STATE OF TEXAS FFY 2018 and FFY 2019

COMMUNITY SERVICES BLOCK GRANT APPLICATION
AND STATE PLAN

Submitted to

U. S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

August 2017
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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 [Texas Department of Housing and Community Affairs]

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:

1.1c. Division, bureau, or office of the CSBG authorized official [Planning, Training, and Technical Assistance Division]

1.1d. Authorized official of the lead agency [Mr. Tim Irvine, Executive Director]

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

1.1e. Street address [221 East 11th Street]

1.1f. City [Austin]

1.1g. State [Texas]

1.1h. Zip [78701]

1.1i. Telephone number and extension [512-475-3296]

1.1j. Fax number [512-475-3935]

1.1k. Email address [tim.irvine@tdhca.state.tx.us]
1.1. Lead agency website [www.tdhca.state.tx.us]

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 [Texas Department of Housing and Community Affairs]

1.2b. Name of the point of contact [Michael DeYoung]

1.2c. Street address [221 East 11th Street]

1.2d. City [Austin]

1.2e. State [Texas]

1.2f. Zip [78701]

1.2g. Point of contact telephone number [512-475-2125]

1.2h. Fax number [512-475-3935]

1.2i. Point of contact email address [michael.deyoung@tdhca.state.tx.us]

1.2j. Point of contact agency website [www.tdhca.state.tx.us]

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

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

   Per state law, programmatic designations to a State Agency from the Governor remain in effect unless rescinded.
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] Link:

- Texas Government Code, Section 2105:  

- Texas Government Code, Section 2306.097:  

- Texas Administrative Code, 10 TAC, Chapter 1, Subchapter A:  

- Texas Administrative Code, 10 TAC, Chapter 2:  

- Texas Administrative Code, 10 TAC, Chapter 6, Subchapter A:  

- Texas Administrative Code, 10 TAC, Chapter 6, Subchapter B:  
2.4. State Authority: Select a response for each question about the State statute and/or regulations authorizing CSBG:

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

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

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

SECTION 3
State Plan Development and Statewide Goals

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

The mission of the Texas Department of Housing and Community Affairs is to administer its assigned programs effectively, transparently, and lawfully and to invest its resources strategically and develop high quality affordable housing which allows Texas communities to thrive.

The Department accomplishes this mission by acting as a conduit for federal grant funds for housing and community services. However, because several major housing programs require the participation of private investors and private lenders, TDHCA also operates as a housing finance agency.

Ensuring program compliance with the many state and federal laws that govern housing programs is another important part of the Department's mission. This ensures the health and safety of TDHCA's housing portfolio and guarantees state and federal resources are expended in an efficient and effective manner.

TDHCA also serves as a financial and administrative resource that helps provide essential services and affordable housing opportunities to Texans who qualify for this assistance based on their income level. Additionally, the Department is a resource for educational materials and technical assistance for housing, housing related, and community services matters.]
3.2. **State Plan Goals:** Describe the State’s CSBG-specific goals for State administration of CSBG under this State Plan. [Narrative: The Agency’s Strategic Plan for Fiscal Years 2015-19 includes the following measures related to CSBG:

Objective: To ease hardship of poverty for 16 percent of the homeless and very low income persons each year.

Strategy 1: Administer poverty-related funds through a Network of Agencies.

**Output Measures:**

1. Number of persons assisted through Homeless and Poverty-related funds (Note: this includes CSBG and other grants)

2. Number of persons that achieve incomes above poverty level

3. Number of persons assisted by the Community Services Block Grant]

**Instructional Note:** For examples of “goals,” see State Accountability Measure 1Sa(i).

**Note:** This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State’s annual report form.

3.3. **State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that applies and narrative where applicable]

- [ ] State Performance Indicators and/or National Performance Indicators (NPIs)
- [ ] U.S. Census data
- [ ] State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- [ ] Other data (describe) [Narrative, 2500 characters]
- [ ] Eligible entity community needs assessments
- [ ] Eligible entity plans
- [ ] Other information from eligible entities, e.g., State required reports (describe)

[Narrative, 2500 characters]

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

- [ ] Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- [ ] State community action association and regional CSBG T & TA providers
- [ ] State partners and/or stakeholders (describe) [Narrative: The Department invites consultation with partners and stakeholders through our Executive Board Meeting, intra-agency councils, workgroups, and public hearings. State employees also attend state association conferences and Board meetings.]
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: The State involved CSBG eligible entities and the State Association through workgroup meetings established specifically for this purpose, a survey, and phone conferences to discuss the Plan and the use of CSBG funds. In the fall of 2016 the State formed a CSBG Workgroup which included CSBG interested eligible entities and the State Association. The workgroup provided the Department feedback on the CSBG State Plan, the CSBG formula and other areas of interest to the Network. The State also developed an electronic survey for CSBG eligible entities to provide the Department input on the use of CSBG discretionary funds and on training and technical assistance needs. The survey was administered March 2017.]

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

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

3.4b. Performance Management Adjustment: How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State’s analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

[The State thoroughly reviewed the results of the ACSI 2015 Survey in developing the Plan; one of the areas of feedback was that eligible entities asked to be able to provide input on the CSBG State Plan prior to the draft being released. In response to that suggestion, the State changed the Plan development process by collaborating with the State Association to form a CSBG Workgroup to receive input on the 2018 and 2019 draft CSBG State Plan. At the first meeting of the workgroup, the State received feedback on key areas that would be included in the 2018 and 2019 CSBG State Plan. Such areas included the allocation formula to distribute CSBG funds and on possible outcome measures. After meeting twice and discussing the topics requested of the workgroup, the group determined that no further meetings were needed to give input for development of the Plan. 2017 ACSI results, not released at the time of this Plan, will be analyzed and considered in future plan and process development to include priority setting, training and technical assistance needs.]
assistance, allocation of discretionary and non-discretionary funds, customer service and communication improvements, and monitoring procedures.]

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

3.5. **Eligible Entity Overall Satisfaction:** Provide the State’s target for eligible entity Overall Satisfaction during the performance period: [ _.50_. ]

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

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

### SECTION 4
**CSBG Hearing Requirements**

4.1. **Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act. [Narrative: The Draft Application and State Plan will be made available for review at the April 27, 2017, meeting of the TDHCA Executive Board. The State will hold public hearings in four locations at which the Plan will be available for review, and will post the Draft Application and State Plan on the Department’s website. A link to the website posting will be published in the Texas Register on May 5, 2017.]

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: The State will post notice of public hearings on the Department’s website the week of April 28, 2017. CSBG eligible entities and other interested partners will be notified by e-mail no later than April 28, 2017. Notice of Public Hearings will be published in the Texas Register on May 5, 2017.]

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.

- Austin - Tuesday, May 23, 2017, 6:00 p.m.-7:00 p.m. in room 116, TDHCA headquarters, 221 East 11th Street, Austin, TX
- Fort Worth – Tuesday, May 23, 2017, 6:00 p.m.-7:00 p.m. at Southside Community Center, 959 E. Rosedale, Fort Worth, TX 76104
- Houston – Wednesday, May 24, 2017, 1:30 p.m.-2:30 p.m. at Gulf Coast Community Services Association, 9320 Kirby Drive, Houston, TX
- Midland - Thursday, May 25, 2017, 2:00 p.m.- 3:00 p.m. at 1101 E. Garden Lane, Midland, TX 79701

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Type of Hearing [Select an option]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legislative Hearings:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>House Committee on Appropriations on February 20, 2017</td>
<td>Texas State Capitol, Austin, Texas</td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td>Senate Committee on Finance on February 13, 2017</td>
<td></td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td><strong>Public Hearings:</strong></td>
<td></td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td>Tuesday, May 23, 2017, from 6:00 -7:00 p.m.</td>
<td>TDHCA headquarters 221 East 11th Street, # 116, Austin, TX]</td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td>Tuesday, May 23, 2017, from 6:00 -7:00 p.m.</td>
<td>959 E. Rosedale, Fort Worth, TX</td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td>Wednesday, May 24, 2017 from 1:30 -2:30 p.m.</td>
<td>9320 Kirby Drive, Houston, TX</td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
<tr>
<td>Thursday, May 25, 2017 from 2:00-3:00 p.m.</td>
<td>1101 E. Garden Lane, Midland, TX 79701</td>
<td>![ ] Public ![ ] Legislative ![ ] Combined</td>
</tr>
</tbody>
</table>

**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.] Note: Texas Register Notice is to be added to Plan once notice is published.

http://www.sos.state.tx.us/texreg/archive/May52017/In%20Addition/In%20Addition.html#76
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.)

