

STATE OF ILLINOIS

COMMUNITY SERVICES BLOCK GRANT STATE PLAN Federal Fiscal Year 2012 – 2013

Helping People, Changing Lives

**ILLINOIS DEPARTMENT OF COMMERCE AND ECONOMIC
OPPORTUNITY**

**Warren Ribley
Director**

**Pat Quinn
Governor**

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Section I. Federal Fiscal Year

This is the Illinois CSBG State Plan which covers FFY 2012 – 2013.

Draft

Section II. Letter of Transmittal

This section contains the required cover letter to the Director of the Office of Community Services.

Draft

August 10, 2011

Ms. Yolanda J. Butler, Ph.D.
Acting Director
Administration for Children and Families
Office of Community Services – Division of State Assistance
U.S. Department of Health and Human Services (HHS)
370 L'Enfant Promenade S.W., 5th Floor West
Washington, D.C. 20447

Re: Illinois CSBG State Plan 2012 - 2013 – Transmittal Letter

Dear Acting Director Butler:

On behalf of the State of Illinois, I am submitting the 2012 – 2013 State of Illinois Community Services Block Grant (CSBG) State Plan.

As required by Section 676(a) of the Community Services Block Grant Act, Governor Pat Quinn has designated the Illinois Department of Commerce and Economic Opportunity (DCEO) to administer the CSBG program on behalf of Illinois. Within the DCEO, the Bureau of Community Development's deputy director and CSBG program staff have the lead role in ensuring that the provisions of the program are carried out.

DCEO continues its ongoing mission to work effectively under the CSBG program and Illinois' network of Community Action Agencies (CAAs) to facilitate the program and to advance community and economic development in Illinois. This effort has significantly enhanced the quality of life and diminished the conditions of poverty for many Illinois residents. It is our intent to continue this same effort. This plan, to support CSBG funding for eligible activities during FFY 2012 and 2013, reflects the efforts and commitment of our CSBG program and partnerships to address the causes as well as effects of poverty in Illinois in an accountable and successful manner.

Please direct any correspondence regarding the CSBG program to DCEO's CSBG program manager, Ms. Gail Hedges, at the following address:

Illinois Department of Commerce and Economic Opportunity
500 E. Monroe Street, R2
Springfield, IL 62701
Telephone: (217) 785-6156; Fax: (217) 558-4107
Gail.Hedges@illinois.gov

Thank you for your consideration of Illinois' CSBG 2012 - 2013 State Plan.

Sincerely,

Warren Ribley
Director

Cc: Brandy RayNor, HHS
Maria Rogers, HHS
Maureen Palmer, Deputy Director, Office of Community Development

Section III. Executive Summary

A. CSBG State Legislation

On December 9, 1983, the State of Illinois enacted the Illinois Economic Opportunity Act (P.A. 83-978, 20 ILS 625/1-5). Under this Act, the Director of the Illinois Department of Commerce and Economic Opportunity (“DCEO” or “Department”) is authorized to administer the federal Community Services Block Grant program and other federal programs designed to remedy the causes and effects associated with poverty in various areas of the State.

B. Designation of Lead State Agency to Administer the CSBG Program

As required by Section 676(a) of the Community Services Block Grant Act, the Department has been designated by Governor Pat Quinn as the agency to administer the CSBG program for the State. Within the Department, the Bureau of Community Development’s Division of Economic Opportunity has the primary role in ensuring that the provisions of the program are carried out.

Designated State Lead Agency: Illinois Department of Commerce and Economic Opportunity

Director/Administrator of Designated State Agency: Warren Ribley, Director

A letter of designation follows.

C. Public Hearing Requirement

1. Public Hearing [676(a)(2)(B)]

Public hearings were held on the proposed 2012 - 2013 CSBG State Plan on August 17, 2011, at the two offices of the Illinois Department of Commerce and Economic Opportunity located at 500 E. Monroe Street in Springfield, Illinois, and 100 West Randolph Street in Chicago, Illinois. Notices were published throughout the state informing individuals of the public hearings and of an opportunity to provide written comments. No comments were received. The minutes from these public hearings can be found in the appendices.

2. Legislative Hearing of State Plan

The Illinois legislature conducted public hearings on the proposed use and distribution of CSBG funds for federal fiscal years 2012 - 2013. The hearings were held by the Illinois Senate Appropriations Committee on April 7, 2011, and by the Illinois House of Representatives Appropriations Committee on March 23, 2011. Both hearings were held at the Illinois State Capital. Documentation of these hearings can be found in the appendices.

3. Public Inspection of State Plan:

Copies of the 2012 - 2013 CSBG State Plan were sent to the community action agency directors for review and comments. A legal notice of availability for public inspection and comment was published in the official state newspaper and one other newspaper of general circulation in the State. The draft plan was also posted on the Department of Commerce and Economic Opportunity website, http://www.illinoisbiz.biz/dceo/Bureaus/Community_Development/Low+Income+Support/, for access by the public.

Draft

August 19, 2011

The Honorable Kathleen Sebelius
Secretary of Health and Human Services
U.S. Department of Health and Human Services
200 Independence Avenue, SW
Washington, D.C. 20201

Re: Governor Quinn's Designee for Illinois' CSBG Program

Dear Secretary Sebelius:

This letter is to inform you that I have designated the Illinois Department of Commerce and Economic Opportunity (DCEO) as the agency to administer the Community Services Block Grant (CSBG) program on behalf of Illinois. Warren Ribley, Director of DCEO, will oversee the CSBG program activities on behalf of the department, with support from staff within DCEO's Community Development office.

In 1981, DCEO was designated the agency to administer the CSBG program, and has continued to administer this program on behalf of Illinois since the program began. The CSBG State Plan submission will constitute my certification that the assurances contained in Section 676 of the CSBG Act (Pub. L. 105-285, 42 U.S.C.A. 9908) will be implemented in accordance with Section IV of the application.

Illinois will submit the CSBG 2012 - 2013 State Plan, covering federal fiscal years 2012 and 2013, within the timeframe outlined by the U.S. Department of Health and Human Services (HHS). This submission is to satisfy the CSBG enabling legislation requirements and implementing regulations. The Illinois CSBG 2012 - 2013 State Plan will be prepared with suggestions and comments from a variety of interested parties, and represents a program design that will effectively meet the needs of a large segment of low-income population across Illinois.

The State of Illinois again looks forward to working with the U.S. Department of Health and Human Services in carrying out the provisions of the CSBG program for federal fiscal years 2012 - 2013.

Please direct correspondence about Illinois' CSBG program updates and activities to:

Illinois Department of Commerce and Economic Opportunity
Office of Community Development
Attn: Gail Hedges, CSBG Program
500 E. Monroe Street, R2
Springfield, IL 62701

Sincerely,

Pat Quinn
Governor

Cc: Warren Ribley, Director
Illinois Department of Commerce and Economic Opportunity

Maureen Palmer, Deputy Director, Office of Community Development
Illinois Department of Commerce and Economic Opportunity

Gail Hedges, CSBG Program Manager, Office of Community Development
Illinois Department of Commerce and Economic Opportunity

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Section IV. Statement of Federal and CSBG Assurances

As part of this application and plan required by Section 676 of the Community Services Block Grant Act, as amended (The Act), the Illinois Department of Commerce and Economic Opportunity hereby agrees to the Assurances in Section 676 of the Act.

