

NOTICES

DEPARTMENT OF COMMUNITY AND ECONOMIC DEVELOPMENT

Community Services Block Grant State Plan for 1997-98

The Department of Community and Economic Development (Department) publishes its Community Services Block Grant Program State Plan to the Department of Health and Human Services for the 1997-98 program year.

Comments will be received at a public hearing to be held at 10 a.m., Tuesday, January 16, 1997 in Room 321 of the Forum Building, Commonwealth Avenue and Walnut Street, Harrisburg, PA 17120.

Written comments may be submitted to Dennis Darling, Director of the Community Empowerment Office, Department of Community and Economic Development, Room 352 Forum Building, Harrisburg, PA 17120, until 5 p.m. on January 16, 1997.

Persons with a disability who wish to attend this hearing and require an auxiliary aid, service or other accommodations to participate in the proceedings should contact Dennis Darling at (717) 787-1984 to discuss how the Department may best accommodate their needs.

THOMAS HAGEN,
Secretary

Legislative Background and Purpose

The Community Services Block Grant (CSBG) is a Federal block grant program administered by the United States Department of Health and Human Services, Administration for Children and Family, Office of Community Services. Created by the Omnibus Budget Reconciliation Act of 1981, the CSBG replaced eight Federal categorical programs originally authorized under the Economic Opportunity Act of 1964.

The Commonwealth of Pennsylvania accepted the CSBG for the purpose of providing a full range of services and activities having a measurable and potentially major impact on the causes of poverty in a community, or those areas of a community where poverty is a particularly acute problem.

Recognizing the importance of a commitment by the State, the Pennsylvania General Assembly, as a matter of public policy, affirmed the commitment of the Commonwealth to eliminating the causes and effects of poverty by reenacting and amending the Community Services Act of July 10, 1986 (act) (P. L. 1263, No. 116). The act is also intended to stimulate a better focusing of human and financial resources on the goal of eliminating poverty by providing for the continuity of programs which presently exist throughout the Commonwealth for this purpose; and delineates the activities for which the Federal funds can be used.

Report on 1996 Goals and Objectives

A. Introduction

The Department of Community and Economic Development (Department) continued its efforts to have Community Action Agencies increase the provision of comprehen-

sive family development/case management services so that the families served have a greater opportunity to achieve self-sufficiency. During the 1996 program year, family development/case management services remained a top Statewide priority. We also continued to administer our case management demonstration project which was initiated during the 1994 program year. An independent evaluation of the demonstration project, after the initial year of funding, indicated that the agencies involved in the project had made significant progress in their efforts to help families achieve self-sufficiency through a comprehensive family development/case management approach.

For the 1996 program year, other Statewide priorities included holistic community development, the provision of housing services, emergency assistance to homeless families and individuals, employment, job training and educational programs and services designed to reduce the school drop-out rate for low-income youth.

During the 1996 program year, the Department (through a subcontract with the CAP Directors Association), also provided training to all Community Action Agencies, as well as Department staff, concerning the utilization of outcome based objectives and evaluation methods. Many agencies included acceptable outcome based objectives and evaluation measures in their proposals. We will provide additional training to those agencies that may require it on all levels of Outcome-Based Management (OBM) implementation.

B. Progress on 1996 Program Objectives

Approximately 5 months before the start of the program year, agencies are informed of their annual allocation and are provided with instructions for the proper submission of their proposals. Agency proposals are reviewed for board, fiscal and program compliance with State legislative requirements, CSBG Act requirements and the Department's Guidelines and Administrative Directives for CSBG programs.

Agencies submit quarterly program progress reports for each category of service provided. For the purpose of this Plan, the projected number of persons served for the 12-month period from July 1, 1996 to June 30, 1997, is the unduplicated count of persons served by service category. The number of individuals served is a projected count developed by reviewing the contracts of all agencies funded for the period, July 1, 1996, to June 30, 1997. Actual figures for the period from July 1, 1996, to December 30, 1996 (and a more accurate projection of the entire program year) will be available for review, upon request, by the Office of Community Services (OCS) by May 1, 1997.

The following is the status of the objectives as listed in the 1996 State Plan.

Objective #1

To increase the number of Community Action Agencies involved in holistic approaches to community development. Activities involved in this effort will include, but not be limited to, defining and implementing community strategies, linking housing and social services, coordination of workforce development and economic development, community based leadership development and community institution building, including community development credit unions or banks, and micro-enterprise development.

Results

It is projected that 235 individuals will benefit directly from CSBG funded efforts to build their communities and 408 individuals will benefit through other community development programs administered with CSBG funds.