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Public or Nonprofit</th>
<th>Type of Agency</th>
<th>CSBG Counties Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Aspermont Small Business Development Center, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Haskell, Jones, Kent, Knox, Stonewall, Throckmorton</td>
</tr>
<tr>
<td>2 Austin, City of, Health and Human Services Department</td>
<td>Public</td>
<td>Local Government</td>
<td>Travis</td>
</tr>
<tr>
<td>3 Big Bend Community Action Committee, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Brewster, Culberson, Hudspeth, Jeff Davis, Presidio</td>
</tr>
<tr>
<td>5 Cameron and Willacy Counties Community Projects, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Cameron, Willacy</td>
</tr>
<tr>
<td>6 Central Texas Opportunities, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Brown, Callahan, Coleman, Comanche, Eastland, McCulloch, Runnels</td>
</tr>
<tr>
<td>7 Combined Community Action, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Austin, Bastrop, Colorado, Fayette, Lee</td>
</tr>
<tr>
<td>8 Community Action Committee of Victoria Texas</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Aransas, Calhoun, De Witt, Goliad, Gonzales, Jackson, Lavaca, Refugio, Victoria</td>
</tr>
<tr>
<td>9 Community Action Corporation of South Texas</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Bee, Brooks, Duval, Jim Wells, Kenedy, Kleberg, San Patricio</td>
</tr>
<tr>
<td>10 Community Action Inc. of Central Texas</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Blanco, Caldwell, Hays</td>
</tr>
<tr>
<td>11 Community Action Social Services &amp; Education</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Maverick</td>
</tr>
<tr>
<td>CSBG Eligible Entity</td>
<td>Public or Nonprofit</td>
<td>Type of Agency</td>
<td>CSBG Counties Served</td>
</tr>
<tr>
<td>----------------------</td>
<td>---------------------</td>
<td>----------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>12 Community Council of South Central Texas, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Atascosa, Bandera, Comal, Dimmit, Edwards, Frio, Gillespie, Guadalupe, Karnes, Kendall, Kerr, Kinney, LaSalle, Live Oak, McMullen, Medina, Real, Uvalde, Val Verde, Wilson, Zavala</td>
</tr>
<tr>
<td>13 Community Services of Northeast Texas, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Bowie, Camp, Cass, Delta, Franklin, Hopkins, Lamar, Marion, Morris, Rains, Red River, Titus</td>
</tr>
<tr>
<td>14 Community Services, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Anderson, Collin, Denton, Ellis, Henderson, Hunt, Kaufman, Navarro, Rockwall, Van Zandt</td>
</tr>
<tr>
<td>15 Concho Valley Community Action Agency</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Coke, Concho, Crockett, Irion, Kimble, Menard, Reagan, Schleicher, Sterling, Sutton, Tom Green</td>
</tr>
<tr>
<td>16 Unserved Area – RFA released February 2017; estimate replacement in July 2017</td>
<td></td>
<td></td>
<td>Dallas</td>
</tr>
<tr>
<td>17 Economic Action Committee of The Gulf Coast</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Matagorda</td>
</tr>
<tr>
<td>18 Economic Opportunities Advancement Corporation of Planning Region XI</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Bosque, Falls, Freestone, Hill, Limestone, McLennan</td>
</tr>
<tr>
<td>20 Fort Worth, City of, Parks &amp; Community Services Department</td>
<td>Public</td>
<td>Local Government</td>
<td>Tarrant</td>
</tr>
<tr>
<td>21 Galveston County Community Action Council, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Brazoria, Fort Bend, Galveston, Wharton</td>
</tr>
<tr>
<td>22 Greater East Texas Community Action Program (GETCAP)</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Angelina, Cherokee, Gregg, Houston, Nacogdoches, Polk, Rusk, San Jacinto, Smith, Trinity, Wood</td>
</tr>
<tr>
<td>23 Gulf Coast Community Services Association</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Harris</td>
</tr>
<tr>
<td>24 Hidalgo County Community Services Agency</td>
<td>Public</td>
<td>Local Government</td>
<td>Hidalgo</td>
</tr>
<tr>
<td>26 Lubbock, City of, Community Development Department</td>
<td>Public</td>
<td>Local Government</td>
<td>Lubbock</td>
</tr>
<tr>
<td>27 Nueces County Community Action Agency</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Nueces</td>
</tr>
<tr>
<td>CSBG Eligible Entity</td>
<td>Public or Nonprofit</td>
<td>Type of Agency</td>
<td>CSBG Counties Served</td>
</tr>
<tr>
<td>---------------------------------------------</td>
<td>---------------------</td>
<td>----------------</td>
<td>--------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Pecos County Community Action Agency</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Crane, Pecos, Terrell</td>
</tr>
<tr>
<td>San Antonio, City of, Department of Human Services</td>
<td>Public</td>
<td>Local Government</td>
<td>Bexar</td>
</tr>
<tr>
<td>South Plains Community Action Association, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Bailey, Cochran, Crosby, Dickens, Floyd, Garza, Hale, Hockley, King, Lamb, Lynn, Motley, Terry, Yoakum</td>
</tr>
<tr>
<td>South Texas Development Council</td>
<td>Public</td>
<td>Local Government</td>
<td>Jim Hogg, Starr, Zapata</td>
</tr>
<tr>
<td>Southeast Texas Regional Planning Commission</td>
<td>Public</td>
<td>Local Government</td>
<td>Hardin, Jefferson, Orange</td>
</tr>
<tr>
<td>Texas Neighborhood Services</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Erath, Hood, Johnson, Palo Pinto, Parker, Somervell, Wise</td>
</tr>
<tr>
<td>Texoma Council of Governments</td>
<td>Public</td>
<td>Local Government</td>
<td>Cooke, Fannin, Grayson</td>
</tr>
<tr>
<td>Tri-County Community Action, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Harrison, Jasper, Newton, Panola, Sabine, San Augustine, Shelby, Tyler, Upshur</td>
</tr>
<tr>
<td>Webb County Community Action Agency</td>
<td>Public</td>
<td>Local Government</td>
<td>Webb</td>
</tr>
<tr>
<td>West Texas Opportunities, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Andrews, Borden, Dawson, Ector, Fisher, Gaines, Glasscock, Howard, Loving, Martin, Midland, Nolan, Reeves, Scurry, Upton, Ward, Winkler</td>
</tr>
<tr>
<td>Williamson-Burnet County Opportunities, Inc.</td>
<td>Nonprofit</td>
<td>CAA</td>
<td>Burnet, Williamson</td>
</tr>
</tbody>
</table>
5.2. Total number of CSBG eligible entities: \(39\) [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.

\(\square\) Yes \(\square\) No [If yes is selected – Narrative: Community Services Agency of South Texas and Northeast Texas Opportunities, Inc. voluntarily relinquished CSBG eligible entity status. Dallas Urban League’s eligible entity status was terminated. The Department issued a request for application for a provider for the counties previously served by Northeast Texas Opportunities and Community Services Agency of South Texas and existing eligible entities were awarded those counties. A request for application was issued for the counties previously covered by Dallas Urban League in February 2017 and the Department is in the process of reviewing applications. It is expected that by July 2017 an eligible entity for Dallas County will be in place. ]

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

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.
SECTION 6
Organizational Standards for Eligible Entities

Note: Reference IM 138, State Establishment of Organizational Standards for CSBG Eligible Entities, for more information on Organizational Standards. Click HERE for IM 138.

6.1. Choice of Standards: Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

☐ The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
☐ The State will use an alternative set of organizational standards [Attach supporting documentation if this option is selected]

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

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

[The state has administrative rules, the Texas Administrative Code (TAC), to address state requirements and implemented the organizational standards under the TAC. The rule was put into place in January 2016. Minor modifications to the TAC included the state law requirement that eligible entities follow the Texas Uniform Grant Management Standards and the State of Texas Single Audit Circular unless there has been a federal preemption. Additionally, where the word bylaws is used the Department has modified the standards to read Certificate of Formation/Articles of Incorporation or bylaws, as needed to comply with state law.]

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

☑ Regulation
☐ Policy
☑ Contracts with eligible entities
☐ Other, describe: [Narrative, 2500 characters]
6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? [Check all that applies]

- [ ] Peer-to-peer review (with validation by the State or State-authorized third party)
- [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
- [X] Other (desk and monitoring reviews)

6.4a. Describe the assessment process.

[Narrative:

The Texas Department of Housing and Community Affairs is planning on assessing eligible entities’ compliance with organizational standards by using a software tool to collect and organize organizational standards reporting requirements submitted by the eligible entities. Prior to going “live” with the software, the Department will work with and test the software with an eligible entity to ensure we receive network feedback.

The assessment of organizational standards will occur throughout the year divided up into windows of opportunity within which the eligible entities must submit their organizational standards documentation. The Department will notify the network of eligible entities of the duration of these windows in advance. The duration will depend upon the purpose of the window in that it could be for initial submission of documentation or corrective action of documentation previously submitted. If a subrecipient does not submit any documentation or proper documentation within the designated window, then that subrecipient will be placed in a “not met” category for the particular organizational standard. At the end of the window, the Department will turn off the ability for entities to submit documentation and continue to review all documentation submitted and determine which standards have been “met” or “not met” for each organizational standard.

In the event that an entity does not meet a standard, the Department will review whether the subrecipient requires technical assistance to meet the standard(s) and what other steps are necessary. The Department will continue to provide technical assistance and develop a Technical Assistance Plan with the subrecipient until the standards have been met.]

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  [X] No

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a
justification for each exemption. [Narrative, 2500 characters or attach document]

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

6.6. **Performance Target**: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? [Insert a percentage. 33%]

Note: This information is associated with State Accountability Measures 6Sa and may pre-populate the State’s annual report form.
SECTION 7
State Use of Funds

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

7.1 Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. [Check one and narrative where applicable]

☐ Historic
☒ Base + Formula
☐ Formula Alone
☐ Formula with Variables
☐ Hold Harmless + Formula
☐ Other [Narrative: The Department distributes CSBG funds to CSBG eligible entities based on a distribution formula which incorporates the U.S. Census Bureau Decennial 2010 Census and data from the American Community Survey (ACS) for information on persons at 125% of poverty; a $50,000 base; a $150,000 floor; 98% weighted factor for poverty population; and, a 2% weighted factor for the inverse ratio of population density. The formula is applied as follows: each eligible entity receives a base award; then, the weighted factors of poverty population and population density are applied to the state’s balance of the 90% funds. If the base and application of the weighted factors do not yield sufficient funds for the minimum floor per entity, then the minimum floor amount is reserved for each of those CSBG eligible entities under the floor figure. Then, the formula is re-applied to the balance of the 90% funds for distributing the remaining funds to the remaining CSBG eligible entities.]

Following the use of the decennial Census data, then on a biennial basis, the Department will use the most recent ACS 5 year estimate data that is available. To the extent that there are significant reductions in CSBG funds received by the Department, the Department may revise the CSBG distribution formula through a rulemaking process.

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.