A. Programmatic Assurances

1. Funds made available through this 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:
 - i. remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - ii. secure and retain meaningful employment;
 - iii. attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - iv. make better use of available income;
 - v. obtain and maintain adequate housing and a suitable living environment;
 - vi. obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - vii. 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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
 - b. To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative

community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and

- c. To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [676(b)(1)]
2. To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; [676(b)(2)]
3. To provide information provided by eligible entities in the State, including:
 - a. a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - b. a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
 - c. a description of how funds made available through grants made under Section 675C(a) will be coordinated with other public and private resources; and
 - d. a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [676(b)(3)]
4. To ensure 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. [676(b)(4)]
5. That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; [676(b)(5)]

6. To 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 communities. [676(b)(6)]
7. To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. [676(b)(7)]
8. That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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) of the Act. [676(b)(8)]
9. 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. [676(b)(9)]
10. To 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. [676(b)(10)]
11. To secure from each eligible entity in the State, as a condition to receipt of funding, 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; [676(b)(11)]
12. 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, or another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. [676(b)(12)]
13. To provide information describing how the State will carry out these assurances. [676(b)(13)]

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

1. To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. [675A(b)]
2. To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. [675C(a)(1) and (2)]
3. In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1), the State agrees to redistribute the recaptured funds to the same eligible entity. [675C(a)(3)]
4. To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A of the State allotment received under section 675B for administrative expenses, including monitoring activities. [675C(b)(2)]
5. In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675C(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [675C(c)]
6. That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or 675B for the period covered by the State plan. [676(a)(2)(B)]
7. That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities. [676(a)(1)]
8. To hold at least one legislative hearing every three years in conjunction with the development of the State plan. [676(a)(3)]
9. To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [676(e)(2)]
10. To conduct the following reviews of eligible entities:
 - a. full on-site review of each such entity at least once during each three-year period;
 - b. an on-site review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;

- c. follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - d. other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [678B(a)]
11. In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
- a. inform the entity of the deficiency to be corrected;
 - b. require the entity to correct the deficiency;
 - c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved not later than 30 days after receipt;
 - e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [678(C)(a)]
12. To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
13. To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amounts to which the State is or may become entitled under the community services block grant program. [678D(a)(3)]
14. To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. [678E(a)(1)]
15. To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under `678E(a)(2) of the Act.
16. To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.
17. To ensure that programs assisted by community services block grant funds

shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity.[^{678F(b)}]

18. To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [^{678F(c)}]
19. To consider religious organizations on the same basis as other non-government organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious organization to alter its form of internal government except as proved under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [⁶⁷⁹]

C. Other Administrative Certifications

The State also certifies the following:

1. To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.
2. To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Warren Ribley, Director

Date

Illinois Department of Commerce and Economic Opportunity

Section V. The Narrative State Plan

A. Administrative Structure

1. State Administrative Agency

a. Mission and Responsibilities of the Department

The Department of Commerce and Economic Opportunity (DCEO) is the lead state agency responsible for improving Illinois' competitiveness in the global economy. Guided by an innovative regional approach, DCEO administers a wide range of economic and workforce development programs, services and initiatives designed to create and retain high quality jobs and build strong communities. DCEO leads the Illinois economic development process in partnership with businesses, local governments, workers and families.

Goals and Objectives of the Department

The Department has established the following goals and objectives:

- i. **Create and Retain Illinois Jobs:** Provide business investments to create and retain jobs. Target investments to key regional industries and clusters. Ensure accountable and cost-effective business investments. Work to increase Illinois exports and foreign direct investment.
- ii. **Invest in the Illinois Workforce:** Continue developing best practices and policy innovations in Illinois' administration of the Workforce Investment Act (WIA) program. Provide incumbent worker, college readiness and workplace readiness training.
- iii. **Develop Illinois' Community Infrastructure and Quality of Life:** Invest in critical public infrastructure to enable economic growth. Improve the economic well-being of disadvantaged communities and households. Promote tourism development to enhance quality of life and stimulate economic growth.
- iv. **Build a Statewide Culture of Innovation and Entrepreneurship:** Build an entrepreneurial culture and help small businesses maintain competitiveness in the global economy. Help Illinois manufacturers innovate to maintain competitiveness in the global economy. Establish Illinois as a technology and research commercialization leader.
- v. **Promote Energy Independence:** Work to secure passage of the Governor's Energy Independence Plan. Support the Governor's global climate change reduction initiative. Work to increase

renewable and sustainable energy and environmental portfolio standards.

- vi. Catalyze Growth in the Industries of Tomorrow: Perform labor market, industry trend and cluster analysis to inform investment strategies. Work to maintain and expand Illinois' dominance in the biotechnology sector. Position Illinois as a national leader in the homeland security and film production sectors.

2. Eligible Entities

- a. A list of Illinois' eligible entities (community action agencies) follows. There are 36 community action agencies and the Illinois Migrant Council, a statewide migrant organization that comprise this list of eligible entities.
- b. A map of Illinois's eligible entities (community action agencies) identifying geographic areas follows.

COMMUNITY ACTION AGENCIES

1. **BCMW Community Services, Inc.**
909 East Rexford Street P. O. Box 729
Centralia, IL 62801-0729
618-532-7388
Counties Served: Bond, Clinton, Marion,
Washington
2. **Carver Community Action Agency**
311 East Main Street, Suite 606
PO Box 28
Galesburg, IL 61402-0028
309-342-0158
County Served: Knox
3. **CEFS Economic Opportunity Corporation**
1805 South Banker Street PO Box 928
Effingham, IL 62401-0928
217-342-2193
Counties Served: Christian, Clay, Effingham,
Fayette, Montgomery, Moultrie, Shelby
4. **Community Action Partnership of Central Illinois**
1800 Fifth Street
Lincoln, IL 62656-9117
217-732-2159
Counties Served: DeWitt, Logan, Mason,
Menard, Piatt, Fulton
5. **Champaign County Regional Planning Comm.**
1776 East Washington Street
PO Box 17760
Urbana, IL 61803-7760
217-328-3313
County Served: Champaign
6. **Chicago Dept. of Family & Support Serv.**
1615 West Chicago Avenue, 2nd Fl
Chicago, IL 60622-5127
312-743-1496
County Served: Cook (city)
7. **Community and Economic Development Association of Cook County, Inc.**
208 South LaSalle Street, Suite 1900
Chicago, IL 60604-1001
312-207-5444 or 312-795-8844
County Served: Cook (suburban)
8. **Crosswalk Community Action Agency**
410 West Main Street
West Frankfort, IL 62896-2259
618-937-3581
Counties Served: Franklin, Jackson,
Jefferson, Williamson
9. **Decatur-Macon County Opportunities**
1122 East Marietta Street
Decatur, IL 62521-1324
217-428-0155
County Served: Macon
10. **DeKalb County Dept. of Comm. Serv.**
2550 N. Annie Glidden Road
DeKalb, IL 60115-1297
815-758-3910
County Served: DeKalb
11. **DuPage County Dept. of Comm. Serv.**
421 North County Farm Road
Wheaton, IL 60187
630-407-6500
County Served: DuPage
12. **East Central Illinois CAA**
56 North Vermilion Street
P.O. Box 1335
Danville, IL 61834-1335
217-443-2761
Counties Served: Ford, Iroquois, Vermilion
13. **Embarras River Basin Agency, Inc.**
400 West Pleasant
PO Box 307
Greenup, IL 62428
217-923-3113
Counties Served: Clark, Coles, Crawford,
Cumberland Douglas, Edgar, Jasper, Lawrence,
Richland
14. **Illinois Valley Economic Development Corp.**
223 South Macoupin Street
PO Box 88
Gillespie, IL 62033-0088
217-839-4431
Counties Served: Calhoun, Greene, Jersey, Macoupin
20. **MCS Community Services**
345 West State Street
Jacksonville, IL 62650
217-243-9404
Counties Served: Cass, Morgan, Scott
21. **Mid Central Community Action, Inc.**
1301 W. Washington St.
Bloomington, IL 61701
309-829-0691
Counties Served: Livingston, McLean