As an example, the Community Action Agency of Delaware County (CAADC) concentrated its efforts in a 10-year comprehensive Neighborhood Plan for a distressed neighborhood, The Madison Street area of Chester City. In addition to CSBG support for staff involved in the development and rehabilitation of low income housing in that area, CAADC continued to provide technical assistance through CSBG funds for the creation and development of the community's East Side Neighborhood Action Council. Continuing leadership training was provided to the group's six representative "Sector Leaders" who served as officers on the Council and worked with six to ten Block Captains. The group set agendas and met monthly with an average turnout of 35 to 40 residents. Projects included a community "Clean-Up Day," organization of a Townwatch and organization of a drug prevention project. Elected officials and social service providers were invited to educate, respond and work with the community.

Objective # 2

To promote and increase the number of Community Action Agencies using a holistic approach to move low-income families and individuals toward self-sufficiency. This would be accomplished by a case management/family development approach within the agency and/or by a collaborative multi-agency approach to the multiple needs of low-income persons.

Results

The Commonwealth has continued to encourage Community Action Agencies to utilize CSBG funds to provide an holistic approach when servicing the multiple needs of low-income individuals. The four CAA's chosen under the case management demonstration project in 1994 will be funded for a third and final year to solidify the department's commitment to expand the use of holistic case management. The case management demonstration projects are designed to show the positive effects of outcome based case management services for low income individuals in achieving self sufficiency.

At the Community Action Program of Lancaster County, from July 1, 1994, to June 30, 1996, 114 families received at least 6 months of intensive case management services and were evaluated for outcomes. Among the 114 primary adults of these families, the program achieved an 88% outcome success rating as determined by an independent evaluation consultant. In addition, the program has effectively demonstrated that nonprofits can collaborate with government agencies in meeting Federal self-sufficiency mandates and delivering services to low income individuals.

It is estimated that 8,451 individuals will benefit directly from CSBG funded case management services and another 10,702 individuals will benefit through the use of CSBG funds to administer case management programs.

Objective # 3

Promote and facilitate the use of outcome-based management techniques by Community Action Agencies. Included will be efforts to promote and increase the number of Community Action Agencies that utilize effective outcome-based objectives and evaluation methods in their annual CSBG proposals.

Results

Through a CSBG discretionary funds grant to a subcontractor, the Community Action Association of Pennsylvania (CAAP) through the Commonwealth provided specialized training and onsite assistance in outcome-based management to Community Action Agencies across Pennsylvania. The activities under this grant focused on four areas:

- assessments of the progress of 38 (of 42) CAA's in their transition towards OBM;

- group training on Introductory and Intermediate level topics regarding OBM;

- technical assistance and capacity building;

- technical publications on basic issues and trends in OBM.

A final report delineating the results of this training are attached for review.

Objective #4

To increase the capacity of Community Action Agencies to produce or preserve low cost housing units through repair or rehabilitation. Whenever possible, the production of new housing units shall be supported by the provision of needed social services. The CSBG funds will not be used for the purchase or improvement of real property unless a waiver for such use is granted by OCS. Emergency assistance to meet the immediate individual and family needs of homeless persons will also be provided. This assistance will include emergency shelter, food, nutrition and related emergency services.

Results

The support of programs that produce or preserve low cost housing units and address the needs of the homeless and near homeless is a continuing effort of Pennsylvania's Community Action Agencies. The Community Action Commission, an agency which services Cumberland, Dauphin and Perry counties, in partnership with the Susquehanna Valley Development Group, will participate in the construction of 54 townhome rental units in upper Dauphin County. The agency, in conjunction with its Housing Counseling Program, will provide assistance to first time home buyers, offering homeowner maintenance and financial referrals.

It is projected that 18,663 individuals (many of them homeless or near homeless) will benefit directly from the CSBG funded housing related programs and another 10,948 individuals will provide services through the use of the CSBG funds to administer other programs.

Objective #5

To support employment, job training and educational programs for low-income chronically unemployed, economically disadvantaged youth and adults which: 1) have high job placement potential; 2) give them skills related to the labor needs of business and industry located in their local service area; and 3) provide supportive services for parents who are unemployed, marginally employed, enrolled in approved education, employment/training and/or job search activities. To the extent possible, these programs shall be coordinated with other job training programs, such as JTPA and Private Industry Council (PIC) sponsored programs, and those conducted by local educational agencies and existing employment/training programs in disadvantaged communities. Services may also include the provision of education programs for upgrading adult literacy skills to increase opportunities for employment and the development of self-sufficiency,

and programs designed to facilitate the transition from school to the work place, reduce the drop-out rate, and enhance the academic performance of low-income youth.

Results

Community Action Agencies continued to address the problems of unemployed and underemployed individuals through employability assessment, remedial education, training in interviewing skills, resume writing and job readiness, and job search services.

