is currently under review by OMB, which may result in additional edits.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
[Narrative, 2500 characters]	Dropdown Options:	Dropdown Options:	[Narrative, 2500 characters]
Funding Opportunities to expand or new programs	Other	Email	As opportunities come up from Listserves or NCFE subgrant explained in Discretionary line
Update on CSBG State Activities	Monthly	Meetings/Presentation	As part of CAN (state association) meetings
CSBG Annual Plan	Semi Annually	Email AND Website AND Meetings/presentation	
ROMA updates	Other	Email	Implementation of ROMA Next Generation and information provided as available
Training and technical assistance	Daily	Email AND Meetings/presentation	This is done as needed and as information becomes available
State RFA updates of interest	Other	Website	As needed when state grants of interest come up
Review of Financial Reports	Quarterly	Email	
Legislative Hearing	Other	Email	They are notified of the date, time and location of the legislative hearing and encouraged to attend. Legislative Hearing only occurs in conjunction with state plan submission
Public Hearing on State Plan	Other	Email	They are notified of the date, time and location of the public hearing and encouraged to attend. Public Hearings only occur in conjunction with state plan submission
Discussion of eligible entities annual application	Quarterly	Meetings/Presentation	In FY2016 implemented review and feedback of agency application. Will collect feedback on process for changes in FY2017 and FY2018

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 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

The State CSBG Program shared the results with the eligible entities and the state association via email in June 2016. The focus is on any measure where the state office did not meet 70% or better. Those are reflected in the state specific goals in Section 3.2.

If it is an Accountability Measure that cannot be met by the state, the office will provide information on why and what is needed to meet that measure. In some cases, until decision and changes are made, State of Nebraska policies and procedures or state regulations and laws may prevent the state from meeting a measure. The most obvious example is timely payments to eligible entities and the constraints of state policy around subgranting.

This version of the MSP is currently under review by OMB, which may result in additional edits.

The State CSBG Program will have a written plan to address the areas where it scored 70 or below and provide information on improvement strategies, barriers, limitations and timeline. The plan would be in effect for FFY2017.

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 7Sb; this response may pre-populate the State's annual report form.

Overall the State CSBG Program scored well in communication. Where it lacked was in discussions around the state plan submission. The state office included an in person meeting at the August 2016 CAN meetings to discuss the DRAFT state plan and get feedback. It also reviewed the components of the state plan with the ROMA Task Force in June 2016 to get their feedback.

For the FFY2017 eligible entity annual application (CAP Plan in Organizational Standards), the State CSBG Program reviewed each application and provide feedback on the submitted plans. In the past, the office read them and filed them for inclusion in the next year's subaward but did not provide any feedback unless there was an error, omission or something needed to be clarified.

**Nebraska Community Services Block Grant
Basic Information**

Name of Agency	Fiscal Year 2017
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Please answer the following questions:

1. Is the agency compliant with the Tripartite Board structure as required by the CSBG Act
- Yes
 - No

If no, where is the noncompliance (check all that apply)

- Low Income representation
- Private representation
- Public representation

2. Any new board members added in FY2016.
- Yes
 - No

Please provide the following information: Name, Contact Info, Tripartite Representation

3. Does the agency use Service Point for all its service counts?
- Yes
 - No

If no, which service counts are not in Service Point and how does the agency ensure that counts are unduplicated?

What plans does the agency have over the next year to utilize Service Point for additional service counts?

4. Does the agency have a dedicated data administrator on staff?
- Yes
 - No

If yes, please provide the following information: Name, title, contact info

If no, how does the agency manage data collection, data reporting and data analysis within the agency and programs?

5. Does the agency have a ROMA Trainer on staff?

- Yes
- No

If yes, please provide the following information: Name, title, contact info.

**If no, who in the agency is charged with ROMA training for agency staff and board?
Please provide the following information: Name, title, contact info.**

6. FY2015 Single Audit completed and a copy given to the CSBG Office?

- Yes
- No

If no, please explain why and when the completed audit will be available.

7. Does the agency collect customer feedback through surveys or other means?

- Yes
- No

If no, please provide the primary reason the agency does not collect this information

8. What strategies does the agency use to communicate its activities to the community?

Check all that apply:

- Speaking at county commission meetings or other public bodies
- Sit on committees related to mission, goals and programs
- Relationship with standard media, newspaper, radio, etc.
- Working with the Community Action of Nebraska association
- Social Media
- Newsletter
- Advertising
- Fundraising events
- Website
- Other _____

If none of these are used, what does the agency plan to do over the next year to increase communication of its programs and services to the community?

This version of the MSP is currently under review by OMB, which may result in additional edits.

- 9. If the agency answered no to any of these questions, what training and technical assistance would be helpful for the agency to respond yes in next year's application?**

DRAFT

**Nebraska Community Services Block Grant
Linkages and Coordination**

Name of Agency	Fiscal Year 2017
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GAPS IN SERVICES

- A) Describe the identified gaps in services and how were they identified.**

- B) How does the agency plan to link with other partners to address these gaps? Linkages include information, referral, case management and follow-up consultations.**

- C) How did or will these services impact those identified gaps?**

- D) Please provide examples of partners involved in these efforts. Be sure to include any charitable, faith based, and/or community based organizations.**

- E) With these identified gaps and linkages, will the agency change any specific programs for FY201 (October 1, 2016- September 30, 2017)?**

**Nebraska Community Services Block Grant
Linkages and Coordination**

Name of Agency	Fiscal Year
	2017

COORDINATION OF FUNDS

- A) How does the agency coordinate CSBG funds with other public and private resources?**

- B) How does the agency ensure that the funding is coordinated and linked back to identified needs in the community it serves? Provide examples.**

- C) Explain how coordination provides employment and training services in your area. How do the partners avoid duplication of services?**

- D) Describe how this coordination includes faith-based organizations, charitable groups and community organizations. If your involvement with these organizations do not relate to coordination, then please explain how these partnerships help the agency.**

**Nebraska Community Services Block Grant
Service Delivery to Low Income Individuals**

Name of Agency	Fiscal Year 2017
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Nebraska's base plus formula allotment is based on the poverty population in each county of an agency's service delivery area. How does your agency ensure that each county in your service delivery area (SDA) has access to appropriate services? How does your agency determine resources to each county in the SDA?

DRAFT

**Nebraska Community Services Block Grant
Service Delivery to Low Income Individuals**

Name of Agency	Fiscal Year
	2017

SERVICE DELIVERY

- A) How does your agency use the CSBG funds to ensure services are provided to low income individuals and families in your local community?**

- B) Describe how your agency provides emergency supplies and services and how you determine income eligibility, (This includes only programs with limited intake procedures.)**

- C) How does your agency counteract starvation and malnutrition in the communities you serve?**

- D) Describe how your agency provides community wide benefit programs and how you ensure low-income communities are targeted.**

- E) Describe how your agency addresses the needs of youth in low-income areas.**

- F) How do you measure effectiveness of programs in A through E.?**

This version of the MSP is currently under review by OMB, which may result in additional edits.

**Nebraska Community Services Block Grant
Service Delivery to Low Income Individuals**

Name of Agency	Fiscal Year 2017
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SERVICE DELIVERY

What is the primary service delivery system in your agency? This includes case management, emergency services, referrals, etc. If you use all of them, please provide short descriptions of each including how the agency implements each system. Please explain how you know this service delivery method is effective.