15. **Kankakee County Community Services, Inc.**
657 East Court Street, Suite 207
Kankakee, IL 60901
815-933-7883
County Served: Kankakee
16. **Kendall-Grundy Community Service**
811 W. John Street
Yorkville, IL 60560
630-553-9100
Counties Served: Grundy, Kendall
17. **Community Action Partnership of Lake County**
1200 Glen Flora, PO Box 9059
Waukegan, IL 60079-9059
847-249-4330
County Served: Lake
18. **Madison County Community Development**
130 Hillsboro Avenue, Suite 100
Edwardsville, IL 62025
618-692-8940
County Served: Madison
19. **McHenry County Housing Authority**
1108 North Seminary Avenue
PO Box 1109
Woodstock, IL 60098
815-338-7752
County Served: McHenry
20. **Shawnee Development Council, Inc.**
530 West Washington
P.O. Box 298
Karnak, IL 62956
618-634-2201
Counties Served: Alexander, Hardin, Johnson,
Massac, Pope, Pulaski, Union
21. **St. Clair County CAA**
19 Public Square, Suite 200
Belleville, IL 62220
618-277-6790
County Served: St. Clair
22. **Tazwood Community Services, Inc.**
Field Shopping Center
2005 South Main Street
Morton, IL 61550
309-266-9941
Counties Served: Tazewell, Woodford
23. **Northwestern Illinois CAA**
103-109 North Chicago Avenue
Freeport, IL 61032
815-232-3141
Counties Served: JoDaviess, Stephenson
24. **Peoria Citizens Committee for Economic Opportunity, Inc.**
711 West McBean Street
Peoria, IL 61605
309-671-3900
County Served: Peoria
25. **Project NOW, Inc.**
418 19th Street
PO Box 3970
Rock Island, IL 61204
309-793-6391
Counties Served: Henry, Mercer, Rock Island
26. **Rockford Human Services Department**
500 North Court Street
Rockford, IL 61103
815-987-5711
Counties Served: Boone, Winnebago
27. **Sangamon County Department of Community Resources**
2833 S. Grand Ave East Suite C100
Springfield, IL 62701
217-535-3120
County Served: Sangamon
28. **Two Rivers Regional Council of Public Officials**
1125 Hampshire
Quincy, IL 62301
217-224-8171
Counties Served: Adams, Brown, Pike,
Schuyler
29. **Wabash Area Development, Inc.**
110 Latham Street
PO Box 70
Enfield, IL 62835
618-963-2387
Counties Served: Edwards, Gallatin,
Hamilton, Saline, Wabash, Wayne, White
30. **Western Egyptian Economic Opportunity Council**
#1 Industrial Park
PO Box 7
Steeleville, IL 62288
618-965-3458
Counties Served: Monroe, Perry, Randolph

30. **Tri-County Opportunities Council**
405 Emmons Avenue
PO Box 610
Rock Falls, IL 61071
815-625-7830 or 800-323-5434
Counties Served: Bureau, Carroll, LaSalle,
Lee, Marshall, Ogle, Putnam, Stark, Whiteside
31. **Two Rivers Head Start**
1661 Landmark Road
Aurora, IL 60506
630-264-1444
County Served: Kane
35. **Western Illinois Regional Council**
223 South Randolph Street
Macomb, IL 61455
309-837-3941
Counties Served: Hancock, Henderson,
McDonough, Warren
36. **Will County Center for Community Concerns**
304 North Scott Street
Joliet, IL 60432
815-722-0722
County Served: Will
37. **Illinois Migrant Council**
28 East Jackson Blvd, Suite 1600
Chicago, IL 60604
312-663-1522
Counties Served: Statewide

COMMUNITY ACTION AGENCIES

1. BCMW Community Services, Inc.

2. Carver Community Action Agency

3. CEFS Economic Opportunity Corporation

4. Community Action Partnership of Central Illinois

5. Champaign County Regional Planning Commission

6. Chicago Dept. of Family & Support Services

7. Community and Economic Development Association of Cook County, Inc.

8. Crosswalk Community Action Agency

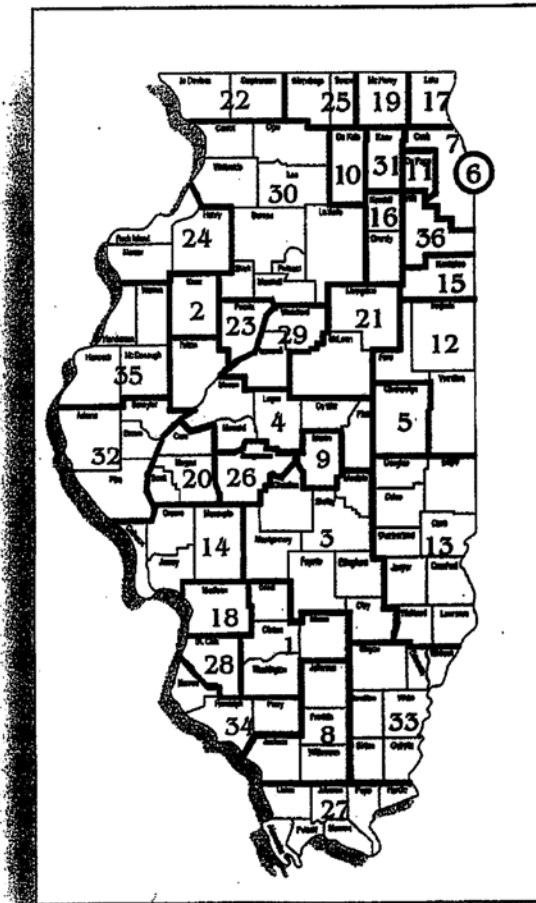
9. Decatur-Macon County Opportunities Corporation

10. DeKalb County Department of Community Services

11. DuPage County Department of Community Services

12. East Central Illinois Community Action Agency

13. Embarras River Basin Agency, Inc.



24. Project NOW Inc.

25. Rockford Human Services Department

26. Sangamon County Department of Community Resources

27. Shawnee Development Council, Inc.

28. St. Clair County Community Action Agency

29. Tazewood Community Services Inc.

30. Tri-County Opportunities Council

31. Two Rivers Head Start

32. Two Rivers Regional Council of Public Officials

14. Illinois Valley Economic Development Corporation

19. McHenry County Housing Authority

33. Wabash Area Development, Inc.

15. Kankakee County Community Services, Inc.

20. MCS Community Services

34. Western Egyptian Economic Opportunity Council

16. Kendall-Grundy Community Action

21. Mid Central Community Action, Inc.

35. Western Illinois Regional Council

17. Community Action Partnership of Lake County

22. Northwestern Illinois Community Action Agency

36. Will County Center for Community Concerns

18. Madison County Community Development

23. Peoria Citizens Committee for Economic Opportunity

Statewide Organization:
Illinois Migrant Council

3. Distribution and Allocation of Funds

- a. Illinois will allocate 90% of the funding to eligible entities (community action agencies) in accordance with the CSBG Act, Section 675C(a)(1). Individual community action agency allocations will be based on the portion of the state's poverty index in the designated area. The allocation of funds follows.