It is estimated that 8,573 individuals will be directly serviced by the CSBG funds and another 4,503 will receive services through other programs administered with the CSBG funds.

Community Action Southwest (CAS), in partnership with the Washington County Council on Economic Development (WCCED), developed the Meaningful Employment Training and Linkages (METALS) program. This project was designed to assist low-income individuals to become self-sufficient by providing them with job training and supportive services leading to employment in the metals/machine related industries. Program participants developed short and long term goals and met with case managers on a weekly basis for problem solving sessions to identify barriers to job training and employment. They participated in a basic core curriculum as identified through assessment of needs, and 400 hours of specialized job training activities. CAS case managers provided assistance in skills development before, during and after the training component. Through WCCED, a job was identified for placement of each participant at the end of the training period. Long term follow up services were provided by CAS case managers through other funding sources and a privately funded Employment Preservation Fund was established to meet immediate needs of participants such as transportation or clothing.

Objective # 6

To monitor Community Action Agencies to assure compliance with all contractual obligations.

In compliance with Pennsylvania Act 116 (as amended), monitoring procedures shall be established by the Department, and included in the State Plan. The Department shall monitor the CSBG grantees to assure compliance with all contractual objectives and to assess the effectiveness of local agencies in meeting their stated objectives for ameliorating the causes and effects of poverty in their service areas.

Results

Monitoring goals indicate that 88 monitoring reviews were scheduled for completion. These reviews involve 44 CSBG grants, 43 Emergency Community Services Homeless Grant Program (EHP) grantees and one grant under the Community Food and Nutrition Program.

In their monitoring of agencies, State monitors use a standardized CSBG Subgrantee Monitoring Report form. During their visit, they review all of the agency's required quarterly reports as well as other administrative and program related aspects of the CSBG funded agency.

However, for the program year in question, only 24 CSBG monitoring reviews were conducted, 20 EHP reviews and one discretionary review, for a total of 55. The overriding factors in the decrease in monitoring were the on-going reorganization of the department, its merging with the Department of Commerce and our subsequent loss of over half our monitors, as well as some main-office staff. The monitoring that was done, however, covered all

the regions of the state, as well as a variety of agencies: large, small, urban and rural.

PROJECTION OF SERVICES PROVIDED

The figures below provide, by category of service, projections of the number of unduplicated persons to be served by the CSBG grantee agencies during the 1996-97 program year. The number of individuals served was developed by reviewing the contracts of all agencies funded for the period of July 1, 1996 to June 30, 1997 and tabulating the number of individuals the agencies projected they would serve. More accurate statistics on the number of individuals served will be available for review by the Office of Community Services by May, 1997.

	Direct Service	Other
Education	10,044	4,661
Drug & Alcohol	213	0
Consumer Services	7,140	3,311
Youth Development	5,013	7,678
Health	3,008	3,735
Housing	18,663	10,948
Homemaker	215	600
Legal	184	3,000
Nutrition	35,225	261,239
Outreach and Referral	209,974	82,255
Recreation	1,182	0
Transportation	1,902	35,225
Weatherization/Energy	21,291	33,770
Community Organization	3,905	1,725
Employment and Training	8,573	4,503
Case Management	8,451	10,702
Economic Development	235	408

Statewide Food and Nutrition Program

The Pennsylvania Coalition on Food and Nutrition, a Statewide advocacy, program support and training organization, received the total Community Food and Nutrition award of \$93,582, to achieve the goal of reducing the incidence of hunger in Pennsylvania.

In order to achieve their goal, the Coalition continued to provide community outreach, technical assistance and training to community groups, school districts and local antihunger groups to foster the development of food banks, food pantries, soup kitchens, food co-ops, school breakfasts, summer food and child and adult care food programs. They also continued to serve as a Statewide coordination point for efforts to increase the self-reliance of food assistance clients through the improvement and expansion of Super Cupboard Programs. Included in this activity was a statewide training conference on models of community self-reliance with the theme "Communities Creating Change."

The Coalition continued to serve as a Statewide resource and clearinghouse of information for anti-hunger issues through the publication of nine newsletters with a National and Statewide mailing list of approximately 1,200 agencies, individuals and organizations involved in antihunger and/or anti-poverty efforts. They also continued their research activities by completing a major study on the status of the food supply and hunger with the Pennsylvania Department of Agriculture and by producing four research briefs.

The Coalition continued to participate in the development of public policies related to hunger and poverty by monitoring policy and legislative issues at the state and federal levels, reviewing and commenting on proposed regulations and by representing Statewide antihunger concerns and sharing policy options with consumer groups and local coalitions.

New initiatives included the organization of an Inter-faith Hunger Banquet, in partnership with a food bank and the religious community, designed to be replicated in communities Statewide. The Coalition also expanded their food hotline from providing information on summer meals for children to make information on all types of food assistance available to all who need it.