DRAFT

**Nebraska Community Services Block Grant
Innovative Initiatives**

Name of Agency	Fiscal Year 2017
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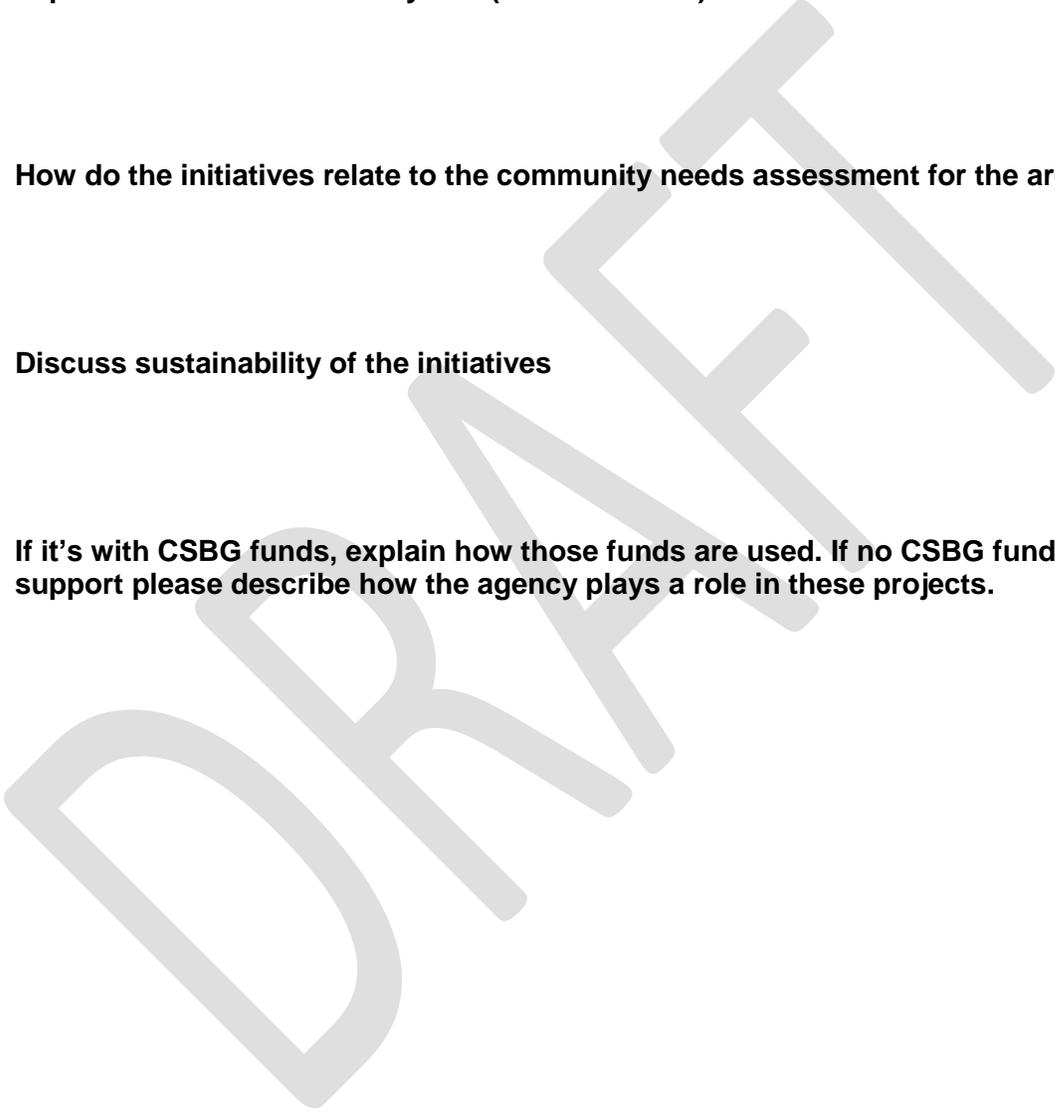
INNOVATIVE SERVICES

- A) What innovative community based and/or neighborhood-based initiatives has the agency implemented in the last two years (2015 and 2016)?**

- B) How do the initiatives relate to the community needs assessment for the area?**

- C) Discuss sustainability of the initiatives**

- D) If it's with CSBG funds, explain how those funds are used. If no CSBG funds used to support please describe how the agency plays a role in these projects.**



**Nebraska Community Services Block Grant
Community Needs Assessment**

Name of Agency	Fiscal Year 2017
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Date of last full needs assessment: _____

If the last full needs assessment was more than one year ago, provide the date it was last updated _____. If the State has not already received a copy, submit a copy of the last Complete Needs Assessment/update with this application.

There should be a clear link between the Community Assessment and the programs/services described in this CSBG Plan. While agencies can use the Statewide Needs Assessment data, they must consider local conditions (median income, industry, population age and race/ethnicity, environment, job trends, etc.) and local data (client surveys, local census data, etc.) in their planning, programming and community assessment for their service delivery area. If they are conducting a program that is not a substantiated need by the Statewide Needs Assessment, the agency should have data available to substantiate that program.

Before the agency provides examples from the needs assessment and programs, please answer the following questions:

- 1. How does the agency measure that their services/programs will improve the conditions of the people they serve?**

- 2. How does the agency document that the services are stabilizing and/or moving the family to self-sufficiency?**

- 3. How do those services/programs help recipients stabilize their situation and or increase self-sufficiency?**

- 4. What did the agency do to ensure that the community needs assessment and/or agency program planning includes feedback from low-income residents, local elected officials and other service agencies?**

- 5. How did the agency use input from community based organizations, private, public sector, and educational institutions to determine needs and resources?**

6. How did the agency incorporate the Statewide Community Needs Assessment in planning in 2015 and how does it plan to incorporate it in FY2016. This should include what data the agency used to determine its programming.

7. How did the agency collect data concerning gender, age, race/ethnicity in its poverty population data? If it did not look specifically at this population, how does it plan to address this in the future?

DRAFT

This version of the MSP is currently under review by OMB, which may result in additional edits.

**Nebraska Community Services Block Grant
ROMA**

Name of Agency	Fiscal Year 2017
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Briefly describe how your agency ensures all programs fully implement the ROMA cycle in program planning, management and evaluation?

DRAFT

This version of the MSP is currently under review by OMB, which may result in additional edits.

**Nebraska Community Services Block Grant
Eliminated Programs**

Name of Agency	Fiscal Year 2017
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What programs were eliminated in 2016 and will not be part of your FY2017 activities. Why?

DRAFT

This version of the MSP is currently under review by OMB, which may result in additional edits.

**Nebraska Community Services Block Grant
New Programs**

Name of Agency	Fiscal Year 2017
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What new programs do you plan to institute in FY2017? Why and what quantitative or qualitative data did you use to make the determination to add new programs?

DRAFT

This version of the MSP is currently under review by OMB, which may result in additional edits.

**Nebraska Community Services Block Grant
Organizational Standards**

Name of Agency	Fiscal Year 2017
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NEW QUESTION: Organizational Standards began in Federal Fiscal Year 2016. Please provide any update to areas Not Met in the assessment in FY2016. Also, please provide any feedback on the process conducted in FY2016 and if there are improvements or changes we can make for Year 2 and Year 3 evaluation.

DRAFT

**Nebraska Community Services Block Grant
ROMA Next Generation**

Name of Agency	Fiscal Year 2017
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ROMA Next Generation should start in Federal Fiscal Year 2018. What planning or implementation has your agency done around ROMA Next Generation? Please include any activities planned in Federal Fiscal Year 2017. What training and technical assistance would help your agency implement ROMA Next Generation and be ready for full implementation in Federal Fiscal Year 2018?

DRAFT

**Nebraska Community Services Block Grant
Narrative**

Name of Agency	Fiscal Year 2017
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Please provide a one to two page narrative on any activities in the agency that were of significance in FY2016. This includes but is not limited to: Executive Director changes, senior management changes, funding or programmatic changes that eliminated or added an entire program.

If no such activities occurred then please leave blank.

If there were major changes at the agency please describe the change, what potential successes and challenges may exist and how the agency plans to continue to address the changes in FY2017. What is the staff role and the Board of Directors role in these discussed changes?

DRAFT

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	Brief Description of “Other”
			(if applicable)	
Will auto-populate from item 5.1	Dropdown Options:	Dropdown Options:	Select a date	[Narrative, 2500 characters]
				All will be evaluated on Organizational Standards in FY2017-18
Blue Valley Community Action (BVCA)	Full Onsite	FY1 Q3	Feb-14	
Community Action Partnership of Lancaster and Saunders Counties (CAPLSC)	Full Onsite	FY2 Q2	Mar-15	
Community Action Partnership of Western Nebraska (CAPWN)	Other	FY1 Q1	Jan-15	This entity has a new Executive Director so will receive a modified full on site review
Central Nebraska Community Services (CNCS)	Other	FY1 Q2	Apr-14	This entity has a new Executive Director so will receive a modified full on site review
Eastern Nebraska Community Action Partnership (ENCAP)	Other	FY1 Q3	Apr-15	This entity has a new Executive Director so will receive a modified full on site review

This version of the MSP is currently under review by OMB, which may result in additional edits.

Community Action Partnership of Mid Nebraska (Mid)	Full Onsite	FY2 Q4	Aug-15	
Northwest Community Action Partnership (NCAP)	No review	NA	May-16	
Northeast Nebraska Community Action Partnership (NENCAP)	Full Onsite	FY2 Q1	May-15	
Southeast Nebraska Community Action Partnership (SENCAP)	No review	NA	Mar-16	

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]**

The State CSBG Program does not have written monitoring policies and procedures. They will be completed by July 2017.

The State CSBG Program has onsite monitoring tools that are included in Attachment 10.2.

The following language for financial reviews as part of the CSBG subgrant with eligible entities:

III. STATEMENT OF WORK

A. The Subrecipient shall:

2. Submit the following data, program, and financial reports to NE DHHS according to the reporting requirements.

b. Complete quarterly reports with expenditures by line item are due, for any quarter where funds are expended, on the following dates:

Quarterly
January 31
April 30
July 31
November 30

Quarterly reports will be corrected as needed based on NE DHHS review of quarterly reports for accuracy.