DRAFT

2012 CSBG Allocations

| | |
|----------------------------------|---------------------|
| | Proposed |
| Illinois CSBG Allocation Amount: | \$31,959,778 |
| 2012 CSBG 90% | \$28,763,800 |
| Scholarship Transferred from 5%: | \$205,000 |
| Total Allocated to CAAs: | \$28,968,800 |

| IL's REGIONAL CSBG-FUNDED AGENCIES | COUNTIES SUPPORTED | PROPORTION OF STATE POVERTY (Distribution based on Regional Poverty Share) | FORMULA FUNDING (Total 90% of Entire CSBG Funding) | SCHOLARSHIP PROGRAM (Totals >1% (.006237) of Entire CSBG Funding) | 10% CAT D REQUIREMENT (Totals 10% of the CAA Formula Funding) | TOTAL FUNDING |
|------------------------------------|-------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------|----------------------------------------------------------------------|------------------------------------------------------------------|---------------|
| BCMW Community Services | Bond, Clinton, Marion, Washington | 0.78157 | \$223,686 | \$5,000 | \$22,369 | \$228,686 |
| Carver CAA | Knox | 0.44598 | \$127,640 | \$3,000 | \$12,764 | \$130,640 |
| CEDA of Cook Co. | Cook (Suburban) | 12.63074 | \$3,614,914 | \$12,000 | \$361,491 | \$3,626,914 |
| CEFS | Christian, Clay, Effingham, Fayette, Montgomery, Moultrie, Shelby | 1.41770 | \$405,746 | \$8,000 | \$40,575 | \$413,746 |
| Champaign County | Champaign | 1.91738 | \$548,754 | \$3,000 | \$54,875 | \$551,754 |
| Chicago DFSS | Chicago (City) | 41.37367 | \$11,841,137 | \$32,000 | \$1,184,114 | \$11,873,137 |
| CAP of Central Illinois | DeWitt, Logan, Mason, Menard, Piatt, Fulton | 0.86891 | \$248,682 | \$7,000 | \$24,868 | \$255,682 |
| Crosswalk CAA | Franklin, Jackson, Jefferson, Williamson | 2.52198 | \$721,791 | \$6,000 | \$72,179 | \$727,791 |
| Decatur-Macon | Macon | 1.10058 | \$314,985 | \$3,000 | \$31,499 | \$317,985 |
| DeKalb County | DeKalb | 0.68565 | \$196,232 | \$3,000 | \$19,623 | \$199,232 |

| | | | | | | |
|-----------------------------|---------------------------------------------------------------------------------|---------|-----------|----------|----------|-----------|
| DuPage County | DuPage | 2.55980 | \$732,614 | \$4,000 | \$73,261 | \$736,614 |
| East Central | Ford, Iroquois, Vermillion | 1.15098 | \$329,410 | \$4,000 | \$32,941 | \$333,410 |
| Embarras River Basin Agency | Clark, Coles, Crawford, Cumberland, Douglass, Edgar, Jasper, Lawrence, Richland | 1.74065 | \$498,172 | \$10,000 | \$49,817 | \$508,172 |
| Illinois Valley | Calhoun, Greene, Jersey, Macoupin | 0.69876 | \$199,986 | \$5,000 | \$19,999 | \$204,986 |
| Kankakee County | Kankakee | 0.86515 | \$247,605 | \$3,000 | \$24,760 | \$250,605 |
| Kendall-Grundy | Grundy, Kendall | 0.29395 | \$84,128 | \$3,000 | \$8,413 | \$87,128 |
| CAP of Lake County | Lake | 2.90439 | \$831,235 | \$4,000 | \$83,124 | \$835,235 |
| Madison County | Madison | 1.98125 | \$567,034 | \$4,000 | \$56,703 | \$571,034 |
| McHenry County | McHenry | 0.78193 | \$223,787 | \$3,000 | \$22,379 | \$226,787 |
| MCS Community Svcs | Cass, Morgan, Scott | 0.43951 | \$125,789 | \$4,000 | \$12,579 | \$129,789 |
| Mid-Central | Livingston, McLean | 1.33671 | \$382,567 | \$3,000 | \$38,257 | \$385,567 |
| Northwestern | JoDavies, Stephenson | 0.47945 | \$137,218 | \$3,000 | \$13,722 | \$140,218 |
| Peoria | Peoria | 1.81699 | \$520,021 | \$3,000 | \$52,002 | \$523,021 |
| Project NOW | Henry, Mercer, Rock Island | 1.70953 | \$489,268 | \$4,000 | \$48,927 | \$493,268 |
| Rockford HSD | Boone, Winnebago | 2.26144 | \$647,223 | \$4,000 | \$64,722 | \$651,223 |
| Sangamon County | Sangamon | 1.38541 | \$396,505 | \$3,000 | \$39,650 | \$399,505 |
| Shawnee Dev Council | Alexander, Hardin, Johnson, Massac, Pope, Pulaski, Union | 0.91955 | \$263,175 | \$8,000 | \$26,317 | \$271,175 |
| St. Clair County | St. Clair | 2.69931 | \$772,541 | \$4,000 | \$77,254 | \$776,541 |

| | | | | | | |
|--------------------------|-------------------------------------------------------------------------|---------|--------------|-----------------------|-------------|--------------|
| Tazwood Comm | Tazewell, Woodford | 0.80974 | \$231,749 | \$3,000 | \$23,175 | \$234,749 |
| Tri-County Opp | Bureau, Carroll, LaSalle, Lee, Marshall, Ogle, Putnam, Stark, Whiteside | 2.21945 | \$635,205 | \$11,000 | \$63,521 | \$646,205 |
| Two Rivers Head Start | Kane | 2.16246 | \$618,894 | \$4,000 | \$61,889 | \$622,894 |
| Two Rivers Reg | Adams, Brown, Pike, Schuyler | 0.81374 | \$232,893 | \$5,000 | \$23,289 | \$237,893 |
| W Egyptian EOC | Monroe, Perry, Randolph | 0.53126 | \$152,047 | \$4,000 | \$15,205 | \$156,047 |
| Wabash Area Dev | Edwards, Gallatin, Hamilton, Saline, Wabash, Wayne, White | 1.02794 | \$294,197 | \$8,000 | \$29,420 | \$302,197 |
| Western IL Reg Council | Hancock, Henderson, McDonough, Warren | 0.73982 | \$211,735 | \$5,000 | \$21,174 | \$216,735 |
| Will County Center | Will | 1.92667 | \$551,413 | \$4,000 | \$55,141 | \$555,413 |
| Illinois Migrant Council | Statewide Agency | | \$143,819 | \$3,000 | \$0 | \$146,819 |
| Total 90% Funding | | | \$28,763,800 | \$205,000 | \$2,861,998 | \$28,968,800 |
| | | | | State Administration | | \$1,597,989 |
| | | | | Discretionary Funding | | \$1,392,989 |
| | | | | Total Allocated | | \$31,959,778 |

B. Description of Criteria and Distribution Formula

Illinois annually allocates the full 90% CSBG funds to the 36 community action agencies (CAAs) and the Illinois Migrant Council, a statewide migrant organization. The community action agencies serve the State's 102 counties on the basis of each community action agency's jurisdictional share of the State's poverty population (by recent census). The community action agencies also receive an additional .6% from discretionary funding for a statewide low-income scholarship program.