In response to the uncertain future for government involvement in antihunger efforts, the Coalition will emphasize fostering creative partnership between public and private entities; increasing efforts to overcome fragmentation and foster communication among current service providers and encouraging individual and community participation in efforts that build self-reliance and reduce dependency.

Community Action Requirements (Section 675(c)(13))

As stated in the introduction on page two, and expanded on under Objective #3, the Department, through a subcontract, provided training to all Community Action Agencies in Pennsylvania related to outcome-based objectives and evaluation measures. This training took the form of agency assessments, group training, technical assistance, capacity building and technical assistance publications.

The 42 Community Action Agencies have been instructed to include outcome-based management objectives and evaluation methods since their 1956-96 CSBG proposals, and the majority of the agencies included objectives and evaluation measures which were acceptable. Each year, more OBM language is included with their proposals/work plans.

Also, as stated on page two, we continued to fund our family development/case management demonstration project. Our primary goal for this project is to develop an approach for the provision of comprehensive case management services which can be replicated by all Community Action Agencies, to enable low-income families to achieve self-sufficiency. After the first year of the demonstration project was completed, an independent evaluation of the project was done by Penn State University. That evaluation indicated that the agencies competitively chosen for the project had made significant progress in assisting low-income families to become self-sufficient.

Program Plan for 1997

1. *Statement of Goals and Objectives*

The 1997 CSBG Program shall comply with all the requirements of Act 116, the Pennsylvania Community Services Act of 1986 (as amended). The intent of Act 116 (as amended) is to affirm, as a matter of public policy, the commitment of the Commonwealth to ameliorating the causes and effects of poverty.

The goal of the CSBG Program is to provide a range of services and activities having a measurable and potentially major impact on the causes of poverty in the community or those areas of the community where poverty is a particularly acute problem. The Commonwealth, whenever possible and appropriate, encourages the use of CSBG funds to increase the availability of low-cost housing and to promote economic development, employment and training initiatives, and education programs to upgrade literacy skills that will lead to the economic self-sufficiency of low-income individuals and the chronically unemployed, including among others, Aid to Families with Dependent Children (AFDC) and General Assistance (GA) recipients. To meet these goals, statewide priorities were established under the direction of the

Pennsylvania Act 116 of 1986 (as amended). Decisions regarding which of the state priorities and qualified services shall be provided by CSBG eligible entities shall be established by the local agency. Each local agency shall submit its plan to the Department for review to ensure the eligibility of proposed services under the provision of federal law and regulations and consistency with statewide priorities.

The following are the goals and objectives for the 1997 program:

Objective 1

To increase agency participation, at higher levels, in Outcome Based Management, that is, to increase the number of agencies at the basic and intermediate levels of progress in transition to OBM. Included in this objective is to institute a Peer-to-Peer OBM training network (where those agencies farthest along are encouraged to share their methods for a successful transition with their peers); a variety of training and technical assistance approaches; and the possible development of a curriculum or set of training modules.

Objective 2

To actively encourage CAA participation in Pennsylvania Welfare Reform. Initially, this would occur with the CAA's involvement in a joint Department of Public Welfare/Department of Community and Economic Development Welfare Reform initiative, the Supported Work Program. The objective of this partnership is to facilitate the quick transition into the workforce of 1,000 AFDC recipients who have a 9th grade education or less or who have failed at an initial job search.

Objective 3

To finalize the four case management demonstration projects, initiate a final evaluation and explore considerations for statewide implementation.

Objective 4

To encourage a closer linkage of CAA's to business development and to customized job training.

Objective 5

To incorporate involvement of CAA's in CDFI (Community Development Financial Institution) proposals and projects.

Objective 6

To ensure compliance with all Federal and State regulations and directives through Statewide monitoring activities.

Monitoring procedures shall include:

1) A review by the Department staff of the following reports that are submitted by CSBG funded agencies for each quarter of the program year.

Service Project Report—The purpose of the Service Project report is to provide data for the monitoring and evaluation of progress toward project goals and objectives of grantees providing direct services to individuals.

Non-Participant Project Report—The nonparticipant Project report is designed to obtain data for the evaluation of progress toward project objectives of grantees that are not involved in providing direct service to individuals. Such projects include economic development, conduct and administration, and planning and neighborhood assistance programs that physically improve an impoverished area (housing rehabilitation, capital construction, and the like).

Employment and Training Report—The purpose of this report is to elicit data for the monitoring and evaluation of progress toward project goals and objectives of grantees providing employment and/or training services. Applicable programs include: vocational counseling, aptitude testing or screening, vocational training, O.J.T. public service employment, job placement or related services.