NE DHHS will verify NE DHHS selected line items in no less than two (2) quarterly reports for each subgrantee. NE DHHS reserves the right to test any expenditures per reporting period for verification of expenses, and adherence to subrecipient financial policies and procedures. The subrecipient shall provide additional documentation to NE DHHS for the line items NE DHHS identifies to be tested to check the sample of quarterly expenditures.

This version of the MSP is currently under review by OMB, which may result in additional edits.

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.

The State CSBG Program issues letters within 45 days of completing the onsite review. In some situations, where an eligible entity may be considered for dedesignation the letter may take longer due to internal State policies requiring the involvement of additional management in the decision making process.

In FFY2016, new processes delayed the reports by more than 45 days. The State CSBG Program has reviewed and changed processes to improve timeliness in FFY2017 going forward.

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]**

After an on site review the agency receives a letter containing the following headings:

- Strengths
- Deficiencies
- Compliance Issues
- Recommendations.

Deficiencies and Compliance Issues are considered findings and will put an agency into a Quality Improvement Plan (QIP) until those deficiencies and compliance issues are resolved.

The agency has 60 days from date of letter to provide a QIP to the -State- The State Office will review and either accept or deny the plan within 30 days of receipt. If denied the State will provide clarification on what was not acceptable and the agency may be given the opportunity to resubmit a plan. Nebraska has not had an instance where an agency had to submit more than two plans. In all cases, the second plan has been accepted. If the State has determined training and technical assistance or a quality improvement plan are not appropriate the State will notify the Secretary of Health and Human Services (per 10.6 below) and the agency.

The agency is required to list the activities or processes they will do to fix the deficiency or compliance issue. They must also provide a timeline for completion.

The State reevaluates the Deficiencies and/or Compliance issues on an ongoing basis and does a recheck within 12 months of the findings. Once the State determined the agency has resolved the deficiencies the State will notify the agency in writing.

Recommendations are based on best practices and are not considered significant enough for a finding. Recommendations are followed up on at the next on site review. Agencies do not have to act on the recommendations and adopt them, they must document that they took them under advisement and decided not to act on the recommendation.

10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans? [1]

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

There is one (1) agency currently under a Quality Improvement Plan.

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)).

Nebraska emails the regional representative to let her know that an agency has been placed under a Quality Improvement Plan (QIP). If the agency is having difficulty and the State is looking for assistance, it will share the on site review letter with the regional OCS representative.

Most QIPs are corrected within a year. For those cases that continue on, Nebraska updates the regional OCS representative after each major action.

Most if not all communication is through email.

Nebraska was assigned a new regional representative in 2016 and the two will continue to work together on the best ways to communicate actions with eligible entities.

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

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]**

Title 481

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]**

Title 481

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]**

DRAFT

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]

Please see attachment 10.11. In FY2015, Grants Management instituted a policy where Program staff sign off on the SF-425 prior to submission to the federal funder. This policy is still active. All expenses are matched to the accounting system within NE DHHS and double checked by program staff. Program staff also review invoices for allowability of expenses as well as perform financial desk audits as previous discussed, with records kept in the State’s electronic payment system and/or agency files.

- 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.

Please see attachment 10.12 for the Subrecipient Monitoring Policy.

- 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.

The State CSBG Program has not adjusted its monitoring procedures compared to past plans. The office will look at the timeliness of reports and work on improving those processes but the procedues will be maintained from previous years.

NEBRASKA CSBG BI-ANNUAL REVIEW FORM

Last updated January 2016

This form is to be completed electronically **and returned to the Nebraska CSBG Program Specialist by the specified date included with this packet.**

Please return by: **Month, day, 20xx**

On Site review dates: **weekday, month, day, 20xx - weekday, month, day, 20xx**

AGENCY: AGENCY NAME

Please provide most recent copies of the following (if it does not exist please state when the agency thinks it will complete the item:

Agency can add it to Dropbox folder or send via email

Bylaws:

Personnel Policies:

Employee Handbook:

Financial Policies:

Strategic Plan:

Community Needs Assessment:

Board of Directors Self Assessment:

Succession Plan:

Other on site or desk audit review letters from other funders (From October 1, 2014 to present):

BOARD OF DIRECTORS

This section has been significantly reduced. Much of the focus on 2016 will be working/talking directly with board members.

1. Have there been any significant changes in the Board of Directors since the last on site review in 2013?

MISSION, VISION AND PLANNING

1. What progress if any have you made on CSBG on site review recommendations from 2013? Copy of letter is attached with the pre-work.
2. Have you participated in the Peer Review Process that started in 2011? Do you feel your agency is making progress in its identified area? Do you plan to continue participation in FY2016?

SERVICES AND ACTIVITIES

1. Have any significant programs changed since the FY2016 Application was submitted to the state?
2. Describe any processes the agency went through in the last year to evaluate the overall effectiveness/impact of its operations. **Provide a copy of the report of the findings.** (State Reg.: 2-009)

SECTION IX: LEGAL ACTIONS, PREVENTION and PROGRAM COMPLIANCE

1. If any legal action has been brought against the agency over the last two years regarding hiring, employment provision of service, or other, please explain how the actions were resolved and what resources were used to handle any legal fees.
2. If the agency has any compliance issues outstanding as a result of subgrant/contract reviews or other matters, please describe them.

LIST ANY BEST PRACTICES:

- 1.

NEBRASKA ON-SITE REVIEW FINANCIAL FORM

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
	ADMINISTRATIVE STAFF -- staff's name and title go on this top line	Staff's name and title here													
1	Indicate with an "X" the staff that Approves:														
2	Journal Entries														
3	Purchase Orders														
4	Travel Request														
5	Vendor Invoices for Payment														
6	Employee time-Sheets														
7	Requisitions														
8															
9	Indicate with an "X" the staff with the responsibility of:														
10	Deposits Cash and/or Cash Receipts														
11	Signs Checks														
12	Opens Mail														
13	Reconciles the Bank Statements														
14															
15	Records receipts in books of account														
16	Records disbursements														
17	Equipment Inventory														
18	Materials Inventory														
19	Insurance Maintenance														
20	Bldg./Property Leases														
21	Payroll Processing														
22	Accounts Payable														
23	Indicate with an "X" the staff who is custodian of:														
24	Blank Checks														
25	Signature Stamp														
26	Undelivered Checks														
27	Inventory Records														
28	Personnel Records														
29	Payroll Tax Reports														
30															

NEBRASKA ON-SITE REVIEW FINANCIAL FORM

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
	ADMINISTRATIVE STAFF -- staff's name and title go on this top line														
1	Indicate with an "X" the staff who prepares:		Staff's name and title here												
32	Accounts Payable and Vendor														
33	Payment checks														
34	Payroll Process and Payroll Checks														
35	Bank Reconciliation														
36	Request for Funds														
37	Payroll Tax Reports														
38	Payroll Tax Deposits														
39	Monthly Expenditure Reports														
40	Monthly Trial Balance														
41	Deposit Slips														
	General Ledger Processing and														
42	Ledger Reconciliation														
43	Leave Records														
44	Year-end Closing Entries														

This version of the MSP is currently under review by OMB, which may result in additional edits.

DRAFT

ON-SITE REVIEW CHECKLIST 2015

	Authority	Comments or method of verification
Last years review letter and response from agency 990	Subgrant 8.6	
When did Board approve 990	8.6	
Has the agency submitted all reports and on a timely manner?	Subgrant	
Agency submitted CSBG-IS report on time	9.4	
CSBG-IS reflects client demographics and organization-wide outcomes	9.4	
Review Data Quality Report from SP Administrator (primarily CAN)	Subgrant	

ON-SITE REVIEW CHECKLIST 2015

FISCAL POLICIES AND PROCEDURES		
Date last updated.		8.10
Procurement Standards (OMB Circular 110)		8.11
Does the agency have written policies that prohibit the solicitation or acceptance of gratuities, favors, or anything of monetary value from contractors or potential contractors?		8.11
Does the agency have written policies that prohibit the selection, award, or administration of a contract by anyone with a possible financial conflict of interest?		8.11
Does the agency have a written policy which identifies those records which are available to the public, those records which are not available to the public, and the conditions under which records may be made available? (State Reg.: 1-006)		State
Do written policy/procedures describe:		Policies
Accounts Payable/Receivable		
Internal Control		4.6
Purchasing		
Check Signing Policies		
Payroll		
Cash Receipts		
Property Management		
Cost Allocation Plan or Indirect Plan -- view plan		8.12
Timesheets		
Credit Cards		
Travel		
Authority for approval for all financial transactions?		4.6
Record retention and destruction		8.13
Based on completed Financial Checks and Balances form, are fiscal procedures as written accurate?		Best Practice
		See Financial Checks and Balances Form