Vendors determined qualified to provide technical assistance are funded from the discretionary fund portion of the annual CSBG allocation. A small portion of the discretionary fund allocation (> 1%) may be allocated to selected technical assistance vendors for CAA membership services, including training and technical assistance activities. Illinois allocates approximately 92% of the annual CSBG funding to the CAA network and its statewide support organization, which is the combined funding of the 90% allocation, the .6% discretionary scholarship funding and the funding reserved for CAA membership services for technical assistance vendors.

Of Illinois' 36 community action agencies and the Illinois Migrant Council, 26 are nonprofit organizations which collectively receive 46% of the distributed 90% funding and 11 are public CAAs which collectively receive 54% of the distributed 90% funding.

The State utilizes the remainder of the annual CSBG funding (approximately 8% of the total annual allocation) for discretionary funding and administration purposes; up to 5% of this remainder may be utilized for state level administration.

The Department reserves the right to invite applications for some portion of the discretionary funding to address the activities outlined in Section 675C(b)(1) of the CSBG Act. Additionally, the Department reserves the right to allocate a portion, or all of its discretionary fund balance on a non-competitive basis to vendors determined uniquely qualified to provide technical assistance and support services in furthering a variety of state objectives. In the awarding of funds from the discretionary allocation, DCEO will require that at least one of the following activities be addressed:

1. Provide training and technical assistance to those entities (community action agencies) in need of such training and assistance.
2. Coordinate state-operated programs and services, and at the option of the State, locally-operated programs and services, targeted to low-income children and families with services provided by eligible entities and other organizations funded under the CSBG Act, including detailing appropriate employees of state or local agencies to entities funded under this subtitle, to ensure increased access to services programs by such State or local agencies.
3. Support statewide coordination and communication among eligible entities.
4. Analyze the distribution of funds made available under the CSBG Act within the State to determine if such funds have been targeted to the areas of greatest need.

5. Support asset-building programs for low-income individuals, such as programs supporting individual development accounts.
6. Support innovative programs and activities conducted by community action agencies or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization.
7. Support other activities, consistent with the purposes of the CSBG Act.

C. Description of Distribution and Use of Restricted Funds

Ninety percent of the CSBG funding will be allocated to community action agencies as the allocation sheets on pages 22 - 24 clearly demonstrate. These restricted 90% funds may be used for the following activities: education, employment, emergency services, health, housing, income management, linkages, nutrition, self-sufficiency and coordination of services. There is an emphasis placed on employment and economic development activities. The Department requires each grantee to set-aside 10% of their annual grant amount for economic development activities including the long running CSBG Loan Program. Services will be provided to low-income individuals or families meeting the income eligibility criteria at or below 125% of the federal poverty guidelines.

In order to avoid the need for carryover from one federal fiscal year to the next, the Department issues grants for a minimum 15 month period. Should there be a need for additional time; the grant can be extended for a period up to 18 months.

D. Description of Distribution and Use of Discretionary Funds

The Department distributes approximately 3.0% of its discretionary funds outside the CAA network for technical assistance and support services, and other eligible activities as described in Section 675C(b)(1). Approximately, but no more than 5% of the annual CSBG allocation is used towards the Department's administrative support and oversight of the program.

Funding granted to vendors for technical assistance, support services, etc., will address the activities and areas identified in Section 675C(b)(1) of the CSBG Act. In the vendor selection process, one or all of the activities outlined in this narrative under Section V., B: Description of Criteria and Distribution Formula, may be addressed.

Discretionary funding will be used in 2012 - 2013 to continue and expand the necessary and innovative activities, including, but not limited to those conducted in the past. Activities may include any and all of the following:

1. Financial support to technical assistance vendors utilized by DCEO for coordination, training and technical, and information services to member agencies.

2. Continuation of a community action agency network scholarship program for low-income students in cooperation with Illinois' businesses, industries and educational institutions.
3. Other technical assistance and support activities determined appropriate by the state in supporting the CAA network and in furthering State and departmental objectives described in this narrative for providing support to low income individuals through the CSBG program and in accordance with Section 675C(b)(1) of the CSBG Act.

Other innovative and neighborhood-based initiatives: See Section F.1.d. page 28 for more initiatives.

E. Description of Use of Administrative Funds

The State assures that not more than five percent of its allotment under Section 675C(b)(2) of the Act will be used for administrative expenses at the State level. The planned State administrative expenses for program years 2012 - 2013 include program costs consisting of personal services, contractual services, travel for monitoring activities, telecom expenses, etc., and also includes indirect costs.

F. State Community Services Program Implementation

1. Program Overview

a. The Service Delivery System

The State receives approximately \$31.9 million annually in CSBG funding to provide employment, education, housing and emergency services to the eligible population. There are 36 community action agencies that cover the State's 102 counties and the Illinois Migrant Council, a statewide migrant organization. CAAs are essentially multi program centers with outreach to and input from the communities they serve.

In Illinois, CSBG funds support a statewide CSBG program that is separate from and clearly distinguishable from all other CAA funded programs. The geographical area served is statewide and the eligible entities and their geographic jurisdictions are included in this Plan under Section V (pages 17 - 20).

b. Linkages

In the CAA's annually submitted Community Action Plans (provided to the Department in October preceding the beginning of the CSBG program year January-March or June), each CAA describes its local linkages. Most Illinois CAAs operate an intensive case management program. Each CAA works closely with its local TANF providers. Each CAA has become a

partner, in some capacity, in the one-stop system under the Workforce Investment Act. Finally, most Illinois CAAs are participants of local human services groups composed of representatives of all local provider organizations, including; churches, United Way, Catholic Charities, Salvation Army, schools, local offices of the State Department of Human Services, and others. These groups meet and discuss service resources and gaps and may even discuss individual cases in order to assure non-duplicative, wrap-around services to their area's low-income citizens. CSBG provides a flexible funding resource to community action agencies to address local poverty needs in a wide range of areas, and provides linkages to other services available in the community. In order for the local needs to be met, linkages and coordination activities must be heightened. This is particularly true in this time of economic hardship.

c. Coordination with Other Public and Private Resources

State coordination is achieved mostly through the activities of the state community action association. Additionally, Department staffs participate as members of a statewide organization of senior service providers, the State Workforce Investment Board, a Rural Development Affairs Council, and other similar coordinative groups. The membership and staff of the Illinois Association of Community Action Agencies have representatives on the State Head Start Association, the Illinois Commission on the Elimination of Poverty, and scores of other State and local organizations.

d. Innovative Community and Neighborhood-Based Initiatives

The flexibility of CSBG allows community action agencies to develop programs that meet local need. Below are examples of some of the innovative programs operated in Illinois.

YOUTH

Champaign County Regional Planning Commission's Youth Court Diversion Services serves youth who have been accused of minor offenses that have been referred by juvenile officers. Participating youth are screened and, depending on what is most appropriate for the circumstances, scheduled for either victim-offender mediation, peer court, or therapeutic family intervention. These best-practice diversion options are all youth-guided, trauma-informed, culturally competent alternatives to court appearances. The Champaign County Police Departments referred youth to the program. The Champaign County Mental Health Board, City of Urbana, and the Village of Rantoul provided funds for programming. Youth and adult volunteers provided in-kind services by serving as mediators and peer jurors.