Following the review, agencies are contacted by telephone and/or letter, as appropriate, for a discussion of the report.

2) An onsite monitoring visit which shall be determined after consultation with the agency by regional or central office staff, as appropriate. The information may be confirmed in writing. Onsite visits shall be conducted for the following purposes:

- to ensure programmatic and contractual compliance through the review of agency records and interviews with agency personnel, board members and clients;

- to clarify discrepancies that cannot be resolved from the quarterly report review;

- to follow-up on program and personnel complaints, made directly or indirectly; and

- to comply with an agency's request for an onsite visit.

Procedures following the onsite visit:

1) A report of the onsite visit shall be sent to the agency within 45 days after the visit. It shall identify strengths and weaknesses of the program and any required remedial actions.

The agency may request a conference with Department's Community Empowerment Office (CEO) to discuss the report and/or the Office may request a conference with the agency to discuss the report and provide technical assistance.

2) In the case of violations or discrepancies of Federal and State laws governing the CSBG programs discovered through the Department's monitoring and auditing activities, the agency shall be notified of the violation or discrepancy immediately. The agency shall respond in writing to the notice of violation or discrepancy within 2 weeks of receipt of such notice.

Agency Noncompliance—Noncompliance may result in probation until compliance is attained. Probationary status may include intensified monitoring, increased reporting requirements, provision of technical assistance by the Department or its designee or temporary suspension of grant payments.

Agency Violation—A violation with willful disregard of Federal and State laws governing CSBG programs may result in suspension of grant payments for a designated period of time. The agency will be required to rectify the violation and reestablish itself as competent to carry out the responsibilities governing CSBG programs, as determined by the Department.

Termination for cause:

"Termination for cause" shall result when the Commonwealth determines that the agency has failed to comply with the conditions of the contract and/or Federal and State laws governing the CSBG programs.

When the Department proposes to terminate a CSBG program, it will notify the agency, in writing, of the action to be taken, the reasons for such action, and the appeals procedure, including an opportunity for a hearing on the record. This notice shall be forwarded to the agency by certified mail.

Appeal Procedure:

If the agency wishes to appeal the determination, it must submit a written request by certified mail to the Secretary of the Department addressing the reasons for the proposed termination, and any corrective action that has been or will be taken.

This request must be made within 20-calendar days of receipt of the termination notice.

The appeal may also include a request by the agency that the Secretary, or the secretary designee, hold a public hearing before making a decision, in which case such a public hearing shall be held.

The Secretary shall make one of the following decisions on the agency's appeal, and shall so notify the agency of such decision in writing within 30-calendar days following the appeal or following a hearing on the appeal:

The Secretary may uphold the appeal and remove the notice of intent to terminate.

The Secretary may remove the notice of intent to terminate but provide the agency with notice of specific corrective actions that must be taken. If the agency subsequently fails to take such corrective actions, the Secretary may reinstate the proposed termination procedures.

The Secretary may deny the appeal, in which case the agency shall be notified of the effective date of termination. This date shall be either the date contained in the original notice of intent to terminate or a specified date at least 30 days after the Secretary sends the decision, whichever is later. The notice of the decision shall also contain all requirements pertaining to termination of the CSBG related activities and return of the CSBG funds.

The agency may appeal the Department's final determination to the Secretary of the United States Department of Health and Human Services in accordance with the Community Service Block Grant Act, Section 676A (amended).

No community action agency or migrant and seasonal farmworker organization which received funding in the previous fiscal year will have its present or future funding terminated or reduced below the proportional share of funding it received in the previous fiscal year unless, after notice and opportunity for hearing on the record, the Department determines that cause exists for such termination and the review and confirmation of the Department's finding of cause by the Secretary of the United States Department of Health and Human Services.

When an agency's contract is terminated for cause, the agency shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible. The Department shall allow full credit to the grantee for any completed work that the Department deems satisfactory.

II. Activities

Activities eligible for funding consideration out of the 90% grant money, allocated to CAAs/LPAs designated as eligible entities in the CSBG Act, are those designed to assist chronically unemployed, low-income participants, including the elderly and poor:

1) To secure and retain employment, especially unsubsidized employment in the private sector;

2) To obtain an adequate education, through education initiatives and referrals that will enable low-income, chronically unemployed individuals to participate in job training programs which can include locally initiated Private Industry Council or JTPA Service Delivery Area sponsored job training programs;

3) To make better use of available income;

4) To remove obstacles and solve problems which block the achievement of self-sufficiency through the provision of support services to individuals participating in employment and training programs;

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

6) To obtain emergency assistance through loans and grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing and employment related assistance;

7) To achieve greater participation in the affairs of the community. However, in accordance with Section 675(c)(7) of the CSBG Act, any activities to provide voters and prospective voters with transportation to the polls or provide similar assistance in connection with an election or any voter registration activity is prohibited;

8) To make more efficient use of other programs related to the purposes of the CSBG and activities that: a) encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community, and b) provide, on an emergency basis, for the provision of such supplies and services, nutritious food, and related services as may be necessary to counteract the conditions of starvation and malnutrition among the poor;

9) To coordinate and establish linkages among governmental employment and training agencies, educational institutions and other social service programs to assure the effective delivery of such services to low-income individuals.