ON-SITE REVIEW CHECKLIST 2015

Date Fiscal Policies last reviewed by Board.	8.10
Has the agency ever obtained outside expert advice when revising? (information)	8.10
How does the agency ensure that financial policies and procedures comply with current rules and regulations?	8.10
Date Fiscal Procedures last reviewed by agency.	8.10
How does the agency ensure that procedures are followed?	8.10
procurement standards reviewed by board	8.11
View cost allocation plan.	8.12
Is the evidence that contracts are awarded to the Lowest bidder? Is there justification when they are not awarded to the Lowest Bidder?	4.6
Is there evidence that copies of program fiscal reports are shared with the program directors on a monthly basis? (recommendation)	4.6
Can staff identify possible vulnerability for the organization from the financial information they receive? (recommendation)	4.6
What procedures are in place to prevent expenditure of funds in excess of approved, budgeted amounts? (weakness)	4.6, 8.7
Is there an agency wide budget?	8.9
Do they regularly compare budgeted costs to actual costs?	8.7

ON-SITE REVIEW CHECKLIST 2015

Is there evidence that vendors are paid timely?	4.6
Does the agency have multiple bank accounts? If yes, how many and can they justify why?	4.6
Did the agency open or close any bank accounts in the last two years?	4.6
Is there evidence that the Board, acting through formal resolutions authorized the opening and closing of the accounts?	4.6
View last two bank statements. Do they reflect any negative cash balances, overdraft, or finance charges?	4.6
Is there evidence that the Board has designated individuals to sign checks and contracts on behalf of the agency? Who?	4.6
Has the agency determined an asset to debt ratio? (recommendation)	4.6

ON-SITE REVIEW CHECKLIST 2015

	Does the agency have an investment plan? (information)	4.6	
	If they do, can the agency demonstrate the Board authorized designated individuals to invest agency funds and approved the plan? (this part of the question could indicate a weakness/finding)	4.6	
	Can the agency demonstrate that bank statement reconciliations are current?	4.6	
	Are they reviewed by the finance director?	4.6	
	Bank statements are reconciled to the general ledger?	4.6	
	Is there evidence that funds are tracked separately by contract/subgrant?	4.6, 8.7	
	Has the agency taken out any short term loans/lines of credit in the last two years? (weakness)	4.6	
	Was it extended beyond the original term?	4.6	
	Is their evidence of Board approval?	4.6	
	If yes, how often is it used?	4.6	
	Can the agency demonstrate they maintain dated, signed and original contracts/subgrants at the agency.	4.6	
	Can the agency demonstrate that the general ledger reflects all funding sources?	4.6, 8.7	
	What steps does the agency take to ensure current accounting procedures determine allowability, allocability and reasonableness of costs and ensure that costs were incurred during the funding period reflect current practice?	4.6	

ON-SITE REVIEW CHECKLIST 2015

Does the agency use a signature stamp?	4.6
Who has access to it and authority to use it?	4.6
Are the following kept locked?	4.6
Blank checks	4.6
Signature Stamp	4.6
Personnel records	4.6
Undelivered checks	4.6
View the bi-annual physical inventory of non-expendable assets.	8.11
Can the agency demonstrate they follow inventory acquisition and disposition documentation procedures and requirements?	8.13
What training has financial staff had during the last two years? (information)	7.9
Can the agency verify that key financial staff have received training on: (42U.S.C.9916))	7.9
OMB Circulars	7.9
CSBG/Grant management	7.9
What procedures are in place to ensure knowledge of and compliance with OMB cost and accounting standards? (42U.S.C.9916)	4.6
Does the agency carry the following Insurance? (State Reg.: 3-003)	4.6
Comprehensive general liability for all program operations	4.6
Directors and officers liability	4.6
Umbrella excess liability	4.6
Professional liability	4.6
Are all insurance policies current?	4.6
All required filings and payments on payroll withholding are completed on time	4.6, 8.8

ON-SITE REVIEW CHECKLIST 2015

AUDIT		
Was audit submitted on time		8.1
Auditor presented audit to the board		8.3
Board formally accepts the audit		8.4
Are audit findings repeated from last year?		8.2
Are the management letter comments repeated from last year?		8.2
Has the agency requested an extension to the audit deadline?		8.1
Has the grantee borrowed money in the last three months?		4.6
Does it contain a disclosure (see footnote in audit) regarding cash flow status?		8.2
Is the agency a low-risk grantee?		4.6, 8.2
List any questions, areas of concern.		8.2
Has the grantee corrected previous audit findings?		8.2
Is the audit in agreement with the 990?		8.6
Last time (most recent) audit sent for bid		8.5

ON-SITE REVIEW CHECKLIST 2015

HUMAN RESOURCES		
Date last updated.		7.1
reviewed by attorney (date)		7.1
approved by board (date)		7.1
Do the Policy and Procedures contain:		Policies
Hiring, promotion, transfers, and separation policies and procedures		
Employee orientation within 60 days of hire		7.8
Employee evaluation		7.6
Employee attendance policies		
Overtime Policies		
Salary Scales		
Wage comparability studies		
Employee benefit plans		
Disciplinary procedures		
Grievance procedures		
Employee conflict of interest		
Leave		
Classification and Compensation		
Prohibited Political Activities		
Personnel file contents		
Individual development and training		7.9
Do policies fully address the Hatch Act?		4.6
Is there a non-discrimination statement?		4.6
Is there a statement regarding accessibility to personnel files?		Policies
Are there policies on nepotism?		Policies
Is there a written whistleblower policy?		7.7 and 4.6
Is there written policy on how the agency protects the confidentiality of staff and all people served? (State Reg 1-005)		State

ON-SITE REVIEW CHECKLIST 2015

Are hiring and non-discrimination policies and practices posted?	4.6
Date Personnel Policies last reviewed by Board.	7.1
Has the agency ever obtained outside expert advice when revising? (attorney req 10-1-2015)	7.1
Is there evidence that employees receive training in the employment policies and procedures?	7.2, 7.8, 7.9
Is there evidence that policies are available to all staff?	7.2
Is there an employee manual? If so, when was it last updated.	7.2
Is there evidence that all employees have a copy?	7.2
Employee orientation within 60 days of hire	4.6, 7.8
Jobs descriptions are updated and on file and classify positions as salaried or non-salaried.	7.3
Reviewed in last five years	7.3
Is there evidence that job postings and advertisements specify whether positions advertised are salaried or non-salaried?	Best Practice
Wage and Salary Plan on file	Best Practice
View most recent wage comparability study. Date completed	Best Practice
Does the Executive Director or other leadership receive different fringe benefits than the rest of the staff?	7.5
What is the E.D.'s salary and benefits?	7.5
Board approval of ED salary and benefits annually (date)	7.5

ON-SITE REVIEW CHECKLIST 2015

Is there evidence that confidential documents are maintained in a secure environment?	4.6	
Is there evidence that personnel records are updated periodically and after each major personnel action?	7.6	
Is there evidence that background checks are completed on employees who work with customers or handle money?	4.6	
Can the agency demonstrate that it includes an "Equal Opportunity" statement with its employment advertisements?	4.6	
Is there evidence the agency supports staff development at all levels?	7.9	
Is there written policies around employee evaluations and does it include written procedures	7.6	
Does the agency post:	State	
Ethics Statements (or availability)	State	
Workers Compensation	State	
Non-discrimination/Civil Rights/Labor Laws	State	
Client appeals	State	
Is there evidence that approved hiring, disciplinary, and termination policies and procedures are followed throughout the organization.	4.6, 7.6	
What are the turnover rates for staff?	4.6	
Is the agency evaluating trends?	4.6	
What are the turnover rates for Management?	4.6	
Have any positions been vacant for more than 90 days?	4.6	
Are files located in secured areas with limited access?	4.6	
How does the agency ensure that employees receive the training they need?	7.9	
Is there evidence that leave sheets are completed by employees and approved by Supervisors?	Policies	
Is there evidence that payroll records are regularly compared with the records of the fiscal department?	Policies	

ON-SITE REVIEW CHECKLIST 2015

	BOARD (Staff can supply this information)		
	Is the agency in compliance with Tripartite Requirements? (42U.S.C.9910(a) and State Reg 2-001.01)	5.1	
	Public Officials	5.1	
	Private Officials	5.1	
	Low-Income Officials	1.1, 5.1	
	Have any Seats been vacated for more than 90 days?	5.5	
	If yes, what is the reason?	5.5	
	Is the agency in compliance with by-laws concerning Board size and make-up?	5.1, 5.3	
	Have any board members served continuously for longer than terms defined in the by-laws?	Bylaws	
	Board Attendance -- Based upon the last four Board meetings, how many Board members attended:	5.5	
	four meetings	5.5	
	three meetings	5.5	
	two meetings	5.5	
	one meeting	5.5	
	no meetings	5.5	
	Did agency provide a complete Board Packets for every Board meeting to the CSBG office?	Subgrant	