SENIOR

Will County Center for Community Concerns' Home Equity Conversion Mortgage Program focuses on educating seniors of the benefits and also any negative effects of obtaining a reverse mortgage. Local banking institutions and the Illinois Department of Financial and Professional Regulation referred clients in need of counseling. The U.S. Department of Housing and Urban Development provided counselors with training on reverse mortgage.

HOUSING

Madison County Community Development has established the Madison County Landlord Network as a valuable community resource. The network is used to communicate with landlords throughout Madison County. Program information is disseminated to landlords concerning programs which may help their tenants, such as rental assistance, energy assistance, and weatherization. The landlords share this information with their tenants. The network is also used to locate housing in the county. Agencies helping consumers looking for housing post their needs on the network. Landlords also post available housing units on the network. This facilitates landlord-tenant connections.

EDUCATION

The Computer Literacy Program was intended to provide computer access and education to low-income individuals, so they could develop essential skills to advance their opportunities for on-going education and/or employment. DeKalb County Department of Community Services contracted with its local community college to provide the computer literacy classes at the Illinois WorkNet site. This approach allowed for the targeted population to receive education and training at a location that also provide an introduction to more extensive workforce training opportunities. While participating in the computer literacy program, they also became familiar and comfortable with the location where they could access more diverse services, which would assist them in increasing their self-sufficiency once they acquired basic computer skills.

EMPLOYMENT

Unemployment has become a huge problem in Illinois, including the six county service areas that Community Action Partnership of Central Illinois (CAPCIL) serves. To address the unemployment, CAPCIL provided funds for career training assistance to persons to increase employability through education, skill and vocational training. CSBG funds were used for staff salaries/benefits and space costs including utilities and telephones.

SELF-SUFFICIENCY

Money Follows the Person was developed as a partnership between DuPage County Department of Community Services' Senior Services Unit, the Illinois Department of Aging and the Federal government. The goal of the program is to help persons residing in nursing homes move back into the community. DuPage County has successfully transitioned people from nursing homes back into community housing, saving State funds and improving the quality of life for these seniors' citizens.

2. Community Needs Assessments

The CSBG Act requires that each CSBG grantee develop a comprehensive Community Action Plan. The Community Action Plan consists of seven parts. It serves as the basis of the annual CSBG application, providing quantitative and qualitative data for the agency's use in developing short-term and long-term strategies which meet the needs of the area served. Following is a brief description of the seven elements of the Community Action Plan required by the Department for the 2012 – 2013 CSBG grant years.

- a. Community Action Plan Summary: the summary describes the agency wide or CSBG specific planning process undertaken for the funding period. It summarizes how the board, the client population and the community were involved in the development of the Community Action Plan.
- b. Community Needs Assessment: this component compiles and analyzes quantitative and qualitative information regarding the area's poverty problems.
- c. Service Delivery System: this part identifies the service delivery system in the community action agency's area that is targeted to provide services to the poor.
- d. Description of Linkages: this section describes how the agency reaches out to its client community, how it provides information and referral services, case management and follow up to ensure comprehensive services to its low-income population.
- e. Coordination: this part identifies and describes how CSBG funding will be coordinated with other public and private resources for utilization in combating the area's poverty problems.
- f. Description of Innovative Community and Neighborhood-Based Initiatives: the CAP must contain a description of how the agency uses CSBG funds to support innovative community and neighborhood-based initiatives. These may include fatherhood.
- g. Youth Programming: this component describes how the agency will address the needs of youth in low-income communities through youth development programs that support the primary role of family, give priority to the prevention of youth problems and

Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:

- (1) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (2) secure and retain meaningful employment;
- (3) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
- (4) make better use of available income;
- (5) obtain and maintain adequate housing and a suitable living environment;
- (6) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
- (7) 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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

CSBG currently supports 36 community action agencies and the Illinois Migrant Council which fund antipoverty activities to carry out locally designed services based upon community needs assessments, in such program areas as education, employment, health services, food, housing and other programs designed to increase self-sufficiency. The community action agencies provide services to secure employment or to gain adequate housing and support programs such as outreach and referral, emergency assistance, surplus food distribution, transportation, education, housing, job counseling and training and the CSBG Loan Program.

CSBG state staffs conduct on-site monitoring to ensure compliance with the grant agreement and the CSBG Act.

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

Community action agencies are required annually to submit Community Action Plans that include an assessment of the needs of the communities. The plan must include a narrative that addresses the identified needs, and particularly the needs of the youth. It is from this plan that the community action agencies annual CSBG work programs are developed.

3. To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

Financial resources continue to be an issue for social service agencies. Giving is declining. Federal, state and local resources are dwindling. Everyone is seeking the same resources, and there are not enough to go around. It is for this reason that community action agencies and other social services entities work together to link services. In the CAA's annually submitted Community Action Plans, each CAA describes its local linkages. Most Illinois CAAs operate an intensive case management program. Each CAA works closely with its local TANF providers. Each CAA has become a partner, in some capacity, in the one-stop system under the Workforce Investment Act. Finally, most Illinois CAAs are participants of local human services groups composed of representatives of all local provider organizations, including; churches, United Way, Catholic Charities, Salvation Army, schools, local offices of the State Department of Human Services, and others. These groups meet and discuss service resources and gaps and may even discuss individual cases in order to assure non-duplicative, wrap-around services to their area's low-income

citizens. CSBG provides a flexible funding resource to community action agencies to address local poverty needs in a wide range of areas, and provides linkages to other services available in the community.

- (b) Assurance `676(b)(4): 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.

All community action agencies offer services under the Emergency Services category. These services include supporting or coordinating food pantries or food banks, food vouchers, and providing food baskets and meal programs for seniors and youth. These services counteract conditions of starvation and malnutrition among low-income individuals. Also provided is assistance with housing needs including rental assistance or assistance with making mortgage payments. In the case of natural disasters or other disaster situations, CAAs provide the above services as well as provide assistance with clean-up efforts. Assistance with energy related emergencies is generally provided through the Low Income Home Energy Assistance or the Illinois Home Weatherization Assistance Programs. The Department also allows for use of unrestrictive loan program funds to provide disaster assistance if a community action agency has depleted its CSBG program funding.

- (c) Assurance `676(b)(5): That the State and the eligible entities in the State will coordinate, and establish linkages, between, governmental and other social services programs to assure the effective delivery of such services to low income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the workforce Investment Act of 1998.

In the CAA's annually submitted Community Action Plans, each CAA describes its local linkages. Most Illinois CAAs operate an intensive case management program which often requires referral to other social service organizations. Each CAA works closely with its local TANF and other program providers.

CAAs have become partners, in some capacity, in the one-stop system under the Workforce Investment Act. Most community action agencies either have representation on the local Workforce

Investments Boards or partner in other ways to ensure low-income individuals are receiving maximum services.

Most CAAs are participants of local human services groups composed of representatives of local provider organizations including: churches, United Way, Catholic Charities, Salvation Army, schools, local human service offices, and others, and include referral to local child support offices. These groups meet and discuss services, resources and gaps, and may even discuss individual cases in order to assure non-duplicative, wrap-around services to their area's low-income citizens. CSBG provides a flexible funding resource to community action agencies that allows them to address local poverty needs in a wide range of areas, and provides linkages to other services available in the community.

Finally, in the case of natural disasters, community action agencies work with the Illinois Emergency Management Agency and local governments to address the needs of those experiencing the disaster. CAAs also work with the local Red Cross in other emergency situations to ensure families affected are receiving appropriate housing, assistance with food, clothing and medical assistance, and any other assistance that might be necessary.