Programs selected by eligible entities must relate to the problems identified and documented in the assessment of need of local service areas and included in the agency's annual Work Plan. The assessment of need shall be well defined and concisely stated, focusing on the causes of poverty and services to the number of low-income, chronically unemployed and economically disadvantaged, including the number of AFDC and GA recipients.

Special economic development projects, a case management demonstration project and related activities and unique programs that are consistent with the objectives of the CSBG Act may be funded from the 5% unrestricted funds included in the grant awarded to the Commonwealth.

Limit on the Use of Grants for Construction

CSBG grants may not be used by the Department or any agency with which the Department makes arrangements to carry out the purposes of the CSBG Act, for the purchase or improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility without a written waiver from the United States Department of Health and Human Services, Office of Community Services.

III. Geographic Areas to be Served

During Fiscal Year 1997, the State will allocate 90% funds to those geographic areas served by designated

CAAs, LPAs and other eligible entities. This area now covers all of Pennsylvania's 67 counties.

IV. Individuals to be Served

Participation in any CSBG program will be limited to persons whose income in relation to family size does not exceed 125% of the official poverty level established by the Federal Office of Management and Budget. Included in this category will be elderly poor, migrant and seasonal farmworkers, Head-Start families, and the chronically unemployed such as AFDC and GA recipients.

V. Conditions and Assurances

Community Services Block Grant Statutory Assurances—as Amended by P. L. 103-252, Human Services Amendments of 1994.

The Commonwealth agrees to:

(1) Ensure that, at its discretion and consistent with agreements with the State, each recipient of funds available under this subtitle will use such funds—

(A) To provide a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem;

(B) To provide activities designed to assist low-income participants including homeless individuals and families, migrants, and the elderly poor—

(i) to secure and retain meaningful employment;

(ii) to attain an adequate education;

(iii) to make better use of available income;

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

(v) to obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing and employment-related assistance.

(vi) to remove obstacles and solve problems which block the achievement of self-sufficiency;

(vii) to achieve greater participation in the affairs of the community; and

(viii) to make more effective use of other programs related to the purposes of this subtitle;

(C) To provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;

(D) To coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals; and

(E) To encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community; (675(c)(1)(A)—(E))

Implementation Plan for Assurance # 1

Each year the Community Empowerment Office requires local subgrantee agencies to submit Work Plans and budgets that address one or more of the above-referenced purposes, based on a local needs assessment. The Work Plans are incorporated into legally binding contracts. Most contracts are monitored on a regular basis throughout the year to ensure agencies are in compliance. As can be seen from past year's objectives, as

well as the Projection of Services Provided, agencies are providing a full range of services designed to positively impact the lives of the low-income.

(2) (A) “. . . to use not less than 90 percent of the funds allotted to the State under Section 674 to make grants for the purposes described in clause (1) to eligible entities (as defined in Section 673 (1)) or to organizations serving seasonal or migrant farmworkers; except that not more than seven (7) percent of the funds available for this subclause shall be granted to organizations which were not eligible entities during the previous fiscal year.” (675(c)(2)(A))

(B) if less than 100% of the allotment is expended under subparagraph (A), provide assurances that with respect to the remainder of the allotment a reasonable amount shall be used for—

(i) providing training and technical assistance to those entities in need of such assistance and such activities will be considered administrative expenses;

(ii) coordinating State-operated programs and services targeted to low-income children and families with services provided by eligible entities funded under this subtitle, including out-posting appropriate State or local public employees into entities funded under this subtitle to ensure increased access to services provided by such State or local agencies;

(iii) supporting Statewide coordination and communication among eligible entities;

(iv) administrative expenses at the State level, including monitoring activities, but not more than \$55,000 or 5% of its allotment under section 674; and

(v) considering the distribution of funds under this subtitle within the State to determine if such funds have been targeted to the areas of greatest need. (675(c)(2)(B))

Implementation Plan for Assurance # 2

During Fiscal Year 1997, the 90% grant monies under the CSBG will go to CAAs and other eligible entities. A portion of these monies will be used to fund ongoing programs in a CAA/LPA service area based on needs identified at the local level and the State priorities outlined in this plan. Ninety percent moneys will also be made available for Rural Opportunities Inc., which serves low-income farmworkers and poor rural families in Pennsylvania.