The estimated allocations are based on FY 2016 CSBG funding levels.
<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Estimated 2018 Allocation</th>
<th>Estimated 2019 Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Aspermont Small Business Development Center, Inc.</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>2 Austin, City of, Health and Human Services Department</td>
<td>1,136,900</td>
<td>1,136,900</td>
</tr>
<tr>
<td>3 Big Bend Community Action Agency</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>4 Brazos Valley Community Action Agency</td>
<td>1,077,603</td>
<td>1,077,603</td>
</tr>
<tr>
<td>5 Cameron and Willacy Counties Community Projects, Inc.</td>
<td>929,877</td>
<td>929,877</td>
</tr>
<tr>
<td>6 Central Texas Opportunities, Inc.</td>
<td>188,647</td>
<td>188,647</td>
</tr>
<tr>
<td>7 Combined Community Action, Inc.</td>
<td>202,226</td>
<td>202,226</td>
</tr>
<tr>
<td>8 Community Action Committee of Victoria Texas</td>
<td>286,547</td>
<td>286,547</td>
</tr>
<tr>
<td>9 Community Action Corporation of South Texas</td>
<td>312,652</td>
<td>312,652</td>
</tr>
<tr>
<td>10 Community Action Inc., of Hays, Caldwell and Blanco Counties</td>
<td>279,612</td>
<td>279,612</td>
</tr>
<tr>
<td>11 Community Action Social Services &amp; Education</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>12 Community Council of South Central Texas, Inc.</td>
<td>697,650</td>
<td>697,650</td>
</tr>
<tr>
<td>13 Community Services of Northeast Texas, Inc.</td>
<td>425,132</td>
<td>425,132</td>
</tr>
<tr>
<td>14 Community Services, Inc.</td>
<td>1,494,339</td>
<td>1,494,339</td>
</tr>
<tr>
<td>15 Concho Valley Community Action Agency</td>
<td>230,853</td>
<td>230,853</td>
</tr>
<tr>
<td>16 Economic Action Committee of The Gulf Coast</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>17 Economic Opportunities Advancement Corporation of Planning Region XI</td>
<td>491,772</td>
<td>491,772</td>
</tr>
<tr>
<td>18 El Paso Community Action Program, Project BRAVO,</td>
<td>1,215,525</td>
<td>1,215,525</td>
</tr>
<tr>
<td>CSBG Eligible Entity</td>
<td>Estimated 2018 Allocation</td>
<td>Estimated 2019 Allocation</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td>Inc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19 Fort Worth, City of, Parks &amp; Community Services Department</td>
<td>1,835,047</td>
<td>1,835,047</td>
</tr>
<tr>
<td>20 Galveston County Community Action Council, Inc.</td>
<td>916,628</td>
<td>916,628</td>
</tr>
<tr>
<td>21 Greater East Texas Community Action Program (GETCAP)</td>
<td>918,455</td>
<td>918,455</td>
</tr>
<tr>
<td>22 Gulf Coast Community Services Association</td>
<td>4,899,791</td>
<td>4,899,791</td>
</tr>
<tr>
<td>23 Hidalgo County Community Services Agency</td>
<td>1,702,109</td>
<td>1,702,109</td>
</tr>
<tr>
<td>24 Hill Country Community Action Association, Inc.</td>
<td>515,693</td>
<td>515,693</td>
</tr>
<tr>
<td>25 Lubbock, City of, Community Development Department</td>
<td>385,622</td>
<td>385,622</td>
</tr>
<tr>
<td>26 Nueces County Community Action Agency</td>
<td>436,937</td>
<td>436,937</td>
</tr>
<tr>
<td>27 Panhandle Community Services</td>
<td>563,469</td>
<td>563,469</td>
</tr>
<tr>
<td>28 Pecos County Community Action Agency</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>29 Rolling Plains Management Corporation</td>
<td>456,445</td>
<td>456,445</td>
</tr>
<tr>
<td>30 San Antonio, City of, Department of Community Initiatives</td>
<td>2,022,541</td>
<td>2,022,541</td>
</tr>
<tr>
<td>31 South Plains Community Action Association, Inc.</td>
<td>268,391</td>
<td>268,391</td>
</tr>
<tr>
<td>32 South Texas Development Council</td>
<td>223,787</td>
<td>223,787</td>
</tr>
<tr>
<td>33 Southeast Texas Regional Planning Commission</td>
<td>466,557</td>
<td>466,557</td>
</tr>
<tr>
<td>34 Texas Neighborhood Services</td>
<td>433,521</td>
<td>433,521</td>
</tr>
<tr>
<td>35 Texoma Council of Governments</td>
<td>245,388</td>
<td>245,388</td>
</tr>
<tr>
<td>CSBG Eligible Entity</td>
<td>Estimated 2018 Allocation</td>
<td>Estimated 2019 Allocation</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
<td>---------------------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>36 Tri-County Community Action, Inc.</td>
<td>315,421</td>
<td>315,421</td>
</tr>
<tr>
<td>37 Funds are reserved for organization that will be awarded the Dallas county service area in July 2017</td>
<td>3,103,352</td>
<td>3,103,352</td>
</tr>
<tr>
<td>38 Webb County Community Action Agency</td>
<td>544,733</td>
<td>544,733</td>
</tr>
<tr>
<td>39 West Texas Opportunities, Inc.</td>
<td>516,500</td>
<td>516,500</td>
</tr>
<tr>
<td>40 Williamson-Burnet County Opportunities, Inc.</td>
<td>326,308</td>
<td>326,308</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>30,816,030</strong></td>
<td><strong>30,816,030</strong></td>
</tr>
</tbody>
</table>

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**: The Department distributes funding utilizing an electronic contract and reporting system. Upon receipt of Notice of Grant Award from USHHS, the Department generates contracts to allocate the 90% pass-through funding to the CSBG eligible entities. The Texas State Legislature meets biennially during which time the budget of all state agencies are considered. The CSBG budget is included in the review of the Department’s overall budget. The Department is required to obtain approval from its Governing Board prior to releasing funding contracts. The process to obtain Board approval takes approximately 45 days. The Department posts an agenda 7 days prior to a monthly Board meeting to include an item seeking approval of the CSBG State Plan and approval to release funding to the eligible entities. Upon Board approval, a merging and internal approval process of the individual funding contracts for the eligible entities will occur.

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**: The Department will make the funds available within 30 calendar days after Federal and State authority was provided, with the exception of the 1st quarter because of the State’s CSBG contract year beginning January 1st.
Note: Item 7.4 is associated with State Accountability Measure 25a and may pre-populate the State’s annual report form.

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

7.5. Performance Management Adjustment: How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. [Narrative: The State has made improvements to ensure that the CSBG contracts are executed prior to the start date. The State also formed a CSBG Workgroup to receive feedback from the network on how to improve coordination with the Network and the State association and receive their feedback on the CSBG State Plan. The State also has assigned a technical assistance staff person to each eligible entity. ]

Note: This information is associated with State Accountability Measure 25b and may pre-populate the State’s annual report form.

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

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. [5%]

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? [41]

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? [12]

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

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

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

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

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.
If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

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

<table>
<thead>
<tr>
<th>Remainder of Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)</th>
<th>Year One Planned $</th>
<th>Year One Planned %</th>
<th>Year Two Planned $</th>
<th>Year Two Planned %</th>
<th>Brief description of services/activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Training and Technical Assistance</td>
<td>$150,000</td>
<td>9.375%</td>
<td>$150,000</td>
<td>9.375%</td>
<td>T&amp;TA provided by staff or an outsourced provider in areas such as ROMA, Org Standards, Case Management, Board, Reporting, community action plans, needs assessments, strategic planning, and other areas requested.</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>b. Coordination of State-operated programs and/or local programs</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>c. Statewide coordination and communication among eligible entities</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>e. Asset building programs</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>f. Innovative programs/activities by eligible entities</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
</tbody>
</table>
### Remainder of Discretionary Fund Uses
(See 675C(b)(1) of the CSBG Act)

<table>
<thead>
<tr>
<th>Brief description of services/activities</th>
<th>Year One Planned $</th>
<th>Year One Planned %</th>
<th>Year Two Planned $</th>
<th>Year Two Planned %</th>
</tr>
</thead>
<tbody>
<tr>
<td>or other neighborhood groups</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. State charity tax credits</td>
<td>$0</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>h. Other activities specify (see below for details)</td>
<td>$1,450,000</td>
<td>90.625%</td>
<td>$1,450,000</td>
<td>90.625%</td>
</tr>
<tr>
<td>Totals</td>
<td>$1,600,000</td>
<td>100%</td>
<td>$1,600,000</td>
<td>100%</td>
</tr>
</tbody>
</table>

i. Other Activities. Specify: The State notes that these are proposed activities that must still be approved by the board once the State is awarded funds. The planned use may change as directed by the Governing Board. Expected uses: 1) Direct Client Assistance and/or Network Operational Investments (which assists eligible entities in meeting requirements of Organizational Standards primarily through tangible deliverables) $590,000; 2) Intensive CAA Assessments (which provides intensive third-party assessments to assess operations and procedures of approximately four CSBG eligible entities with critical needs) $100,000; 3) Network Transition Fund $130,000 (which help CSBG eligible entities absorb transitional expenses when they absorb other CSBG services areas); 4) Migrant Seasonal Farm Worker and Native American Populations Initiatives $300,000; 5) Housing Voucher Program Support Fund $130,000; 6) Disaster Recovery Fund $150,000; and 7) to provide training and technical assistance related to homelessness in the Balance of State Continuum of Care and related statewide homelessness initiatives $50,000. When determining which eligible entities receive CSBG discretionary funds, CSBG Organizational Standards may be a criterion.

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]

- [x] CSBG eligible entities (15 to 30) (if checked, provide the expected number of CSBG eligible entities to receive funds) [Discretionary funds will be utilized to provide Direct Client Assistance, Intensive Assessments, Network Transition Funds, Training & Technical Assistance, and Disaster Recovery.]
- [ ] Other community-based organizations
- [ ] State Community Action association
- [ ] Regional CSBG technical assistance provider(s)
- [x] National technical assistance provider(s)
- [x] Individual consultant(s)
- [x] Tribes and Tribal Organizations
Other [Migrant Seasonal Farm Worker Organization and Housing Voucher Program Support]

☐ None (the State will carry out activities directly)

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

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

7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. [Narrative: In 2018 and 2019, the Department plans to reduce the use of CSBG Discretionary funds for training and technical assistance from $200,000 to $150,000, and for Statewide coordination and communication among eligible entities from $100,000 to $0. With the reduction of $150,000 in those areas, the State will increase the amount of funds available for Other Activities from $1,300,000 to $1,450,000 in order to increase the amount of funds available to CSBG eligible entities. Within Other Activities, a reduction from $150,000 to $100,000 for Intensive Support Assessments, a reduction from $150,000 to $130,000 for the Network Transition Fund, and a reduction from $150,000 to $130,000 for the Housing Voucher Program will take place. With a total reduction of $240,000 in the areas listed above, the State will increase the amount of funds available for Direct Client Assistance and/or Network Operational Investments from $500,000 to $590,000 and for Migrant Seasonal Farm Workers and Native Americans from $200,000 to $300,000. The Department will also utilize $50,000 of Discretionary funds to support homelessness efforts in the Balance of State Continuum of Care and related statewide homelessness initiatives through the Texas Homeless Network. These changes are reflective of feedback from the eligible entity network. 2017 ACSI results, not released at the time of this Plan, will be analyzed and considered in future plan and process development to include priority setting, training and technical assistance, allocation of discretionary and non-discretionary funds, customer service and communication improvements, and monitoring procedures.]

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

SECTION 8
State Training and Technical Assistance

8.1. Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and
the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.)