Representatives of the Department also participate on various boards that coordinate activities with community action agencies including: Older Adults Services Advisory Council, Low Income Energy Assistance Policy Advisory Council, the Illinois Affordable Housing Advisory Commission and Illinois Ventures for Community Action. The Illinois Association of Community Action Agencies also participates with the Illinois Head Start Association, the Illinois Commission on the Elimination of Poverty, the Illinois Community Action Development Corp. and many other poverty related groups.

- (d) Assurance `676(b)(6): 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 communities.

The Department administers a variety of federally funded human services programs including state housing, homeless, energy assistance, weatherization and community development programs. The divisions and offices managing these programs and the CSBG program are organized within the Department and coordinate efforts through meetings/discussions and workshops. All CAAs

operate energy programs or coordinate with the local provider. The Department also administers the Workforce Investment Act program and coordination occurs with that program as well as through meetings and discussions.

- (e) Assurance `676(b)(9): 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 organization, charitable groups, and community organizations.

In the CAA's annually submitted Community Action Plans, each CAA describes its local linkages. Most Illinois CAAs operate an intensive case management program which often requires referral to other social service organizations. Each CAA works closely with its local TANF and other program providers.

CAAs have become partners in the one-stop system under the Workforce Investment Act. Most community action agencies either have representation on the local Workforce Investments Boards or partner in other ways to ensure low-income individuals are receiving maximum services.

Most CAAs are participants of local human services groups composed of representatives of local provider organizations including: churches, United Way, Catholic Charities, Salvation Army, schools, local human service offices, and others and include referral to local child support offices. These groups meet and discuss services resources and gaps and may even discuss individual cases in order to assure non-duplicative, wrap-around services to their area's low-income citizens. CSBG provides a flexible funding resource to community action agencies that allows them to address local poverty needs in a wide range of areas, and provides linkages to other services available in the community.

Finally, in the case of natural disasters, community action agencies work with the Illinois Emergency Management Agency and local governments to address the needs of those experiencing the disaster. CAAs also work with the local Red Cross in other emergency situations to ensure families affected are receiving appropriate housing, assistance with food, clothing and medical assistance, and any other assistance that might be necessary.

Representatives of the Department also participate on various boards that coordinate activities with community action agencies

including: the Older Adults Services Advisory Council, the Low Income Energy Assistance Policy Advisory Council, the Illinois Affordable Housing Advisory Commission, the Illinois Community Action Development Corporation and Illinois Ventures for Community Action. The Illinois Association of Community Action Agencies also participates with the Illinois Head Start Association, the Illinois Commission on the Elimination of Poverty, the Illinois Community Action Development Corp. and many other poverty related groups.

G. Fiscal Controls and Monitoring

1. State Program Monitoring:

The Department will conduct the following reviews of eligible entities, as required under Section 678(B)(a) of the Act.

- a. A full onsite review of each community action agency will be conducted in accordance with the Department's Risk Analysis Criteria, but no less frequently than once during each three year period.
- b. An onsite review of each newly designated entity immediately after the first year of operation.
- c. Follow-up reviews will be conducted promptly and as needed.
- d. Other reviews will be conducted as appropriate.
- e. Following is a listing of the date of the last audit conducted and the period covered by the audit for each eligible entity.

A list of completed audits can be found in the appendices.

2. Corrective Action, Termination and Reduction of Funding:

a. Citations

47 Illinois Administrative Code, Chapter I, Part 120, Section 120.55 deals with eligible entities that the State determines have failed to comply with the terms of the CSBG agreement or to meet appropriate standards, goals and other requirements established by the State. The rule provisions are as follows:

b. Policies and Procedures for Potential Termination

i. Notification Process

Any CAA, under the Community Services Block Grant in accordance with Section 678C of the Act and the Illinois Economic Opportunity Act, will be awarded continuing CSBG program

administering responsibilities in its established jurisdiction unless the following shall occur:

- (1) Written communication from CAA to the Department stating its desire to discontinue operation of the program; or material failure by the CAA to comply with the Act, or the provisions of the grant agreement. Within the notification, the Department will state the reasons for termination.
- (2) The notice will inform the CAA its right to a hearing. The agency must respond to the notice within 15 days from receipt of the notification to inform the Department that it wishes to exercise its right to a hearing. The hearing must be conducted within thirty days of the original notification of initiation of the termination process.

ii. Period for Correction

The State of Illinois does not specify a period of time allotted for corrective action. However, in the State's extensive experience with problematic CAAs, the State has learned that it is far better financially and politically, to "save" a failing CAA than to put it out of business.

iii. Availability and Providers of Training and Technical Assistance

We utilize a CAA network skill bank, staff from the Department, and the Illinois Association of Community Action Agencies to provide training and technical assistance to correct deficiencies in CAAs ensuring proper governance and accountability. The IACAA uses a tool very similar to the Head Start PRISM when conducting an assessment of an agency experiencing difficulties or significant changes. A report including recommendations for corrective action or improvement is developed. The Department and the IACAA then work with the CAA to improve the overall health of the agency thereby strengthening governance and accountability.

iv. Hearing Procedures

(1) Reviewer Appointed

To continue to receive CSBG funding, the agency must agree to have a Department appointed reviewer of all CSBG related expenditures of the CAA throughout the termination process. The only costs that will be approved

by the Department official are those expenditures which are reimbursable under Section 120.80 (a) of the State Rules and which comply with the objectives and program activities specified in accordance with Section 120.50 (b)(4).

(2) Suspension of Funding

In the event the CAA does not agree to submit to the Department review specified in Section 120.55(b)(2), the CAA is given written notice of funding suspension pending termination pursuant to those Rules. (Simultaneous with suspension notice to CAAs, the Department will notify the U.S. Department of Health and Human Services of suspension, and the Department will advise the suspended CAA of its right to seek direct funding from the U.S. Department of Health and Human Services.)

(3) Hearing Officer and Procedures

The hearing officer must be an attorney licensed to practice law in Illinois who will be obtained by the Department, as will the services of a certified shorthand reporter. The hearing shall be conducted in accordance with Section 10-15 of the Illinois Administrative Procedure Act (5 ILCS, 100/10-5). The report of the hearing officer will be sent via registered mail to both parties within thirty days of the hearing's completion.

(4) Director's Review

The Director of the Department will review the hearing officer's recommendation and will base his/her decision on findings of fact and conclusions of laws that substantiate grant termination pursuant to the Department's final determination within thirty days.

(5) Appeal of Review to Health and Human Services

If the Department's decision is to terminate funding to the CAA, the Department shall also, with its notice to the CAA, advise the CAA of the provisions for review of the termination proceedings by the Secretary of the Federal Department of Health and Human Services pursuant to Section 676(b)(8) of the Act.

c. Outline State Policies and Procedures for Establishing Corrective Action Plans

The Department's CSBG Administrator, staff and the IACAA work with the problematic CAA (board and staff) to establish a fair and timely corrective action plan. Resources necessary to implement the corrective action plan are identified.

d. Describe the Technical Assistance Available to Eligible Entities for Corrective Action

Technical assistance includes temporary staff loaned from within the network (including State agency staff) or contractually obtained, such as account temps, CPAs, etc. This is generally accomplished through the grant with the IACAA which contains funds for agency capacity building. In some past instances, a fraud audit obtained through CSBG funding, was conducted at a CAA where theft was suspected.