ON-SITE REVIEW CHECKLIST 2015

How many times in the last year did the Board meet in Executive Session?	Bylaws	
Is there evidence the Board has a process and followed the process for meeting in executive session?	Bylaws	
Is there evidence that information provided prior to and during board meetings is adequate for decisions reached at the meeting? How many days prior to the meeting does the Board receive packets and what is contained in the packets?	4.6	
Do any of the following serve on the Board? (State Reg. 2-001.05)	State	
An officer or an employee of an organization contracting to perform a component of the work program funded by CSBG?	State	
An employee paid from CSBG funds?	State	
If there was a vacancy filled in the last year, is their verification the agency followed procedures?	5.5	
Is there evidence that Board Leadership was elected in accordance with grantee bylaws, CSBG legislation and regulations? (42U.S.C.9910(a); State Reg: 2-001.01)	5.2	
Is there evidence that low-income reps were nominated by a low-income individual/group/etc?	5.2	
Is there evidence that low-income reps were democratically elected by low-income residents in the area being represented?	5.2	
Is there evidence that low-income reps live in the area represented and represent low-income individuals?	5.2	
Has the agency followed By-Laws in selection of Private Reps?	Bylaws	
Is there a letter of appointment for appointed Public Reps?	Bylaws	

ON-SITE REVIEW CHECKLIST 2015

Does the agency follow the best practice of maintaining current resumes or biographical information for each Board member?	5.2	
Does the composition of the board match the demographics of the service area?	5.2	
Is there evidence that the board reviews its by-laws at least bi-annually?	5.3	
Date last reviewed	5.3	
Is there evidence that each board member received a copy of the bylaws in the last two years?	5.4	
Does the agency maintain a complete set of Board minutes?	Best Practice	
Have the Articles of Incorporation been amended in the last two years?	Best Practice	
Date the Board last bid out agency audit	8.5	
Does the agency have signed conflict of interest declarations and code of ethics from each board member? When was this last reviewed? (State Reg: 2-110.05)	4.6, 5.6	
Are Conflict of interests recorded in the minutes?	4.6, 5.6	
Is there evidence that the Board participated in the needs assessment and long-range and strategic planning?	2.2, 2.3, 3.1, 3.5, 6.1	
Is there evidence the needs assessment was used in the long range and strategic planning?	3.1	
Board approves an organization wide budget yearly	4.6, 8.9	
Date of last approval	4.6, 8.9	
Is there evidence that the Board received all funder reports on monitoring of programs?	4.6, 8.7	
Can the agency demonstrate that the board authorizes borrowing of funds?	4.6	
Organization has a board orientation curriculum (get copy)	5.7	
It is conducted within 6 months	5.7	

ON-SITE REVIEW CHECKLIST 2015

Organization provides board training within the last two years (asked on prework)	5.8	
BOARD -- INTERVIEW		
Can the Board provide evidence of a process for evaluating the Executive Director?	7.4	
Date E.D. last evaluated	7.4	
Who was involved in the evaluation?	7.4	
Does the Board or E.D. designate who is responsible for the agency in the case of a prolonged absence of the E.D.? If it is the E.D., is the Board aware of who the person is?	4.5	
Does the board understand the three sector representation responsibility set by CSBG and how members of the board are selected, seated, and replaced?	5.1, 5.4	
Is there evidence that information provided prior to and during board meetings is adequate for decisions reached at the meeting? How many days prior to the meeting does the Board receive packets and what is contained in the packets?	Bylaws	
What evidence is there that the Board understands the balance sheet and other financial statements? (The Board is not expected to be able to give detailed information on the statements, but should be able to discuss them and indicate some ability to understand)	4.6, 8.7, 8.9	
What steps has the Board taken to reduce absenteeism and vacancy?	5.5	
Can the Board provide specific procedures they used to evaluate programs on a regular basis?	5.9	
Is there evidence that the board has knowledge of the community's needs and problems and understand the role of the agency in combating them?	2.3	
Is there evidence that the Board has knowledge of ROMA and uses ROMA concepts and information in their planning and management activities?	4.3	

ON-SITE REVIEW CHECKLIST 2015

Is the board aware of the assurances the agency has agreed to in the CSBG subgrant? (best practice)	4.4, 4.6, 5.4
Does the board appear knowledgeable about the statutory and regulatory requirements of its work?	4.4, 4.6, 5.1, 5.2, 5.4, 5.5, 5.6, 5.7
Is there evidence the board has been successful in mobilizing and channeling local resources in support of the agency's efforts?	2.3
Is the board aware of succession planning the agency/board has undertaken?	4.5
Describe the process the board takes to evaluate the E.D.?	7.4
When did the Board last conduct a self assessment of the Board?	Best Practice
Does the board appear to understand their legal and fiduciary responsibility?	4.6, 8.2

ON-SITE REVIEW CHECKLIST 2015

BOARD -- OBSERVATION		
Is there evidence that information provided prior to and during board meetings is adequate for decisions reached at the meeting?	4.6	
Does the financial officer or financial committee present financial information at board meetings? (best practice)	8.7	
Is there evidence that the Board has knowledge of ROMA and uses ROMA concepts and information in their planning and management activities?	4.3	
What evidence was there that the Board was prepared?	CSBG Act	
What committees reported?	CSBG Act	
Board receives programmatic reports at each meeting	5.9	
Board receives financial reports at each meeting	8.7	
org wide on revenue and expenditures compared to budget to actual, categorized by program	8.7	
Balance sheet/statement of financial position	8.7	
How current are the financials presented	8.7	

ON-SITE REVIEW CHECKLIST 2015

	BY-LAWS/Board Requirements		
1	Do the bylaws comply with the CSBG law concerning board composition? (42U.S.C.9910(a); State Reg: 2-001.01)	5.1, 5.2	
2	Are Alternates Allowed? (State Reg. 2-001.07)	Bylaws	
	Are there written policies?	5.2	
	Does the agency have a written plan which describes the procedures for selecting representatives? (State Reg 2-001.03)	5.2	
	Does the agency have written policies which describe the procedures to be used in filling vacancies? (State Reg. 2-001.08)	5.5	
	Does the agency have written policies which state the basis for removal of board members?	5.5	
	Do By-laws define the democratic selection methods for low-income members? (42U.S.C.9910(a); State Reg: 2-001.01)	5.2	
	Does the Board approve annual program budgets?	8.7	
	Does the Board approve agency policies?	Bylaws	
	Are there written policies on the length of time members may serve on the board? (State Reg.: 2-001.04)	State	
	Are there term limits for low income and private sector?	Bylaws	
	Are the Board member responsibilities outlined?	Bylaws	
	Are there quorum requirements?	5.5	
	Is there a conflict of interest statement? (Nebraska Nonprofit corporation Act 21-1987)	5.6	
	Does an employee of the Nebraska Dept. of health and Human Services? (State Reg. 2-001.05)	State	
	What are the standing committees?	Bylaws	
	Are there term limits for Board officers?	Bylaws	

ON-SITE REVIEW CHECKLIST 2015

	<p>Is there an established procedure 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? (42U.S.C.9908(b)10; State Reg.: 2-001.06)</p>	Bylaws	
	<p>Are the powers of each officer outlined in the Articles of Incorporation, By-Laws or the Resolution appointing the officer?</p>	Bylaws	
	<p>Do by-laws allow that the Board receive proper notice of the meetings?</p>	Bylaws	
	<p>Date the Board last reviewed By-Laws.</p>	5.3	
	<p>Has the Board ever sought outside "expert" help in updating? If so, when, including an attorney</p>	5.3, 5.5	
	<p>BOARD TRAINING</p>	5.8	
	<p>Was training provided on: oversight and fiduciary duties?</p>	5.8	
	<p>ROMA?</p>	5.8	
	<p>Financial documents routinely distributed to the Board</p>	8.7	
	<p>List other training provided:</p>	5.8	
	<p>BOARD MANUAL</p>	5.8	
	<p>Does it contain:</p>	Policies	
	<p>Mission Statement</p>		
	<p>By-Laws</p>		
	<p>CSBG State and Federal Regulations</p>		
	<p>Organizational Chart</p>		
	<p>Code of Ethics for Board</p>		
	<p>Rights and Responsibilities of Board and other orientation materials.</p>		
	<p>Program descriptions</p>		