**Note:** 8.1 is associated with State Accountability Measure 3Sc and may pre-populate the State’s annual report form.

<table>
<thead>
<tr>
<th>Fiscal Year (Y) Quarter (Q) / Timeframe</th>
<th>Training (T), Technical Assistance (TA), or Both (B)</th>
<th>Topic</th>
<th>Brief Description of Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY1 - Q1</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, CA, SP, M, CM, NPI</td>
<td>Department staff provides technical assistance as identified by our T&amp;TA Plan that was developed by the state office, state association, and RPIC. The T&amp;TA plan was developed from subrecipient requests, monitoring reports, workgroups, surveys, and performance analysis. The State has an on-line system to request T&amp;TA or to submit questions for TA. T&amp;TA is conducted by the following means: on-site training, conferences, regional training series, webinars, teleconferences, workshops, videos, Best Practices, FAQs, and online tools/resources. Training is customized to the needs of the eligible entity. ROMA is embedded into all trainings, guidance, and materials. Initial CM training is provided through an online video training series. Subsequent CM training is provided on-site and/or in regionals. NPI training will be a focus in 2018 and 2019, as new federal NPIs are being implemented. GTB are provided most quarters. TA on reporting is provided monthly by Department reporting staff and performance analysis is provided by trainers each quarter. F, OS-G, OS-US, T&amp;A will be provided as requested and as needed; although aspects of each are incorporated into regular trainings as appropriate. CA, SP, CSD, M, TA will be provided as needed. CA and SP primarily FY1Q1.</td>
</tr>
<tr>
<td>Fiscal Year (Y) Quarter (Q) / Timeframe</td>
<td>Training (T), Technical Assistance (TA), or Both (B)</td>
<td>Topic</td>
<td>Brief Description of Other</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>---------------------------------------------------</td>
<td>-------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>FY1 - Q2</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Also, intensive assessment and associated T&amp;TA will be provided to entities identified as “at-risk.” Same as FY1-Q1</td>
</tr>
<tr>
<td>FY1 – Q3</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
<tr>
<td>FY1 – Q4</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
<tr>
<td>FY2 – Q1</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
<tr>
<td>FY2 – Q2</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
<tr>
<td>FY2 – Q3</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
<tr>
<td>FY2 – Q4</td>
<td>B</td>
<td>F, GTB, OS-G, OS-US, CSD, R, ROMA, M, CM, NPI</td>
<td>Same as FY1-Q1</td>
</tr>
</tbody>
</table>

**Topic:**
- Fiscal (F)
- Governance/Tripartite Boards (GTB)
- Organizational Standards-General (OS-G)
- Organizational Standards (OS-US)– for eligible entities with unmet standards on Technical Assistance Plans or Quality Improvement Plans
- Correcting Significant Deficiencies Among Eligible Entities (CSD)
- Reporting (R)
- ROMA
- Community Assessment (CA)
- Strategic Planning (SP)
- Monitoring (M)
- Communications (C)
- Technology (T)
- National Performance Indicators (NPI)
- Other – 1. Case Management (CM)

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

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

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate?

☑ Yes ☐ No  (The fall of 2017 was the first time that CSBG eligible entities had to provide documentation related to compliance with CSBG Organizational Standards. The review of the information provided was reported in the CSBG Annual Report on April 7, 2017. After CSBG eligible entities submitted their original submission in the fall of 2017, they were provided with two other opportunities to submit additional information and during that time period the Department provided them technical assistance and detailed guidance on why the documentation submitted did not meet the standard. The Department is developing TAPs for providers with unmet organizational standards, and will provide them technical assistance and/or training.

**Note:** 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.) [Check all that applies and narrative where applicable]

☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) [Narrative]
☐ Other community-based organizations
☑ State Community Action association
☐ Regional CSBG technical assistance provider(s)
☐ National technical assistance provider(s)
☑ Individual consultant(s)
☐ Tribes and Tribal Organizations
☐ Other []
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: Texas has developed its T/TA Plan in partnerships with the state association and RPIC (as laid out in the T/TA Template). Texas has increased network input through workgroups, and online T&TA surveys/evaluations. Each Eligible Entity (EE) is assigned a personal trainer as their point-of-contact. Each personal trainer tracks all performance/expenditures, T&TA needs, and who provides EEs with data analysis, TAPs, and other needs. 2017 ACSI results, not released at the time of this Plan, will be analyzed and considered in future plan and process development to include priority setting, training and technical assistance, allocation of discretionary and non-discretionary funds, customer service and communication improvements, and monitoring procedures.]

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

**SECTION 9**

**State Linkages and Communication**

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

9.1. **State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. [Check all that apply from the list below and provide a Narrative. The Department administers the CSBG grant along with LIHEAP and Weatherization and all are administered by the Community Affairs Division. The Department also administers the State’s housing programs. The Department is in contact with regional Head Start Offices, and when we monitor any CSBG eligible entity that administers Head Start and we identify any serious findings or concerns we provide them with a copy of the monitoring report. The Department is the administrative agency for the Texas Inter-Agency Council for the Homeless and is a member of the State’s Housing and Health Services Coordination Council, both of which are composed of several State agencies including the State’s WIOA agency, Child
Protective Services, and the state health services agency. The Department works closely with the State’s budget office and every biennium the State presents the Department budget for approval. In 2016, the State conducted a series of meetings via conference calls with CSBG eligible entities serving East and Northeast Texas and the entities administering the WIOA funds in the CSBG service areas. The calls focused on improving coordination between CSBG and WIOA programs to provide better services to the eligible populations.

**Note:** This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7S and may pre-populate the State’s annual report form.

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

9.2. **State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed. **[Narrative:]**

The Department administers the CSBG in a state whose territory is as vast as it is varied. As such, the Department’s strategy centers on ensuring local coordination through the local service providers. The Department requires CSBG eligible entities to coordinate funds and services at the local level. The annual community action plan from each entity has to describe the eligible entities’ coordination efforts with city, county, schools, non-profits, and other local or regional organizations. CSBG eligible entities coordinate services and work to avoid duplication of services with other providers. CSBG eligible entities are encouraged to participate in local social service and homeless coalitions whose goal is to coordinate services. The Department has stressed the importance of CSBG eligible entities coordinating with WIOA agencies to assist persons to obtain employment and other benefits through WIOA.

**Note:** This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.
9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination: Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed. [Narrative: The State requires CSBG eligible entities to coordinate funds at the local level. Their annual community action plan has to describe their coordination efforts with city, county, schools, non-profits, and other organizations. CSBG eligible entities coordinate services and work to avoid duplication of services with other providers. Most CSBG eligible entities participate in local social service and homeless coalitions whose goal is to coordinate services.]

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

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. [Narrative: Annually, CSBG eligible entities must submit a Community Action Plan to the Department. The document includes a section wherein eligible entities describe any gaps in services and their strategy to address those gaps. If a gap is not currently being addressed or not being sufficiently addressed, eligible entities are to develop and implement a strategy to work with other organizations in their local communities to address the gaps in services.]

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

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☐ Yes  ☒ No

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

9.4a If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities.
conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. [Narrative, 2500 Characters]

9.4b. If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. [Narrative: Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of the plan, if entities are providing employment and training activities, CSBG eligible entities must describe their coordination with WIOA offices in their service area. In 2016, the State conducted a series of meetings via conference calls with CSBG eligible entities serving East and Northeast Texas and the entities administering the WIOA funds in the CSBG service areas. The calls focused on improving coordination between CSBG and WIOA programs to provide better services to the eligible populations.]

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: The Department administers the LIHEAP grant, which funds the Comprehensive Energy Assistance Program (CEAP). The CEAP provides utility assistance to low-income persons and includes an energy crisis component. LIHEAP also supports the Department’s weatherization program. The majority of the CSBG eligible entities administer both the CEAP and weatherization programs. The Department programs a portion of CSBG discretionary funds for assistance in the case of declared natural disasters. The funds may be used to provide emergency energy crisis intervention.]

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

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act. [Narrative: Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services including faith-based organizations, charitable groups, and community organizations. Close coordination and referral takes place with these organizations. Training further reinforces this coordination.]

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

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of
the CSBG Act. **Narrative:** Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services, including private and public organizations. Many of the CSBG eligible entities obtain either in-kind assistance or funds from local governments to support the programs that they administer, including donations of space in local government facilities to be utilized by eligible entities to provide CSBG supported services. ]

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

9.8. **Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association. **Narrative:** The Department works closely with the state eligible entity association, the Texas Association of Community Action Agencies (TACAA). The Department meets with the association and their board on a regular basis to discuss ways that the Department can better meet the needs of the eligible entities. The Department receives their input on the development of the CSBG State Plan, training and technical assistance needs, rule revisions, use of CSBG discretionary funds, and other issues. The state association holds an annual conference for CSBG eligible entities and the Department provides staff to present training to CSBG eligible entities. The Department also works with TACAA to form CSBG working groups to help the Department develop strategies on key issues such as implementation of CSBG organizational standards.]

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

**Communication Plan**

<table>
<thead>
<tr>
<th>Topic</th>
<th>Expected Frequency</th>
<th>Format (drop down)</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Narrative: The Department plans to hold quarterly conference calls that will be open to the entire CSBG network. During these calls, the Department will discuss and obtain feedback on training and technical assistance needs, implementation of CSBG organizational standards, anticipated CSBG funding, CSBG RFAs/NOFAs, , case management, community</td>
<td>Dropdown Options: Daily, Weekly, Twice-Monthly, Monthly, Quarterly, Semi-Annually, Annually, Other (Periodically)</td>
<td>Dropdown Options: Newsletter, Mailing, Meetings/Presentation, Blog, Email, Website, Social Media, Other</td>
<td>If “Other” is selected in columns 2 and/or 3, describe in this column. Other: The meetings may be in person meetings, may be held by teleconference, or may be presented as webinars.</td>
</tr>
</tbody>
</table>

33
<table>
<thead>
<tr>
<th>Topic</th>
<th>Expected Frequency</th>
<th>Format (drop down)</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>action planning, strategic planning, community needs assessments, self-sufficiency projects, issues related to the LIHEAP funded utility assistance program, the weatherization program, and other topics of interest. The Department plans to hold periodic workgroups for Network input to state plans, rules, and T&amp;TA needs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>[Narrative: The Department informs CSBG eligible entities of notices received from USHHS, the National Association for State Community Services Programs, and the Community Action Partnership. This occurs as notices and guidance arises. ]</td>
<td>Dropdown Options:</td>
<td>Dropdown Options:</td>
<td>[Narrative, 2500 characters]</td>
</tr>
<tr>
<td>□ Daily</td>
<td>● Newsletter</td>
<td>● Newsletter</td>
<td>If “Other” is selected in</td>
</tr>
<tr>
<td>□ Weekly</td>
<td>□ Mailing</td>
<td>□ Mailing</td>
<td>columns 2 and/or 3, describe in this column</td>
</tr>
<tr>
<td>□ Twice-Monthly</td>
<td>□ Meetings/Presentati</td>
<td>□ Meetings/Presentati</td>
<td>The Department and State</td>
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<tr>
<td>□ Monthly</td>
<td></td>
<td></td>
<td>Association compile</td>
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<tr>
<td>□ Quarterly</td>
<td>□ Email</td>
<td>□ Email</td>
<td>Announcements which are</td>
</tr>
<tr>
<td>□ Semi-Annually</td>
<td>□ Website</td>
<td>□ Website</td>
<td>sent to the Network via the</td>
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<tr>
<td>□ Annually</td>
<td>□ Social Media</td>
<td>□ Social Media</td>
<td>State Associations’ twice a</td>
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<tr>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
<td>month e-Newsletter as</td>
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<tr>
<td>[Narrative: The Department develops guidance for the annual Community Action Plan and for the annual budget. Every 3 years, the Department issues guidance for the Community Assessment and for the Strategic Plan every 5 years. The Department also issues other program guidance on areas such as case management, self-sufficiency, program reporting, and administration.]</td>
<td>Dropdown Options:</td>
<td>Dropdown Options:</td>
<td>[Narrative, 2500 characters]</td>
</tr>
<tr>
<td>□ Daily</td>
<td>● Newsletter</td>
<td>● Newsletter</td>
<td>If “Other” is selected in</td>
</tr>
<tr>
<td>□ Weekly</td>
<td>□ Mailing</td>
<td>□ Mailing</td>
<td>columns 2 and/or 3, describe in this column</td>
</tr>
<tr>
<td>□ Twice-Monthly</td>
<td>□ Meetings/Presentati</td>
<td>□ Meetings/Presentati</td>
<td>Other: The guidance that is</td>
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<td>□ Monthly</td>
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<td>developed is posted on the</td>
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<tr>
<td>□ Quarterly</td>
<td>□ Email</td>
<td>□ Email</td>
<td>Department’s website. The</td>
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<tr>
<td>□ Semi-Annually</td>
<td>□ Website</td>
<td>□ Website</td>
<td>Department may also</td>
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<tr>
<td>□ Annually</td>
<td>□ Social Media</td>
<td>□ Social Media</td>
<td>conduct a workshop,</td>
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<tr>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
<td>webinar or a teleconference.</td>
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<td></td>
<td>Information may also be</td>
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<td>presented at State</td>
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<td></td>
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<td>Association Conferences.</td>
</tr>
</tbody>
</table>
## Feedback to Eligible Entities and State Community Action Association