3. Fiscal Controls, Audits, and withholding

Fiscal Controls – 678D(a)(1): Proper fiscal controls and accounting procedures have been established by the Department assuring the proper disbursement of, and accounting for, federal funds. Fiscal controls and reporting procedures placed on and required of CAAs are written in the State's CSBG Rules and the Administrative Rules at 47 Illinois Administrative Code, Chapter I, Parts 1 and 120. Reference to the CAAs abiding by the provisions of the applicable OMB Circulars is made in the Rules and in the grant documents that contractually guide the CAAs in their annual administration of the CSBG program. Illinois has established an electronic reporting and wire transfer funding system, and through this CAAs must report each time they request cash, but not less than each 30 days, their grant expenditures and accrued expenditures. The electronic reporting establishes limits for total grant expenditures and for budget cost categories.

Fiscal monitoring is conducted by a Department field accountant (with accounting degrees) and field monitors, called grants managers (who must have at least 6 semester hours of formal accounting education). Program monitoring is conducted exclusively by the grants managers. In monitoring, a formal instrument is used to conduct field samples, reviews and tests. The Department has instruments for fiscal monitoring, general CAA administrative monitoring, equal opportunity/affirmative action monitoring, board of directors monitoring and CSBG program compliance monitoring. The information gained from the monitoring tests and reviews, with supporting documentation, is compiled into a letter of findings, determinations and corrective action requirements which is

written to the monitored grantee agency. The grantee is required to formally respond to findings and to detail their corrective action.

Audit – 678D(a)(2): The Department is audited annually under the 1996 Amendments to the Single Audit Act and the OMB Circular A-133, conducted by the Illinois Office of the Auditor General. The most current completed audit in accordance with the provisions of OMB Circular A-133 covers the period of July 1, 2008 – June 30, 2009. Field work for the audit of the period July 1, 2009 – June 30, 2010 has been completed and the audit released July 28, 2011.

(4) Assurances:

- (a) Assurance `676(b)(7): The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

In accordance with this assurance, the Department has incorporated language into the Community Services Block Grant grant agreement indicating that eligible entities must comply with all Federal and State requirements including permitting and cooperating with Federal and State investigations undertaken in accordance with section 678D of the Act. The Department also has administrative rules for the Community Services Block Grant program that reflect the assurances as stated in the Act.

- (b) Assurance `676(b)(8): Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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) of the Act.

The Department has administrative rules for the Community Services Block Grant program that reflect the assurances as stated in the Act. The Department adheres to the rules which would prevent the termination or reduction of funding to an eligible entity unless proper procedures as identified in the rules had been followed.

- (c) Assurance `676(b)(10): 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.

The Department has administrative rules for the Community Services Block Grant program that reflect the assurances as stated in the Act. The Department adheres to the rules which require each eligible entity to establish procedures under which a low income individual, community organization, or religious organization, or representative of low income individuals can petition for adequate representation. The Department also requires each eligible entity to include such provisions in their by-laws.

H. Accountability and Reporting Requirements

1. Results Oriented Management and Accountability: The Department and all community action agencies will report in accordance with Assurance 676(b)(12) of the CSBG Act. Illinois will report in the format required by the U.S. Department of Health and Human Services as provided by the National Association of State Community Services Programs.
2. Annual Report: Section 678E(a)(2)

In accordance with federal law and the U.S. Department of Health and Human Services guidelines, the State will submit an annual report to the National Association of State Community Services Programs no later than March 31 of each calendar year. The report will include all required information, including performance objectives, program accomplishments and activities, comparison of planned and actual expenditures, a profile of participants served, a statistical report on the CSBG Program Services and a report regarding training and technical assistance provided by the state and the Illinois Association of Community Action Agencies.

Section VI. Appendices

A. Documentation of Legislative and Public Hearings

Appendix A: Legislative Hearing

Appendix B: Public Hearing Minutes

Appendix C: Certificate of Publication (legal notice)

B. Additional Data or Information

Appendix D: CAA Schedule of Last Audit

C. Certifications

Appendix E: Lobbying

Appendix F: Debarment, Suspension, and Other

Appendix G: Drugfree Workplace

DRAFT

Legislative hearing documentation.

Appendix A

Draft

Public hearings documentation – Chicago

Draft

Draft

Certificate of Publication

Draft

Appendix D

CAA SCHEDULE OF LAST A-133 AUDITS

| GRANTEE | DATE LAST AUDIT CLOSED | PERIOD COVERED |
|--------------------------------------|------------------------|----------------|
| BCMw Community Services | Feb-2011 | 7/9 - 6/10 |
| Carver CAA | Aug-2010 | 1/09 - 12/09 |
| CEDA | May-2011 | 7/09 - 6/10 |
| CEFS Economic Opportunity | Feb-2011 | 9/09 - 8/10 |
| Champaign County | Aug-2010 | 12/08 - 11/09 |
| Chicago DHS | Nov-2010 | 01/09 - 12/09 |
| Community Action Part. of Central IL | Jul-2010 | 01/09 - 12/09 |
| Crosswalk CAA | Mar-2011 | 7/09 - 6/10 |
| Decatur-Macon County | Sep-2010 | 3/09 - 2/10 |
| Dekalb County | Sep-2010 | 1/09 - 12/09 |
| Dupage County | Sep-2010 | 12/08 - 11/09 |
| East Central Illinois CAA | Apr-2011 | 7/09 - 6/10 |
| Embarras River Basin | Apr-2011 | 7/09 - 6/10 |
| Illinois Migrant Council | Aug-2010 | 10/08 - 9/09 |
| Illinois Valley EDC | Jan-2011 | 7/09 - 6/10 |
| Kankakee County | Nov-2010 | 01/09 - 12/09 |
| Kendall-Grundy | Mar-2011 | 12/09 - 11/10 |
| CAP of Lake County | Sep-2010 | 01/09 - 12/09 |
| Madison County | Jun-2010 | 12/08 - 11/09 |
| McHenry County | May-2011 | 7/09 - 6/10 |
| Morgan County | Apr-2011 | 9/09 - 8/10 |
| Mid Central | Apr-2011 | 7/09 - 6/10 |
| Northwestern | Oct-2010 | 01/09 - 12/09 |
| Peoria Citizens Committee | May-2010 | 01/09 - 12/09 |
| Project NOW | Jan-2011 | 7/09 - 6/10 |
| Rockford | Nov-2010 | 01/09 - 12/09 |
| Sangamon County | Oct-2010 | 12/08 - 11/09 |
| Shawnee Development Council | Sep-2010 | 01/09 - 12/09 |
| St. Clair County CAA | Oct-2010 | 01/09 - 12/09 |
| Tazwood Community Services | Jan-2011 | 7/09 - 6/10 |
| Tri-County Opportunities | Jul-2010 | 01/09 - 12/09 |
| Two Rivers Head Start | Apr-2011 | 9/09 - 8/10 |
| Two Rivers Regional Council | Jan-2011 | 7/09 - 6/10 |
| Wabash Area Development | Apr-2011 | 7/09 - 6/10 |
| Western Egyptian EOC | Dec-2010 | 5/09 - 4/10 |
| Western Illinois Regional Council | Aug-2010 | 1/09 - 12/09 |
| Will County Center | Oct-2010 | 01/09 - 12/09 |

Appendix E

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

Signature

Title

Organization

Appendix F

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

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information

of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

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

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

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

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

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

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

Signature

Title

Organization

Appendix G

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

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

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

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

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

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

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

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

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

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

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

Signature

Title

Organization