ON-SITE REVIEW CHECKLIST 2015

	BOARD MEETING MINUTES AND PACKETS		
	Does the Board approve an annual budget for the agency?	8.9	
	Does the Board receive financial Reports?	8.7	
	Does the finance committee provide a report to the Board?	Best Practice	
	Does the Board receive an agency wide balance sheet and a financial statement?	4.6, 8.7	
	Is the board given an asset to debt ratio?	4.6, 8.7	
	Does the Board receive grant applications to approve?	4.4, 4.6	
	Has the Board of Directors met the minimum number of times as required by the By-Laws?	5.5	
	Was proper notice of the meeting given in accordance with the requirements of the Articles of Incorporation, By-Laws, and/or state corporate and CSBG law?	5.5	
	Do minutes indicate that a quorum was established for Board Meetings?	5.5	
	Was attendance taken?	5.5	
	Are financial statements presented less than 30 days old?	4.6	
	Did the auditor present the audit results to the Board?	4.6, 8.3	
	Did the auditor present the management report to the board?	8.3	
	Were there audit deficiencies/findings? If yes, follow up with agency on corrective action. Were corrections completed?	4.6, 8.2	
	Is there a written Executive Director's report?	8.2	
		Best Practice	

ON-SITE REVIEW CHECKLIST 2015

	Do minutes list attendees, excused absences, staff and guests?	CSBG Act
	Do minutes clearly document that formal decision making occurs (motions) and the decisions made?	4.6
	Do minutes indicate that the Board reviews key components such as CSBG application and Work Plan	5.9
	Do minutes document who makes motions and who seconds?	CSBG Act
	Do minutes reflect that the board is making only policy, rather than operational decisions?	5.9
	Do minutes show that the Board votes to accept all grants and contracts, including their budgets?	4.4
	Is there evidence they receive information to understand risks and special limitations contained in grant awards and contracts?	4.4
	Is there evidence the board receives all funder reports?	Best Practice
	There is evidence that the Board has a finance committee and it meets regularly.	Bylaws
	Are committee meeting minutes included in Board Packet?	CSBG Act

ON-SITE REVIEW CHECKLIST 2015

AGENCY/LEADERSHIP		
View list of all agency subsidiaries		Policies
List and review reports from any reviews/monitoring during the last 12 months:		4.6
Has the agency been cited for significant program problems or delay in submitting reports?		4.6, 8.8
If the agency was cited, is there evidence the problems were corrected?		4.6, 8.8
Review and list date of last strategic plan.		6.1
Does it reflect application of ROMA/NPI goals?		4.3
When was it last reviewed?		6.1
Is there evidence that key agency leaders and managers meet regularly to review strategic plans, program performance, and resource needs?		9.1
Is the agency working to bring staff from all programs together to streamline services to low-income people?		9.1
If yes, what are they doing?		9.1
Has the agency closed or added programs in the last year? If so, what were the reasons?		9.1
Can the agency demonstrate partnerships and collaborations with other community organizations?		2.1
MOUs/Contracts (formal partnerships)		2.1
Collaborations (informal partnerships)		2.1
If possible, talk to several partners		2.1

ON-SITE REVIEW CHECKLIST 2015

	How is the agency actively involved with Statewide Community Action Network? (Attending Board meetings, participating in committees, alliances, etc.)	2.3	
	What communication occurs between Management and front-line staff? Describe the process of communication from top to bottom and back up.	Best Practice	
	When was the last time the agency through Peer Review and other means evaluated the overall effectiveness/impact of its operations? What process was used?	2.3	
	Was a copy of the report submitted to DHHS?	2.3	
	What ongoing monitoring is part of the normal course of daily operations and activities?	4.6	

ON-SITE REVIEW CHECKLIST 2015

EXECUTIVE DIRECTOR/LEGAL		
Does the agency have any unresolved employment grievances, complaints, or lawsuits?	4.6	
Has the Board established goals and objectives for the E.D. Are they in written format?	4.6	
Is the E.D. aware of the assurances as outlined in the CSBG subgrant?	CSBG Act	
Has the agency developed a succession plan approved by the board? (get copy of succession plan)	4.5	
includes emergency/unplanned	4.5	
Includes short term absences	4.5	
Is there evidence the agency informs county boards in its service areas about the programs and activities it provides? (State Reg: 2-012)	2.3, 3.1	

ON-SITE REVIEW CHECKLIST 2015

NEEDS ASSESSMENT/STRATEGIC PLAN/MANAGEMENT		
COMMUNITY NEEDS ASSESSMENT		
Is there evidence the last complete needs assessment included: (42 U.S.C. 9908(b)(12))		3.1
Low-Income Residents		1.2, 2.2
Local officials and other service agencies		2.2
Statistical data		3.2
A. Qualitative Data		3.3
B. Quantitative Data		3.3
C. specific poverty data relating to:		3.2
gender		3.2
age		3.2
race		3.2
ethnicity		3.2
D. Information from CAN Assessment 2010-current		Subgrant
E. Key findings on causes of poverty in their SDA		3.4
F. Key findings on the conditions of poverty in their SDA		3.4
When was the needs assessment completed and approved		3.1, 3.5
When compiling the community needs assessment they consulted with/got information from:		2.2
Community Based Organizations		2.2
Faith Based Organizations		2.2
Private Sector		2.2
Public Sector		2.2
Educational Institutions		2.2
How does the agency communicate its community assessment/activities to the community		2.3
Is there evidence it was used in writing the WorkPlan?		4.2

ON-SITE REVIEW CHECKLIST 2015

STRATEGIC PLAN		
Does the agency have an active strategic plan that includes agency programs and activities that has been distributed to the Board and Staff?	6.1	
Date last completed and approved?	6.1	
Does it reflect understanding and application of the national ROMA goals and measures?	4.3	
Includes family, agency and community goals	6.3	
Is there evidence that the plan is followed and is used in development of CSBG and other program plans?	3.3, 4.3	
Is it reviewed annually?	4.4	
addresses reduction of poverty	6.2	
revitalization of low income communities	6.2	
empowerment of low income people	6.2	
client satisfaction data and customer input from community assessment used in strategic plan	6.4	
annual updates to board on progress	6.5	
Is the agency analyzing community, program, and financial data and applying its analysis to management decisions?	2.2, 3.2, 3.3	
Does management staff meet regularly to review plans, performance and needs?	3.2, 3.3	
Is there evidence that the agency has partnered and coordinated programs with other organizations and programs to meet service area needs? (42 U.S.C.9908 (b) (9) and State Reg. 2-007.03)	2.1, 2.3	
Community collaborations (informal)	2.1	
MOUs/contracts with partners (formal)	2.1	
If possible, contact several partners	2.1	

ON-SITE REVIEW CHECKLIST 2015

	CLIENT SATISFACTION SURVEY		
	Does the agency have a client satisfaction survey (get copy of survey tool)	1.3	
	What are the aggregate scores	1.3, 3.3	
	How do they use it in analysis	1.2, 1.3, 3.3	
	How do they use it in reporting	1.3	
	Survey results shared with board	1.3	
	CSBG WORKPLAN		
	CSBG workplan is outcome based	4.2	
	CSBG workplan is antipoverty based	4.2	
	CSBG workplan ties back to the community assessment	4.2	
	Board receives annual update on CSBG plan	4.4	
	CSBG workplan incorporates ROMA	4.3	

ON-SITE REVIEW CHECKLIST 2015

MISSION STATEMENT			
When was the Mission statement last reviewed? What process was used to review it?		4.1	
SERVICES			
Is the agency facing the loss of one or more major programs?		4.6	
If yes, why and is the agency actively seeking replacement funds to continue the work?		4.6	
Is there evidence that all custodial parents in single-parent families who participate in CSBG programs are informed about the availability of child support services? (42U.S.C.9919(b)(1);State 1-008)		State	
Is there evidence that eligible parents are referred to the child support offices of state and local government? (42U.S.C.9919(b)(2);State 1008)		State	
Is there evidence that staff use the most current figure for the "official poverty line"?		9.1	
Did the agency supply evidence that its clients meet the guidelines for the specific programs they receive?		9.1	
Is there evidence that intake forms are completed for each client?		9.1	SEE CLIENT FILE REVIEW
Are they completed properly?		9.1	SEE CLIENT FILE REVIEW
Are they updated annually?		9.1	SEE CLIENT FILE REVIEW
Do client files document fulfillment of outcome measures?		9.1	SEE CLIENT FILE REVIEW
Are client documents maintained in a secure environment?		9.1	SEE CLIENT FILE REVIEW
Is there evidence that the agency internally verifies that programs comply with requirements related to participant eligibility, allowable costs, allowable activities, and program outcomes and results?		4.6	

ON-SITE REVIEW CHECKLIST 2015

	Does the agency appear to comply with ADA in meeting the needs of customers?	CSBG Act
	Does the agency have a written appeals process through which clients may appeal denials of service or improper provision of service? (State Reg: 1-007)	State
	Did any clients appeal in the last year? If so, review process.	State
	Does the agency have bi-lingual staff?	9.1
	If not, do they have procedures to secure translators?	9.1
	Is there any evidence of discrimination? (42 U.S.C.9918*c) and State Reg. 1-004 and contract)	State
	Can the agency cite improvements recently made to improve performance?	9.1
	Does the agency have mechanisms in place to bring staff from all programs together to streamline services to low-income people?	2.3
	Does the agency address the needs of youth? (42U.S.C.9908 (b) (1)(B) and State Reg. 2-007.04)	CSBG Act
	Is there evidence that confidential documents are maintained in a secure environment?	4.6
	Is there evidence that agency provides emergency supplies, services, and related services necessary to prevent starvation and malnutrition? (42U.S.c. 9908(b)(4); State 2-007.01)	CSBG Act