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: The Department will, within 60 calendar days of receiving feedback from OCS, provide eligible entities and the State Association, via an e-mail communication, the results of the ACSI Survey. The Department will also provide a synopsis of key concerns identified by eligible entities. The Department will also meet with the State Association to discuss survey results and develop a plan to address concerns. ]

**Note:** This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

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

### Performance Management Adjustment

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: The Department is working in partnership with the State Association regarding communications sent out to the Network. The State Association sends out a twice a month e-newsletter (or more frequently, if needed) e-Newsletter compiling guidance from OCS, the Department, upcoming T&TA opportunities, and other information. The Department has added workgroups where eligible entities may provide input to rules, plans, guidance, or T&TA needs. 2017 ACSI results, not released at the time of this Plan, will be analyzed and considered in future plan and process development to include priority setting, training
and technical assistance, allocation of discretionary and non-discretionary funds, customer service and communication improvements, and monitoring procedures.]

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

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**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.

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Review Type</th>
<th>Target Date (Quarter)</th>
<th>Date of Last Full Onsite Review (if applicable)</th>
<th>Brief Description of “Other”</th>
</tr>
</thead>
<tbody>
<tr>
<td>El Paso Community Action program, Project BRAVO, Inc.</td>
<td>Full on-site</td>
<td>FY18 – Q1</td>
<td>July 2014</td>
<td></td>
</tr>
<tr>
<td>Panhandle Community Services</td>
<td>Full on-site</td>
<td>FY18 – Q1</td>
<td>July 2014</td>
<td></td>
</tr>
<tr>
<td>Brazos Valley Community Programs</td>
<td>Full on-site</td>
<td>FY18 – Q1</td>
<td>February 2015</td>
<td></td>
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<tr>
<td>Rolling Plains Management Corp.</td>
<td>Full on-site</td>
<td>FY18 – Q1</td>
<td>March 2015</td>
<td></td>
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<tr>
<td>Combined Community Action, Inc.</td>
<td>Full on-site</td>
<td>FY18 – Q2</td>
<td>August 2015</td>
<td></td>
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<tr>
<td>CSBG Eligible Entity</td>
<td>Review Type</td>
<td>Target Date (Quarter)</td>
<td>Date of Last Full Onsite Review (if applicable)</td>
<td>Brief Description of “Other”</td>
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<tr>
<td>Hidalgo County Community Services Agency</td>
<td>Full on-site</td>
<td>FY18 – Q2</td>
<td>September 2015</td>
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<tr>
<td>Community Action Social Services &amp; Education</td>
<td>Full on-site</td>
<td>FY18 – Q2</td>
<td>September 2015</td>
<td></td>
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<tr>
<td>South Texas Development Council</td>
<td>Full on-site</td>
<td>FY18 – Q2</td>
<td>October 2015</td>
<td></td>
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<tr>
<td>Gulf Coast Community Services Assoc.</td>
<td>Full on-site</td>
<td>FY18 – Q3</td>
<td>October 2015</td>
<td></td>
</tr>
<tr>
<td>Austin, City of</td>
<td>Full on-site</td>
<td>FY18 – Q3</td>
<td>November 2015</td>
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<tr>
<td>Dallas County (Entity to be designated in June 2017)</td>
<td>Initial on-site</td>
<td>FY18 – Q4</td>
<td>November 2015</td>
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<tr>
<td>Community Action Committee of Victoria Texas</td>
<td>Full on-site</td>
<td>FY18 – Q3</td>
<td>December 2015</td>
<td></td>
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<tr>
<td>Cameron and Willacy Counties Community Projects, Inc.</td>
<td>Full on-site</td>
<td>FY18 – Q4</td>
<td>June 2016</td>
<td></td>
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<tr>
<td>Tri-County Community Action, Inc.</td>
<td>Full on-site</td>
<td>FY18 – Q4</td>
<td>June 2016</td>
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<tr>
<td>Community Services, Inc.</td>
<td>Full on-site</td>
<td>FY18 – Q4</td>
<td>June 2016</td>
<td></td>
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<tr>
<td>Pecos County Community Action Agency</td>
<td>Full on-site</td>
<td>FY18 – Q4</td>
<td>July 2016</td>
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<tr>
<td>Economic Opportunities Advancement Corp of PR XI</td>
<td>Full on-site</td>
<td>FY19 – Q2</td>
<td>November 2015</td>
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<tr>
<td>Texas Neighborhood Services</td>
<td>No review</td>
<td></td>
<td>September 2015</td>
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<tr>
<td>Aspermont Small Business Development Center, Inc.</td>
<td>No review</td>
<td></td>
<td>December 2015</td>
<td></td>
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<td>West Texas Opportunities, Inc.</td>
<td>Full on-site</td>
<td>FY19 – Q2</td>
<td>December 2015</td>
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<tr>
<td>Greater East Texas Community Action Program</td>
<td>Full on-site</td>
<td>FY19 – Q3</td>
<td>February 2016</td>
<td></td>
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<tr>
<td>Southeast Texas Regional Planning Commission</td>
<td>No review</td>
<td></td>
<td>February 2016</td>
<td></td>
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<tr>
<td>City of San Antonio</td>
<td>Full on-site</td>
<td>FY19 – Q3</td>
<td>March 2016</td>
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<tr>
<td>Central Texas Opportunities</td>
<td>Full on-site</td>
<td>FY19 – Q3</td>
<td>May 2016</td>
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<tr>
<td>Concho Valley Community Action Agency</td>
<td>Full On-site</td>
<td>FY19 – Q3</td>
<td>May 2016</td>
<td></td>
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<tr>
<td>Community Action Inc. of Central Texas</td>
<td>Full On-site</td>
<td>FY19 – Q3</td>
<td>August 2016</td>
<td></td>
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<tr>
<td>Community Services of Northeast Texas, Inc.</td>
<td>Full On-site</td>
<td>FY19 – Q4</td>
<td>June 2016</td>
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<tr>
<td>South Plains Community Action Association</td>
<td>Full on-site</td>
<td>FY19 – Q4</td>
<td>June 2016</td>
<td></td>
</tr>
<tr>
<td>City of Fort Worth</td>
<td>Full On-site</td>
<td>FY19 – Q4</td>
<td>June 2016</td>
<td></td>
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<tr>
<td>CSBG Eligible Entity</td>
<td>Review Type</td>
<td>Target Date (Quarter)</td>
<td>Date of Last Full Onsite Review (if applicable)</td>
<td>Brief Description of “Other”</td>
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</tr>
<tr>
<td>City of Lubbock</td>
<td>Full On-Site</td>
<td></td>
<td>October 2016</td>
<td></td>
</tr>
<tr>
<td>Economic Action Committee of the Gulf Coast</td>
<td>No Review</td>
<td></td>
<td>February 2017</td>
<td></td>
</tr>
<tr>
<td>Galveston County Community Action Council, Inc.</td>
<td>Full On-site</td>
<td>FY19 – Q4</td>
<td>March 2017</td>
<td></td>
</tr>
<tr>
<td>Webb County Community Action Agency</td>
<td>No Review</td>
<td></td>
<td>March 2015</td>
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<td>Big Bend Community Action Committee, Inc.</td>
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### 10.2. Monitoring Policies:

Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. [Refer to Attachment A]

### 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? [It is the Department’s goal to submit CSBG monitoring reports within 30 calendar days from the last day of the monitoring visit. However, if extenuating circumstances are present, the CSBG monitoring report will be submitted within 60 days of the completion of the monitoring review with the exception of those few reports requiring executive and legal review due to deficiencies.]

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

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements**

(Section 678C of the Act)
10.4. **Closing Findings:** Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above? ☑ Yes ☐ No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. [Narrative, 2500 characters]

10.5. **Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? [There are currently no CSBG entities under a QIP.]

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

10.6. **Reporting of QIPs:** Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP? [Narrative: The Department will contact the Office of Community Services either by phone or through e-mail to inform them of eligible entities on a Quality Improvement Plan.]

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

10.7. **Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).” ☑ Yes ☐ No

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

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

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☑ Yes ☐ No


10.9. 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: Texas Administrative Code


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: Texas Administrative Code


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: All expenditures are recorded in the Department’s PeopleSoft accounting system. Indexes, grant numbers and fund numbers allow for identification of charges to a specific grant and cost categories. Policies and Procedures are in place to ensure compliance with statues and regulations. Independent annual financial audit and single audit are performed for the Department. Every draw is reviewed by program staff upon submittal by contractor localities. All draw downs must be consistent within the most current approved budget. Draws are then processed by accountants and approved by senior accountant or team leader. Back up to support draws are reviewed during on site monitoring. The general ledger is the source for the SF-425 Federal fiscal reports. They are prepared by the grant accountant, reviewed by the financial team leader and approved by management prior to submittal. Reports are prepared according to program rules and regulations.]