The program year 1997 allocation for eligible entities will be based on a formula comprised of two factors: the number of persons with incomes below 125% of poverty level in each service area (from 1990 United States Census data) on which 75% of the allocation will be based, and the number of unemployed persons in each service area (Pennsylvania Office of Employment Security, Pennsylvania Civilian Labor Force Data by County of Residence, 1994 Annual Average) on which 25% of the allocation will be based. All agencies receive a minimum base level allocation.

Funds up to the amount of 5% of the State allocation will be utilized for State administration. Funds in the amount of 5% of the Fiscal Year 1997 CSBG funding, and any otherwise available monies not used for Departmental program administration, will be used to augment funding to eligible entities and to support special projects or unique programs that are consistent with the objectives of the CSBG Act (discretionary funds). The Department may solicit applications for these funds, but will consider unsolicited requests. Decisions as to the funding

of these applications will be made under the direction of the Secretary of the Department.

(3) Provide Assurances that—

(A) in the case of a Community Action Agency or nonprofit private organization, each board will be selected by the Community Action Agency or nonprofit organization and constituted so as to assure that—

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

(ii) at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and

(iii) the remainder of the members are officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the community; and

(B) in the case of a public organization receiving funds under this subtitle, such organization either establish—

(i) a board of which at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representatives of the poor in the area served; or

(ii) another mechanism specified by the State to assure low-income citizen participation in the planning, administration and evaluation of projects for which such organization has been funded. (675(c)(3))

Implementation Plan for Assurance #3

Included with the submission of subgrantee Work Plans is a breakout of the composition of the board, which is reviewed for compliance. Many agencies also include an updated list of board members. Additionally, as part of the monitoring process, board composition is reviewed. The Community Empowerment Office has two directives (directives are designed to provide additional guidance to subgrantees on a particular subject, and included in the contracts by reference) related to board composition: CSBG Directive 91-2: Administrative Procedures for CSBG Grants; and CSBG Directive 93-4: CSBG Advisory Committees (for subgrantees that are units of local governments).

(4) Give special consideration in the designation of local community action agencies under this subtitle to any community action agency which is receiving funds under any Federal anti-poverty program on the date of the enactment of this Act, except that—

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, the State shall give special consideration in the designation of community action agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds in the fiscal year preceding the fiscal year for which the determination is made. (675(c)(4))

Implementation Plan for Assurance #4

The Commonwealth of Pennsylvania will give special consideration to all community action agencies and limited purpose agencies which received Federal antipoverty funds on the date of the enactment of the CSBG Act and its predecessor Act.

(5) Provide assurances that the State may transfer funds, but not to exceed 5% of its allotment under Section 674, for the provisions set forth in this subtitle to services under the Older Americans Act of 1965, the Head Start program under subchapter B of chapter 8 of subtitle A of this title, the energy crisis intervention program under title XXVI of this Act (relating to low-income home energy assistance) or the Temporary Emergency Food Assistance Act of 1983. (675(c)(5))

Implementation Plan for Assurance #5

The Commonwealth of Pennsylvania does not plan to transfer any CSBG moneys to any other eligible program.

(6) Section 675(c)(6) is no longer applicable. It was repealed by the Hatch Act Reform Amendments of 1993 (P. L. 103.94).

(7) Prohibit any activities to provide voters and prospective voters with transportation to the polls or provide similar assistance in connection with an election or any voter registration activity. (675(c)(7))

Implementation Plan for Assurance #7

Article V, Section A of the standard contract with subgrantee agencies prohibits such activities.

(8) Provide for coordination between antipoverty programs in each community, where appropriate, with emergency crisis intervention programs under title XXVI of this Act (relating to low-income home energy assistance) conducted in such community. (675(c)(8))

The Community Empowerment Office actively encourages the coordination of various programs at the local level. Additionally, as state administrators of the Weatherization Assistance Program which half the CAA's administer locally, the CEO instituted the Crisis Intervention Project, in conjunction with the Department of Public Welfare, (which administers the LIHEAP) to serve LIHEAP eligible persons in crisis emergency situations. The CEO will also coordinate its antipoverty efforts by participating on the LIHEAP Advisory Committee.