ON-SITE REVIEW CHECKLIST 2015

CLIENT SERVICES POLICY AND PROCEDURES		
Does the agency have a written policy on how it protects the confidentiality of all persons served? (State Reg.: 1-005; HIPAA compliance)	9.1	
RISK ASSESSMENT		
Organizational wide, comprehensive risk assessment done and approved by board. (Provide plan or report)	4.6	This is a document I have highlighted throughout review where looking at compliance with item that also addresses risk
ROMA		
Is there evidence that managers and line staff have been trained on ROMA?	4.3, 7.9	
Is there a ROMA Trainer on staff?	4.3	
When was last ROMA training provided and who attended?	4.3, 7.9	
Client demographics system in place to track and report demographics and services received	9.1	
Family, agency, and/or community system to track those outcomes	9.2	
Organization presented to the governing board yearly an analysis of the agency's outcomes and any agency or program adjustments/improvements identified as necessary	9.3	

ON-SITE REVIEW CHECKLIST 2015

TECHNOLOGY		
Does the agency have written computer security policies and procedures for financial, client and administrative data?	4.6	
Is CSBG data backed up on a daily basis and stored off-site on a weekly basis?	4.6	
Do computer access controls (i.e., remote capabilities, administrative rights) provide reasonable assurance that computer resources are protected from unauthorized modifications.	4.6	
Customer data is secure and confidential.	4.6	
What are the safeguards in place for financial data and other systems in the event of data failure?	4.6	
Does the agency have an on-site system administrator? If not, who provides that service?	Policies	
VOTER REGISTRATION		
There is evidence that the agency does not provide transportation to polls or similar assistance or participate in any voter registration. (U.S.C. 42 9918(b))	CSBG Act	
VOLUNTEERS		
If the agency uses volunteers, they are able to document their number and hours	2.4	
Are low income volunteers documented? If so, how?	1.1	
Volunteer manual (get copy if they have one)	2.4	

NEBRASKA DEPARTMENT OF HEALTH & HUMAN SERVICES
GRANTS REPORT FILING CHECKLIST

GRANT # 06 15B1NECOSR DUE DATE: 12/30/15

GRANT NAME: CSBG FFY15 - 15B1NECOSR

FREQUENCY OF REPORTING (Circle One): Qrtly SA A F Other: _____
(Quarterly, Semi-annual, Annual, Final or other (please explain Other))

Reporting website: OLDC

Program Manager Name: Jennifer Dreibel's Phone # 471-9346

Initial and date each line as these are completed.

cm 12/29/15 Work papers completed with headers/footers, audit trail and reconciliation

NA Match (if any) provided and supporting documentation received

cm 12/29/15 Grant specifications received/reviewed and incorporated in reporting. Any specifics highlighted and included with work papers. (Include any unliquidated obligations, unobligated balance, carryover requests in work papers)

JD 12-30-15 Program Manager has reviewed and signed off on FFR/Financial report and work paper.

cm 12/29/15 Journal entries (as needed) are completed and included with FFR.

NA Any necessary or correcting JE's or follow up completed.

NA Any closeout of grant procedures completed or create checklist to be completed and add to Scheduled Assignments tracking.

cm 1/3/16 Grant Record Updated.

NA Any updates in E1 on Business Units completed (descriptions, dates, etc.).

Cathy Matzke
Preparer Signature

12/29/15
Date Completed

B. Hill
Manager Grants/Cost Accounting

12/30/15
Date Reviewed and Approved

Note: Financial report(s) should be scanned and attached to parent BU in E1 with supporting documentation and this checklist.

Memo

To: All Employees Nebraska Department of Health & Human Services
From: Garet Buller, CPA, DHHS Internal Audit Administrator
CC: Matt Clough, Sheri Dawson, Tony Green, Jodi Fenner, Joseph Acierno, John Hilgert, Brad Gianakos
Date: October 31, 2013 revised February 09, 2015
Re: 2014-02 Revised - Internal Control Policy Related to Subrecipient Monitoring

Internal Control Description:

Monitoring of subrecipients who receive federal funding from the Nebraska Department of Health and Human Services (DHHS).

Applicability:

Any subrecipient who receives federal dollars during their fiscal year from DHHS.

Note: This Internal Control Policy does not supersede requirements contained in federal or state law, or imposed by awarding agencies.

Definitions:

Subrecipient is a non-Federal entity that expends funds received from DHHS to carry out a specific program.

Sub-award is an award issued to a subrecipient.

Further clarification between a subrecipient and a vendor is defined in 2 CFR 200.

Internal Control Procedure:

Subrecipients expending funds (federal or state) from DHHS of \$100,000 or more during the subrecipient's fiscal year are required to submit audited financial statements for the fiscal year to DHHS. The subrecipient is responsible for engaging a licensed Certified Public Accountant to conduct the audit of their organization's financial statements. The audit must be submitted to DHHS no later than nine months after the end of the subrecipient's fiscal year. The financial statements should be presented in accordance with generally accepted accounting principles (accrual basis) unless the subrecipient indicates that another basis of accounting is more appropriate or that the accrual basis of accounting is overly burdensome.

Subrecipients expending federal funds greater than \$750,000 during the subrecipient's fiscal year are subject to the single audit requirements of 2 CFR 200 and must submit audited financial statements to DHHS in accordance with 2 CFR 200. If a subrecipient receiving funds from DHHS is required to conduct a Single Audit of the financial statements in accordance with 2 CFR 200, the subrecipient must submit a copy of the financial statements to DHHS regardless of the amount of funds received from DHHS.

The DHHS Internal Audit Section is responsible for tracking compliance with the above requirements thus a copy of the audited financial statements must be provided to the DHHS Internal Audit Section. The DHHS Internal Audit Section is also responsible for conducting a formal review of all audited financial statements from subrecipients who expend more than \$20,000 of federal funds passed through from DHHS. For subrecipients who are required to submit audited financial statements to DHHS but who expend less than \$20,000 of federal funds passed through from DHHS, a formal review of the audited financial statements may be conducted at the request of the Division Director or at the discretion of the Internal Audit Administrator.

The formal financial statement reviews conducted by the Internal Audit Section will include the following information:

- Current and long-term assets and liabilities,
- Working capital and liquidity,
- Equity or net assets,
- Revenues and expenses/expenditures,
- Net income or loss,
- Statement of cash flows,
- Relevant notes to the financial statements,
- Material weaknesses or significant deficiencies on internal controls,
- Material weaknesses or significant deficiencies on compliance and other matters, and
- Audit findings related to major programs.

The formal financial statement review will be provided at a minimum to each sub-award manager awarding sub-awards to the subrecipient during the time period of the audit. The review may include items that the sub-award manager will need to resolve with the subrecipient.

Based on the formal financial statement review, the Internal Audit Section may deem a subrecipient as a "required increased monitoring subrecipient". This determination is at the discretion of the Internal Audit Administrator and based on criteria including but not limited to lack of liquidity, modified, adverse or disclaimer of opinion on the audited financial statements, material weakness in internal controls, and significant audit findings. The Internal Audit Administrator will notify the respective Division Directors for any subrecipient identified as a "required increased monitoring subrecipient". Subrecipient monitoring for a "required increased monitoring subrecipient" should include at a minimum, a corrective action plan to improve the conditions that resulted in the "required increased monitoring subrecipient"

This version of the MSP is currently under review by OMB, which may result in additional edits.

determination, annual onsite subrecipient monitoring visits, quarterly updates by the subrecipient on progress of the corrective action plan, and increased review of supporting documentation.

The sub-award manager is responsible for monitoring the activities of their respective subrecipient as necessary to ensure that federal awards are used for authorized purposes in compliance with laws, regulations, and the provision of contracts or -agreements and that performance goals are achieved. The sub-award manager is also responsible for resolving any questioned costs, ensuring that the subrecipient takes appropriate corrective action, resolving any items noted in the DHHS Internal Audit's financial statement review and issuing a management decision on audit findings within six months after receipt of the subrecipient's audit.