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: The Department requires each subrecipient to complete an Audit Certification form within 60 days from the end of the Entity’s fiscal year. This is used to determine if a Single Audit is required. Upon receipt of the Single Audit, a review is completed to determine if the packet submitted is complete and all opinions are provided. If the audit contains findings, it is reviewed and discussed by the director of Internal Audit, the Chief of Compliance, the Director of subrecipient Monitoring and staff to determine the appropriate steps to ensure the entity corrects the issues identified in the audit report or management letter. The Department will issue correspondence to the entity,
identifying that corrective action measures must be performed and requiring support
documentation to be provided. The entity will be provided a time frame to respond to
complete the corrective action and to respond to the correspondence. At a maximum, the
entity must correct all identified issues within six (6) months of the Single Audit being
submitted to the Federal Clearing House.

The Department’s Compliance Monitor(s) will keep abreast of the required timeframe for the
entity to complete the corrective action and to provide the response. If the response is received
the Department will review the documentation to determine if the corrective action
requirements have been met. If the issues have not been corrected, the Compliance Monitor
and/or Director of Subrecipient Monitoring will notify the Chief of Compliance. The Chief of
Compliance may determine if the matter should be referred to the Department’s Enforcement
Committee in accordance with Department Rules and SOPs.

The Department will not execute new contracts with the entity until issues with the single audit
are resolved, unless the issue is a late audit submittal and the entity has provided
documentation of an extension received from the federal cognizant agency.]  

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

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: The Department closely
reviewed the responses to the last ACSI Survey related to monitoring and had discussion
with the Network and with the State Association. The Department has a new Director
of subrecipient monitoring and he has made concerted efforts to establish a good
working relationship with CSBG eligible entities. Monitoring staff have received
directives and audit training from the new management. Community Affairs Training
and Technical Assistance staff works closely with compliance monitors to provide CSBG
eligible entities follow-up tips and resources to address findings or concerns identified in
the monitoring reports. 2017 ACSI results, not released at the time of this Plan, will be
analyzed and considered in future plan and process development to include priority
setting, training and technical assistance, allocation of discretionary and non-
discretionary funds, customer service and communication improvements, and
monitoring procedures.]
Note: This item is associated with State Accountability Measure 45b and may pre-populate the State’s annual report form.

SECTION 11
Eligible Entity Tripartite Board

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

☐ Attend Board meetings
☒ Review copies of Board meeting minutes
☐ Keep a register of Board vacancies/composition
☐ Other: [The Department reviews board rosters and Board member election/selection material. We also get information on board vacancies on their CSBG Monthly Performance Report. Lastly, with CSBG organizational standards reviews, we get information on board vacancies/composition also.]

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

☒ Annually
☐ Biannually
☐ Quarterly
☐ Monthly
☐ Other [We also get information on board vacancies on their CSBG Monthly Performance Report. Lastly, with CSBG organizational standards reviews, we get information on board vacancies/composition.]

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: The Department has instituted a rule, in the Texas Administrative Code, that requires a subrecipient to have written procedures under which a low-income individual, community organization, religious organization, or representative of such may petition for adequate representation on the board of the eligible entity.]

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

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the State to assure decision-making and
participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act.

☐ Yes ☐ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. [Narrative: Public agencies have advisory boards and develop bylaws for the advisory board. The State requirements can be found at: http://texreg.sos.state.tx.us/public/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=10&pt=1&ch=6&rl=210 ]

SECTION 12
Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: What is the income eligibility threshold for services in the State? [Check one item below.]

☐ 125% of the HHS poverty line
☐ X % of the HHS poverty line (fill in the threshold):_____% [insert up to a 3 digit percentage]
☐ Varies by eligible entity


12.2. 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: Refer to State requirements at http://texreg.sos.state.tx.us/public/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=10&pt=1&ch=6&rl=4]

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: Refer to State requirements at
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]

☐ The Results Oriented Management and Accountability (ROMA) System
☐ Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
☐ An alternative system for measuring performance and results

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

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:]

The Department has incorporated ROMA principles in the areas of reporting, community action plans, strategic planning, community needs assessments, goal/target setting, case management, and Board trainings. Subrecipients report monthly on outcomes for family, agency and community goals identified in their community action plan. These reports are then used to evaluate subrecipient performance. An outcome matrix, tracking incremental change, is used as part of case management services; along with tools for capturing outcomes. TDHCA has 3 certified ROMA trainers on staff, with 3 more about to complete their NCRI certification, 15 eligible entities now have NCRTs on staff of which 2 are Master NCRTs, and there are 28 NCRIs nearing completion. All subrecipients have been provided “Intro to ROMA” training and have access to a ROMA trainer. In addition, ROMA is addressed in the Organizational Standards that are drafted into the state’s 2016 subrecipient contracts. Refer to State requirements at http://texreg.sos.state.tx.us/public/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=10&pt=1&ch=6&rl=207

13.1b. If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement. [Narrative: The Department will employ the ROMA System as described above.

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? [Narrative: The State assigns eligible entities a goal for the number of persons to transition out of
poverty (TOP) each year. TOP is defined as the household achieving an income above 125% FPIG. The State has issued requirements related to the systems that must be in place to assist households to TOP, refer to

http://texreg.sos.state.tx.us/public/readtac$ext.TacPage?sl=R&app=9&p_dir=&p_rloc=&p_tloc=&p_ploc=&pg=1&p_tac=&ti=10&pt=1&ch=6&rl=207 The CSBG monthly performance report includes a section where CSBG subrecipients report the number of persons working to TOP and the number of persons that successfully TOP. Subrecipients are to target their CSBG resources to assist persons to transition out of poverty and move towards self-sufficiency consistent with identified gaps in need. The subrecipients’ efforts in self-sufficiency, family stability, and community revitalization are reported using the NPIs in their CSBG monthly performance report. In FY 2018 and 2019, the Department will begin to work with eligible entities to determine if the new National Performance Indicator related to the number of persons who achieve and maintain capacity to meet basic needs for 90 days is a good way to measure self-sufficiency.

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

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

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? [Narrative: The Department has designed the CSBG training curriculum with a focus on ROMA principals. The Department has 3 certified ROMA trainers and 3 staff persons who are obtaining NCRI certifications. The state association has also assisted CSBG eligible entities in helping some of their staff to become Certified ROMA trainers. All trainings provided to subrecipients are ROMA-focused and the Department’s ROMA Certified staff members are available to provide training and technical assistance. Subrecipients can request training and technical assistance at any time and can submit questions on-line or can contact staff by phone or e-mail. The Department has developed a comprehensive video training module and accompanying materials on case management with the goal of assisting persons to transition out of poverty. This module is available on our website. The Department has set aside CSBG Discretionary funds to be used for network operational investments.]

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

13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery? [Narrative: The Department assigns each CSBG eligible entity a goal for the number of persons to transition out of poverty each program year. At the end of the program year, the Department reviews their
performance and subrecipients that did not meet their assigned goal are asked to provide a plan of action to improve performance. The Department also reviews the eligible entities’ CSBG Performance Report each month and their end of the year final report. The Department does acknowledge that quite a few subrecipients find it challenging to design and carry out community revitalization activities. The Department will continue to provide technical assistance to subrecipients to improve their performance. To assist with data use the Department provides the network with links to data sources that may be useful to them, such as the American Community Survey and the Community Action Partnership’s Community Needs Assessment Online Tool.

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

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. [Narrative: The Department develops Community Action Plan Requirements and guidance and posts this information to our website at http://www.tdhca.state.tx.us/community-affairs/csbg/guidance.htm. Annually, CSBG eligible entities must submit a Community Action Plan to the Department. Staff reviews the CAP Plans and provides technical assistance to eligible entities on improvements.]

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

13.6. State Assurance: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity’s Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. [Narrative: The Department develops Community Needs Assessment guidance and posts this information to the Department’s website at http://www.tdhca.state.tx.us/community-affairs/csbg/guidance.htm Subrecipients are required to submit a community needs assessment every 3 years. During annual CAP development, the Department works with eligible entities in analyzing data from www.communitycommons.org, their performance reports, and tying that to the most current Needs Assessment.]

Note: this response will link to the corresponding assurance, item 14.11.
SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure “that funds made available through grant or allotment will be used –

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

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

(ii) to secure and retain meaningful employment;

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

(iv) to make better use of available income;

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

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

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

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
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;

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)
service coalitions. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds.

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 Department 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: The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a description of the service delivery system, the counties served, the facilities where services are available, and information regarding how the eligible entity conducts outreach and delivers services in counties where service centers are not available. The CAP also describes how the eligible entity coordinates funds with other organizations.]

Eligible Entity Linkages – Approach to Filling Service Gaps

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

Note: the Department 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 Department 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 Department indicates funds allocated for these activities under item 7.9(f).

[Narrative: The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, subrecipients must complete a document which provides information regarding any innovative community and neighborhood-based initiatives related to the purpose of CSBG, which may include fatherhood initiatives and other initiatives which strengthen families and encourage effective parenting. A limited number of CSBG eligible entities have reported these types of initiatives. The Department will continue to work with CSBG eligible entities to promote these initiatives if such gaps are identified in their CAP. As the Department identifies information on webinars or funding opportunities related to this area, the Department shares this information with CSBG eligible entities.]

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: The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, subrecipients must complete a
document which provides information related to how the CSBG eligible entity 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. Most CSBG eligible entities work with either a local food pantry or the food bank to provide food in these circumstances. If there are no other resources available, then CSBG funds are utilized to provide nutritional support.

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 Department 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 Department 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 Department 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 Department 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 Department 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 Department describes this assurance in the Eligible Entity Tripartite Board section, 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments
14.11. 676(b)(11) Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

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

[No response for this item]

☒ By checking this box, the State CSBG authorized official is certifying the assurances set out above.
SECTION 15
Federal Certifications

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

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.2 Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

(1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For grantees other than individuals, Alternate I applies.

(4) For grantees who are individuals, Alternate II applies.

(5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee’s drug-free workplace requirements.

(6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
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).

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees’ attention is called, in particular, to the following definitions from these rules:

- **Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

- **Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

- **Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

- **Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee’s payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee’s payroll; or employees of subrecipients or subcontractors in covered workplaces).

**Certification Regarding Drug-Free Workplace Requirements**

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

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

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

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

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

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

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

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

Place of Performance (Street address, city, county, state, zip code) [Narrative:

Texas Department of Housing and Community Affairs

221 East 11th Street

Austin, Travis County, Texas 78701-2410]
Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

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

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

Instructions for Certification

(1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

(2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency’s determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

(3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal
Government, the department or agency may terminate this transaction for cause or
default.

(4) The prospective primary participant shall provide immediate written notice to the
department or agency to which this proposal is submitted if at any time the prospective
primary participant learns that its certification was erroneous when submitted or has
become erroneous by reason of changed circumstances.

(5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered
transaction, participant, person, primary covered transaction, principal, proposal, and
voluntarily excluded, as used in this clause, have the meanings set out in the Definitions
and Coverage sections of the rules implementing Executive Order 12549. You may
contact the department or agency to which this proposal is being submitted for
assistance in obtaining a copy of those regulations.

(6) The prospective primary participant agrees by submitting this proposal that, should the
proposed covered transaction be entered into, it shall not knowingly enter into any
lower tier covered transaction with a person who is proposed for debarment under 48
CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily
excluded from participation in this covered transaction, unless authorized by the
department or agency entering into this transaction.

(7) The prospective primary participant further agrees by submitting this proposal that it
will include the clause titled “Certification Regarding Debarment, Suspension,
Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the
department or agency entering into this covered transaction, without modification, in all
lower tier covered transactions and in all solicitations for lower tier covered
transactions.

(8) A participant in a covered transaction may rely upon a certification of a prospective
participant in a lower tier covered transaction that is not proposed for debarment under
48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from
the covered transaction, unless it knows that the certification is erroneous. A participant
may decide the method and frequency by which it determines the eligibility of its
principals. Each participant may, but is not required to, check the List of Parties Excluded
from Federal Procurement and Non-procurement Programs.

(9) Nothing contained in the foregoing shall be construed to require establishment of a
system of records in order to render in good faith the certification required by this
clause. The knowledge and information of a participant is not required to exceed that
which is normally possessed by a prudent person in the ordinary course of business
dealings.

(10) Except for transactions authorized under paragraph 6 of these instructions, if a
participant in a covered transaction knowingly enters into a lower tier covered
transaction with a person who is proposed for debarment under 48 CFR part 9, subpart
9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

(1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

(2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or
agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(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
deptartment 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.
ATTACHMENTS
Attachment A
Response to Question 10.2 Monitoring Policies

Compliance Division
Community Affairs Monitoring Section

Standard Operating Procedures

1.0 Risks and Control Objectives

1.1 The risks associated with not having an SOP for Assignments and Risk Assessments and the control objectives to ensure that those risks are minimized, are illustrated in the following table:

<table>
<thead>
<tr>
<th>Risks</th>
<th>Control Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>The risks associated with not having an SOP for monitoring procedures are that monitoring reviews may not be conducted or be conducted in a consistent manner and within the requirements of the Department and/or Federal requirements.</td>
<td>This SOP will minimize the risks described by providing a comprehensive process for a monitoring risk assessment, monitoring assignment and for the completion of monitoring reports and responses.</td>
</tr>
</tbody>
</table>

2.0 Policy

2.1 It is the requirement of the Texas Department of Housing and Community Affairs and its Compliance Division to perform monitoring functions of federal and state funds, in a consistent manner that is compliant with Department and Funding source requirements. The Chief of Compliance oversees three (3) monitoring sections within the Compliance Division, one (1) of which is the Compliance Subrecipient Monitoring section. The Compliance Subrecipient Monitoring director oversees the section of employees that monitor the four (4) programs that are administered by the Community Affairs Division of the Department.

3.0 General

3.1 Abbreviations
A. Texas Department of Housing and Community Affairs – Department
B. Community Affairs Division – CAD
C. Compliance Division - Compliance
D. Compliance Division Subrecipient Monitoring Section - CMSM
E. Compliance Subrecipient Monitoring Director – CMSM Director
F. Subrecipient Monitor – Compliance Monitor or Monitor
G. Community Affairs Division program awardees (Non-profit corporations, Counties, Cities, Council of Government’s) – Subrecipient
H. Weatherization Assistance Program – WAP
I. Comprehensive Energy Assistance Program – CEAP
J. Community Services Block Grant - CSBG
K. Department of Energy – DOE
L. Low Income Housing and Energy Assistance Program – LIHEAP
M. LIHEAP Weatherization Assistance Program – LI-WAP
N. Quality Control Inspector - QCI

3.2 Purpose
A. This SOP describes the Department’s methodology for monitoring Subrecipients.
B. To comply with Department rules on the administration on program funds.
C. To comply with Federal Funding source requirements for administering program funds.
D. It establishes consistent processes and procedures when monitoring CAD programs.
E. Monitoring activities are planned to focus on areas of highest risk and to help ensure the most effective use of monitoring resources.
F. To ensure the CMSM Compliance Monitors completed monitoring reports and responses within a designated time frame to ensure Subrecipients address any corrective actions in a timely manner.
G. To ensure monitoring responses are reviewed to ensure corrective actions were completed.

4.0 Responsibilities
4.1 The CMSM section is responsible for ensuring the CSBG, CEAP and WAP programs are administered and funds are expended in accordance with contract provisions and applicable State and Federal rules, regulations, policies, and related statutes.
4.2 The CMSM Director will ensure a monitoring schedule is developed that identifies the Subrecipients that are to be monitored.
4.3 According to individual program requirements and/or standards, the CMSM section will develop a list of specific compliance requirements to be reviewed. The section will also develop a methodology to review each compliance requirement consistently.

4.4 The CMSM section will perform the respective monitoring to determine Subrecipient compliance.

4.5 The CMSM monitors will notify the CMSM Director and/or Chief of Compliance if a finding or concern of fraud, waste and/or abuse were noted during a Subrecipient’s monitoring.

4.6 Within 30 days of the completion of the monitoring, the CMSM section will develop a report or correspondence, for the Subrecipient, reflecting the results of the monitoring.

4.7 The CMSM section will address the Subrecipient’s response to the report and/or close out the monitoring process.

4.8 The CMSM section will notify and work with the CAD Training section to address any findings consistent within the Subrecipient network.

5.0 Subrecipient Monitoring Selection

5.1 The CMSM section will complete a Subrecipient monitoring review schedule, at least quarterly each year. The schedule will identify the quarter in which the Subrecipient will be monitored.

5.2 The CMSM section utilizes the most efficient use of its travel and monitoring budget, as its methodology in developing the Subrecipient monitoring review schedule. The schedule takes into account the program contract periods and may require Compliance Monitors to review multiple programs during the review.

5.3 The Department’s schedule is used as a planning tool and is subject to change. The CMSM Section may encounter situations that arise and cause Subrecipients to be monitored in a different month or more frequently than what is identified in the schedule. These situations may include:

1. Subrecipient and who may not or have not met the minimum on-site monitoring threshold.

2. Monitor(s) attempt to schedule a monitoring and provides proposed monitoring dates. However, the Subrecipient is unable to accommodate the monitoring during the proposed dates.

4. The Department receives fraud, waste and/or abuse concerns against a Subrecipient.

5. The Department receives a credible complaint against a Subrecipient.

5.4 As needed, the Compliance Division will also factor in the results of a Subrecipient’s prior monitoring review and/or Single Audit findings when determining the monitoring
5.5 At a minimum:
   A. DOE Subrecipients will be monitored at least once each year (July-June);
   B. LIHEAP Subrecipients will be monitored at least once every three (3) years (Triennial).
   C. CSBG Subrecipients will be monitored at least once every three (3) years (Triennial).

6.0 Determining Compliance Requirements

6.1 The CMSM section will review Subrecipient’s compliance with program requirements, contract provisions and Federal, State, local government rules and regulations.

A. The CMSM section will determine compliance on specific contract provisions, rules, regulations and/or program requirements are most applicable to be reviewed or required to be reviewed by the funding source. The CMSM section will verify if the Subrecipients have complied with the requirements. The CMSM section will utilize a monitoring tool (instrument) that identifies the areas of compliance that will be reviewed. The monitoring tool will have a methodology to reflect the process used to determine compliance of each selected contract provision, rule, regulation and/or requirement.

B. The monitoring tool will be in electronic format and the CMSM section will enter the selected compliance requirements into the document.

C. The monitoring tool will be maintained in the Department’s monitoring software (Teammate).

6.2 The monitoring tool and the list of compliance requirements that are to be reviewed may be revised, updated, or changed from period to period due to program, legislative and/or budget changes.

A. The listed monitoring tool is reviewed on a continual basis, during the federal fiscal year or Subrecipient program year (as applicable), to account for changes in rules and/or program requirements.

7.0 Monitoring Announcement

7.1 After it has been determined which Subrecipients will be monitored, the CMSM Director will assign monitors, to the Subrecipients who will be monitored. The CMSM Director will determine the method of distributing the Subrecipients to the Monitors.
7.2 The Monitor will contact each of the assigned Subrecipients and schedule future on-site monitoring. The Monitor will make every attempt to provide the Subrecipient with a minimum of 30 days notice prior to the visit.

A. On occasions, the monitoring may occur with fewer than 30 days notice. Situations that may warrant a monitoring occurring with fewer than 30 days notice include:
   1. The Subrecipient notifies the Department that it is not able to be monitored the proposed week and chooses the monitoring date.
   2. The Department receives credible fraud, waste and/or abuse concerns against a Subrecipient requiring little to no notice of the monitoring.
   3. The Department receives a credible complaint against a Subrecipient requiring little to no notice of the monitoring.

7.3 After the monitoring date has been confirmed, the Monitor will complete a Monitoring Announcement letter.

7.4 When the announcement letter has been completed, the document will be scanned and saved to the Subrecipient’s respective Monitoring file within the computerized Monitoring Software.

7.5 If a Subrecipient has an email address, the scanned version will be emailed and the original document will be mailed to the Subrecipient. If applicable, a copy of the announcement letter will be sent to appropriate individuals.

7.6 The Monitoring Announcement letter should be sent to the Subrecipient as soon as the monitoring dates have been set, but no less than two (2) weeks prior to the monitoring.

7.7 In some instances a Monitoring Announcement letter may be submitted less than two (2) weeks from the scheduled monitoring. This may occur when 7.2 A (1) is met.

7.8 In some instances a Monitoring Announcement letter may not be submitted to the Subrecipient prior to the monitoring. This may occur when 7.2 A (2) and (3) are met.

8.0 Performing the On-site Monitoring

8.1 The CMSM section will utilize electronic monitoring tool to review the selected compliance requirements and to document the Subrecipients compliance with the specific requirement.

8.2 If the appropriate Subrecipient staff is available, the Monitor will have an Entrance Conference prior to the start of the monitoring. In the Entrance Conference the Monitor will provide a brief summary of the on-site monitoring process and/or the on-site
monitoring plan. The Monitor will also utilize this time to answer Subrecipient questions that are specific to the monitoring and/or the programs.

8.4 After the Entrance conference, the Monitor will review the compliance requirements and perform the methodology to determine compliance with the selected requirements. The monitor will complete each question and section of the selected compliance requirements on electronic testing documents. The CMSM section will document the reason for the inability to verify any of the selected compliance requirements.

A. Weatherization Assistance Program (“WAP”) Monitorings- may be performed as a Full Monitoring or as a Unit Inspection.

1. A Full WAP Monitoring will consist of the Compliance Monitor performing a review to determine compliance with Financial and Expenditure requirements, Administrative requirements, client eligibility requirements and performing an inspection of weatherized units.
   a. The monitoring tool

2. Unit Inspection monitoring consists of the Compliance Monitor reviewing weatherization client files for compliance and eligibility requirements and performing an inspection of the weatherized unit.