Effective Date: February 09, 2015

NEBRASKA DEPARTMENT OF HEALTH AND HUMAN SERVICES Internal Control Policy Approval Form

Internal Control Policy Description: Revised Sub-recipient Monitoring

Internal Control Requested By:

Name: Garet Buller, CPA

Date: January 30, 2015

Internal Control Drafted By:

Name: Garet Buller, CPA

Date: January 30, 2015

Internal Control Requester Approval:

Signature:  CPA Date: 2/9/15

Name: Garet Buller, CPA Title: DHHS Internal Audit Administrator

Internal Audit Unit Approval:

Signature:  CPA Date: 2/9/15

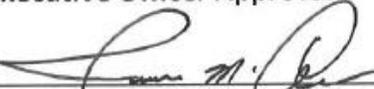
Name: Garet Buller, CPA Title: DHHS Internal Audit Administrator

Legal Services Review:

Signature:  Date: 2/9/15

Name: Brad Gianakos Title: DHHS Legal Services Administrator

Department Chief Executive Officer Approval:

Signature:  Date: 2/9/15

Name: Joe Acierno Title: DHHS Acting Chief Executive Officer

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]**

XAttend Board meetings

- X Review copies of Board meeting minutes
- X 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]**

XAnnually

XSemiannually

X Quarterly

XMonthly

XOther **[Narrative, 2500 characters]**

Nebraska requires agencies to update board changes and vacancy alerts of major staff positions within a week of the occurrence. Each entity provides their board packets within two weeks of the board meeting per the subaward agreement.

Changes to bylaws and low income process changes or any policy and procedures changes are documented at the next on site review. The on site prework requires agencies to provide updated policies and procedures and bylaws highlighting any changes from the previous on site review. See Attachment 10.2 for more information on the prework document.

Board packet reviews will also provide some changes and those are documented in the desk audit paperwork in their FY file.

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]**

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

The State includes this requirement as part of the onsite review process. Policies and procedures are reviewed prior to the onsite review to ensure the language is in the policy.

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]**

DRAFT

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

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

Nebraska does not have a specific policy or procedure relating to income eligibility separate from the language contained in the CSBG Act.

If CSBG funds are used for client services then income eligibility is limited to 125% HHS poverty line per CSBG Act. For services funded by other funders, that funding source determines income eligibility.

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]**

Nebraska incorporated this question into the FY2017 agency annual application and can be found in Attachment 9.3 – 9.7.

Since Nebraska does not have any restrictions on CSBG funding other than what is contained in the CSBG Act, we have limited influence on income verification. However, CSBG dollars are rarely used in Nebraska for direct client services. Much of the grant is spent on staff and infrastructure so the agency can deliver services with other public or private dollars. In Nebraska roughly \$60,000 of the \$4.2 million CSBG dollars allotted to grantees are for direct service. During the on site review, the State CSBG Program does a Client file review and a Financial Eligibility check. These reviews are checking whether income was verified not that the income met the funder criteria for service. Once completed (usually 25 to 30 random files for each agency), the information is shared with the agency for their review. Because CSBG funds are not normally used for direct services, the State CSBG Program cannot determine whether the agency adhered to the funding rules of the funding agency. It can only suggest best practices. The funders assure their program requirements are in compliance.

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]**

Nebraska incorporated this question into the FY2017 agency annual application and can be found in Attachment 9.3 – 9.7.

The State CSBG Program reviews this information as part of the on site review. In discussions with Administration and Board members the focus is on how these community activities help the low income community. In most cases, both administration and the board can identify the results and outcomes of these community wide programs and that they help the low income community more even if the low income numbers of clients are smaller for those programs.

Overall, most of the agencies have programs with a community wide benefit. In review of the FY2017 applications received, agencies base their decisions to partner or lead community wide efforts based on their community needs assessment. These identified needs affect the low income community in greater numbers than the more affluent areas. Also, community action agencies in Nebraska are recognized state wide as valuable partners in addressing low income populations, so partnerships and community wide benefit programs where community action agencies are at the table have already made the assumption that low income people have the need.

DRAFT

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.

X The Results Oriented Management and Accountability (ROMA) System

Another performance management system that meets the requirements of section 678E(b) of the CSBG Act

X 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]**

Nebraska does not have written policies and procedures for CSBG. These will be completed by July 2017. It will update relevant ROMA information within six (6) months of finalization of ROMA Next Generation.

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

Nebraska selected other as well, because we trained agencies in 2015 on Marc Friedman's Results Based Accountability as an alternate way for agencies to evaluate their outcomes. -Agencies will still report using the ROMA language and format but this process may be complementary to ROMA and help front line staff understand outcomes better.

NE DHHS started implementation of Results Based Accountability in 2012 and incorporates some strategies in its subgrant and contracting processes.

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.

X CSBG National Performance Indicators (NPIs)

NPIs and others
 Others

Nebraska will use the existing NPIs listed under Goal 1 for self sufficiency, Goal 2 for community revitalization and Goal 6 for family stability.

- 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.

The State CSBG Program provides a subward to Community Action of Nebraska to employ a full time System Administrator to help the eligible entities with compliance with ROMA. The State also subgrants with Community Action of Nebraska to provide training and technical assistance, which may include assistance with ROMA goals and outcomes if needed. The CSBG State Office-also provides support for the ROMA Task Force that meets twice a year to review ROMA and provide best practices among agencies.

Agencies are also expected to employ an Agency Administrator whose job is to oversee the data collection of ROMA outcomes and reporting.

- 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.

Nebraska incorporated this evaluation into the FY2016 agency applications for funding. The State in partnership with the association and eligible entities will look at improving this for FY2017 and over time.

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.

Nebraska requires agencies to submit an annual application for funding. Please see Attachment 9.3-9.7 for the application narrative.

- 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.

This version of the MSP is currently under review by OMB, which may result in additional edits.

Nebraska includes a question on the annual application asking the eligible entity to address how they use the community needs assessment to dictate the services they provide. Please see attachment 9.3 -9.7 for the application narrative.

Nebraska requires completion of a community needs assessment as identified in the CSBG Act. Language is included in all subawards to eligible entities explaining that this must be completed.

Nebraska also provides discretionary money to complete a Statewide Community Needs Assessment that the eligible entities can use as a secondary source for their community needs assessment.

DRAFT

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

In review of FY2017 agency applications received, all agencies are meeting these requirements in services to their local areas.

These assurances are also written into each agency subgrant.

In addition as part of the onsite review, the State CSBG Program reviews this information through interviews, case file reviews, board packet reviews and other reports.

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

These assurances are also written into each agency subaward.

In addition as part of the onsite review, the State CSBG Program reviews this information-through interviews, case file reviews, board packet reviews and other reports.

In reviewing the received FY2017 applications, all agencies work with youth in some manner. In 7 of the 9 agencies, Head Start and/or Early Head Start is a key program meeting this requirement. For the 2 agencies that do not have Head Start one works closely with runaway and at risk youth and the other runs an afterschool program targeting at risk youth.

All agencies go beyond Head Start to ensure that youth services are a focus of their activities.

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

These assurances are also written into each agency subaward.

In addition as part of the onsite review, the State CSBG Program reviews this information through interviews, case file reviews, board packet reviews and other reports.

In review of received FY2017 applications, all agencies coordinate with other programs to meet their goals and outcomes. Since CSBG is used primarily for staff and infrastructure support it is imperative to have other program funds either private or public to meet client needs.

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

In review of the received FY2017 agency applications, all agencies do a combination of one time services and case management services. In Nebraska, there has been an effort over the last few years for agencies to focus more on case management than one time assistance. However, in order to meet low income people's needs, there are some programs that must be maintained as a one time assistance with no further contact with the client. Different funding sources have different eligibility and assistance requirements that make one model of service delivery difficult for community action agencies.

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

At this time no agency is doing a fatherhood initiative.

However, many agencies are conducting programs around parental responsibility. One agency incorporated parental training into its youth services program. They determined that in addition to serving the youth in their youth center, they needed to target programming to parents. They now require parents to complete training.

Head Start and Early Head Start have strong programs encouraging parental involvement and strengthening families.

Another agency has a home visiting program that targets parents of newborn to three years old.

Each agency will address strengthening families and encouraging parenting if that is an issue that arises in client discussions. Since agencies are moving more to a case management model, the client determines goals. If that goal includes parenting, the agency will work with the client to get those services.

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]

Nebraska requires each agency to submit an annual application. Please see attachment 9.3-9.7 for application narrative.

These assurances are also written into each agency subaward.

In addition as part of the onsite review, the State CSBG Program reviews this information through interviews, case file reviews, board packet reviews and other reports.

In review of the received FY2017 agency applications, all agencies do programming around food insecurity. It includes food pantries, partnership with the state or local businesses for food distribution, back pack programs for weekend food needs and running meal services.

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

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

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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 - -

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- (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]

This version of the MSP is currently under review by OMB, which may result in additional edits.

- 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;

This version of the MSP is currently under review by OMB, which may result in additional edits.

(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
- (3) 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.
- (4) 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.
- (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 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.
- (6) 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.
- (7) 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.

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.

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