3. Client file reviews and Unit Inspections will vary according to the funding source used to weatherize the unit. When units are weatherized with LIHEAP funding only, the Compliance Monitor will review the weatherized work based on an established Priority Rating sheet. When units are weatherized with DOE funding only, or with DOE and LIHEAP funds only, the Compliance Monitor will review the weatherized work based on an approved Energy Audit. Compliance Monitors will be required to have all applicable field tests performed during the Unit Inspection. The Compliance Monitor may choose to perform the field test themselves or supervise a Subrecipient’s performance of the field test. The Compliance Monitor must document the results of the field tests.

4. The Compliance Monitor will utilize the following as a guide when determining the number of units to inspect. The actual number of units inspected will vary according to the various programs being monitored during the same visit.
   a. When a Compliance Monitor is conducting a full monitoring during a single visit, the Compliance Monitor will perform a minimum of:
      i. five (5) unit inspections when there is more than one (1) program being monitored;
      ii. eight (8) unit inspections when there are no other programs being monitored.
   b. When a Compliance Monitor is conducting a Unit Inspection Monitoring during a single visit, the Compliance Monitor will perform a minimum of:
      i. eight (8) unit inspections when there is more than one (1) program being monitored;
      ii. twelve (12) unit inspections when there are no other programs being monitored.
c. A Compliance Monitor may not be able to monitor the minimum number of weatherized units if:
   i. the Subrecipient does not have enough completed weatherized units;
   ii. the geographical location of the weatherized homes prohibits the ability to inspect units;
   iii. inclement weather persists.

5. The CMSM Section will be required to monitor a minimum of 5% of all completed weatherized units (at the time of the monitoring) that are funded by DOE and inspected by a QCI who was not involved in the assessment of the weatherized unit. The CMSM Section will monitor a minimum of 10% of all completed weatherized units (at the time of the monitoring) that were inspected by a QCI that was involved in the assessment of the weatherized unit. The CMSM section will utilize the monitoring tracking database to track the number of units that have been inspected. The Department will also review Monthly Expenditure Reports to track the number of total completed units and will adjust the monitoring schedule to ensure that it meets the minimum number of units inspected.

B. Community Services Block Grant
   1. A CSBG Monitoring review will consist of the Compliance Monitor performing a review to determine compliance with Financial and Expenditure requirements, Administrative requirements and client eligibility requirements.
   1. The monitoring tool’s methodology identifies the minimum number of expenditures and client files to review.

C. Comprehensive Energy Assistance Program
   2. A CEAP Monitoring review will consist of the Compliance Monitor performing a review to determine compliance with Financial and Expenditure requirements, Administrative requirements and client eligibility requirements.
   3. The monitoring tool’s methodology identifies the minimum number of expenditures and client files to review.

8.5 When the respective methodology is not enough to determine compliance, the Monitor will make every effort to determine if the requirement is compliant. This may require the Monitor to perform additional testing, request additional information or clarification from Subrecipient staff and/or request assistance from peer Monitors, CA Division staff, the CMSM Director or the Chief of Compliance.

8.6 The Monitor will obtain and maintain the appropriate documentation to justify any finding, disallowed and/or questioned cost.

8.7 Prior to the Exit Conference and time permitting, the Monitor will make every effort to inform Subrecipient staff of any issues and findings at the discretion of the Subrecipient.

8.8 The Monitor will notify the CA Trainers of the Subrecipient’s need for Training and/or Technical Assistance if necessary.
8.9 If the Monitor is unable to complete the monitoring during the specified period, the Monitor must notify the CMSM Director of the circumstance(s) that resulted in the inability to complete the monitoring. The CMSM Director will determine the appropriate course of action to complete the monitoring. The Monitor must notify the Subrecipient that additional time is required to complete the monitoring and of the course of action that was determined by the CMSM Director. The inability to complete the monitoring and the course of action must be documented in the computerized Monitoring Software or the Monitoring Instrument.

8.10 Time permitting and if the appropriate Subrecipient staff are available, the Monitor will make every attempt to provide the Subrecipient with an on-site Exit Conference. The Exit Conference is intended to explain, to the Subrecipient, the preliminary results of the monitoring. In some situations the Subrecipient may be provided a few days to submit documentation, if the documentation was not readily available during the onsite visit. In this situation, an Exit conference may not be conducted on-site.

8.11 If an on-site exit conference cannot be completed, the Monitor will schedule an Exit conference via conference call. The call will typically occur within 5 business days from the last day the monitoring.

8.12 The Monitor(s) will create electronic copies of all applicable monitoring documents and/or Finding support documentation obtained during the review. The Monitor will save the electronic copies to the electronic testing documents and/or to the Subrecipient’s respective monitoring folder.

9.0 Monitoring Report

9.1 The Monitor(s) will be required to develop a report, detailing the results of the monitoring. Each Monitoring Report will contain general program information and/or a brief description of the monitoring process that was performed. If applicable, the monitoring report will contain:

A. Finding
   1. A brief and concise description of the lack of compliance of a specific program requirement;
   2. A brief description of the program requirement;
   3. A description of any disallowed or questioned cost; and
   4. The respective reference for program compliance.

B. Action Required
   1. A brief requirement for the Subrecipient to meet;
2. A requirement for the Subrecipient to complete a specific action to resolve the finding;

3. A requirement for the Subrecipient to provide a reimbursement, documents, an assurance and/or a response to the monitoring report.

C. If there were findings of noncompliance, a 30 calendar day corrective action deadline. If there were no Findings or Required Action, the Monitoring Report will reflect that no response is required and that the Monitoring Review is considered closed.

9.2 Monitors are expected to, on average, complete monitoring letters within 30 calendar days from the last day of the onsite visit. However, DOE-WAP monitoring letters must be completed within 30 calendar days.

9.3 The Monitor(s) will make an electronic copy of the Monitoring Report and save the copy to the Subrecipient’s respective monitoring file within the computerized Monitoring Software. If a Subrecipient has an email address, the scanned version will be emailed. A hard copy report will be mailed to the Subrecipient if email is not an option.

9.4 At a minimum, the Monitor will send the original copy of the Monitoring Report to the Subrecipient and a copy of the report to the Subrecipient’s Board Chair or the assigned Board representative.

9.5 The date the monitoring report is considered complete and submitted to the Subrecipient, is when the report is emailed or mailed to the Subrecipient.

10.0 Response to the Monitoring Report

10.1 The Subrecipient will be provided a 30 day corrective action period which can be extended for good cause by the Chief of Compliance.

10.2 The Monitor(s) is responsible for tracking corrective action due dates. If the Department has not received the Subrecipient’s response, the Monitor(s) will submit a letter to the Subrecipient, notifying them of the delinquent response. The Monitor will document that a letter was sent to the Subrecipient, in the “Notes” area of the Monitoring Tracking System.

10.3 If the Subrecipient’s response is submitted as a paper document, the Monitor will make an electronic copy of the response. The Monitor will then save the copy to the Subrecipient’s respective Monitoring File within the electronic software.

10.4 The Monitor(s) will review the Subrecipient’s response to the report for compliance with the specific Finding’s required action and program rules, regulations and requirements.
10.5 Within 45 business days of the receipt of the response, the Monitor(s) will provide correspondence to the Subrecipient addressing each Finding and/or required action. For each Finding, the monitor(s) will:

A. Briefly state the Finding that occurred;

B. The Subrecipient’s response and/or documentation;

C. Any concern or question posed in the Subrecipient’s response;

D. The results of the Department’s review of the response and/or documentation;

E. Necessary information to address the Subrecipient’s concern or question;

F. If the response and/or documentation is acceptable to resolve the Finding;

G. If the Finding is resolved;

H. If applicable, the Finding is closed;
   i. A Finding will not be considered resolved, but closed when the Department believes the Subrecipient’s required action is not obtainable. The Subrecipient will no longer be required to complete the required action.
   ii. The Department should consider the efforts the Subrecipient made to resolve the Finding.
   iii. A “Closed” Finding will not be used on the Required Action of a Subrecipient to reimburse the Department for disallowed expenditures.

I. If applicable, the required action to resolve the Finding.

J. Provide the Subrecipient 30 calendar days from the date of the letter, to respond to any unresolved Findings and/or required actions.

10.6 The Monitor(s) will make an electronic copy of the document addressing the Subrecipient’s response to the report. The Monitor will save the copy to the Subrecipient’s respective monitoring file and to the computerized Monitoring Software. If a Subrecipient has an email address, the scanned version will be emailed and the original document will be mailed to the Subrecipient. If applicable, a copy of the document will be sent to appropriate individuals.

10.7 If the Subrecipient’s response did not resolve the Findings and/or required actions of the monitoring report, the Monitor(s) will keep abreast of the Subrecipient’s 30 day response period. If the Department has not received the Subrecipient’s response, the Monitor(s) will submit a letter to the Subrecipient, notifying them of the delinquent response. The Monitor will document that a letter was sent to the Subrecipient, in the “Notes” area of the Monitoring Tracking System.
10.8 When the Subrecipient submits the response from 10.7, the Monitor(s) will continue at 10.2 of the Monitoring SOP. If the Monitor completes Section 10.5 of the SOP and determines the Subrecipient’s response to Finding(s) and/or required action(s) to remain unresolved, the Monitor will continue with 10.6 and 10.7 of the SOP. However, the Monitor will utilize a 10 calendar day response period for the Subrecipient to resolve the Finding(s) and/or required action(s). If the Department has not received the Subrecipient’s response, the Monitor(s) will submit a letter to the Subrecipient, notifying them of the delinquent response. The Monitor will document that a letter was sent to the Subrecipient, in the “Notes” area of the Monitoring Tracking System.

10.9 Similarly, when the Subrecipient submits the response from 10.8, the Monitor(s) will continue at 10.2 of the Monitoring SOP. If the Monitor completes Section 10.5 of the SOP and determines the Subrecipient’s response to Finding(s) and/or required action(s) to remain unresolved, the CMSM Director will notify the Chief of Compliance. The Chief of Compliance may determine if the matter should be referred to the Department’s Enforcement Committee in accordance with Department Rules and SOPs.

10.10 If a Subrecipient has submitted its second response and is still not able to comply with the required action(s), the Monitor(s) will note in its subsequent correspondence that the Subrecipient is able to request a meeting with the Department’s Compliance committee. The Subrecipient may request the committee to review the validity of the Finding or to appeal the required action.

A. The Subrecipient must include in its subsequent response that it request a meeting with the Compliance committee.

B. Once the request has been received, the Department will follow the rules and the SOP’s pertaining to the Compliance committee.

APPROVAL:

Earnest Hunt 3/24/2017
Compliance Subrecipient Monitoring Director