(9) Provide that fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursal of and accounting for Federal funds paid to the State under this subtitle, including procedures for monitoring and assistance provided under this subtitle and provide that at least every year each State shall prepare in accordance with subsection (f) an audit of its expenditures of amounts received under this subtitle and amounts transferred to carry out the purposes of this subtitle; subsection (f) requires that at least annually each State, local government and Indian Tribe or tribal organization that receives \$100,000 or more (during the fiscal year) in all types of Federal financial assistance must conduct an audit in accordance with the Single Audit Act, Public Law 98-502 (31 U.S.C.A. 75 and OMB Circular A-128. (675(c)(9))

Implementation Plan for Assurance #9

As part of the monitoring procedures, a fiscal review is conducted, though not an extensive one. The Commonwealth requires audit reports as compliance with the provisions of the Single Audit Act of 1984 (P. L. 98-502) and the State's Budget and Accounting Act of 1921, as

amended, and OMB Circular A-133. The Commonwealth's Auditor General's Office annually audits the Department of Community and Economic Development in compliance with the Single Audit Act, and the audit is submitted to the Commonwealth's federal cognizant agency, the Department of Agriculture. Audits are based on the State fiscal year July 1 to June 30.

(10) Permit and cooperate with Federal investigations undertaken in accordance with Section 679 and (675(c)(10)).

Implementation Plan for Assurance #10

The Commonwealth will comply with any and all Federal investigations undertaken in accordance with the above referenced section.

(11) Provide assurances that any community action agency or migrant and seasonal farmworkers organization which received funding in the previous fiscal year under this Act will not have its present or future funding terminated under this Act or reduced below the proportional share of funding it received in the previous fiscal year unless after notice, and opportunity for hearing on the record, the State determines that cause existed for such termination or such reduction subject to review by the Secretary as provided in Section 676A.

(A) For purposes of making a determination with respect to a funding reduction, the term "cause" includes:

(i) a Statewide redistribution of funds under this subtitle to respond to:

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

(bb) the establishment of a new eligible entity;

(cc) severe economic dislocation; and

(ii) the failure of an eligible entity to comply with the terms of its agreement to provide services under this subtitle, and

(B) for purposes of making a determination with respect to a termination, the term "cause" includes the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under this subtitle. (675(c)(11))

Implementation Plan for Assurance #11

In order to ensure that assurance #11 is complied with, Pennsylvania Act 116 (as amended) provides much the same language as the Federal assurance, that is,

Pennsylvania Act 116 (amended) provides that:

"As established by the formula . . . determination of annual funding levels shall be made by the Secretary based on input from local agencies and the CSBG Advisory Task Force. Any Community Action Agency or migrant and seasonal farmworkers organization which received funding in the previous fiscal year under this Act will not have its present or future funding terminated under this Act or reduced below the proportional share of funding it received in the previous fiscal year unless, after notice and opportunity for hearing on the record, the Commonwealth determines that cause existed for such termination or such reduction, subject however to review under section 676A of the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35, Stat. 357).

(2) For purposes of making a determination with respect to a funding reduction, the term "cause" includes:

(i) a Statewide redistribution of funds under this act to respond to:

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

(B) the establishment of a new eligible entity;

(C) severe economic dislocation; and

(ii) "the failure of an eligible entity to comply with the terms of its agreement to provide services under this act."

(12) In the case of a State which applied for and received a waiver from the Secretary under Public Law 98-189, provide assurances that funds will not be provided under this subtitle by such State to an organization to which such State made a grant under this subtitle in fiscal year 1984 unless such organization allows, before expending such funds, low-income individuals to comment on the uses for which such organization proposes to expend such funds. (675(c)(12))

Implementation Plan for Assurance #12

This Assurance is not applicable to Pennsylvania.

(13) Secure from each eligible entity as a condition to its receipt of funding under this Act a community action plan (which shall be available to the Secretary for inspection) that includes—

(A) a community needs assessment (including food needs);

(B) a description of the service delivery system targeted to low-income individuals and families in the service area;

(C) a description of how linkages will be developed to fill identified gaps in service through information, referral, case management and follow-up consultations;

(D) a description of how funding under this Act will be coordinated with other public and private resources; and

(E) a description of outcome measures to be used to monitor success in promoting self-sufficiency, family stability and community revitalization; (675(c)(13))

Implementation Plan for Assurance #13

With the notification of its allocation, each agency receives instructions for submission of its 1997 Work Plan.

Work Plans must include an assessment of local needs, eligible services to be provided, the methods of operation to provide the services, a description of the system by which the proposed program can be measured, the accounting and fiscal control procedures for the proposed program, and a description of the agency's board composition. The Work Plans for special projects have the same requirements.

Grantees receiving 90% funds must include documentation that the public at large had an opportunity to review, comment and provide input into the grantee's Work Plan.

(14) 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 funds under this subtitle. (675(c)(14))

Implementation Plan for Assurance #14

The Department's standardized contract contains the following language under Article III;

(a) Compliance with Federal Statutes and Regulations: The Contractor agrees to comply with all applicable federal statutes and regulations to which the Department is subject including Circular A-102, as amended, entitled Uniform Administrative Requirements for Grants-In-Aid to States and Local Governments; A-110 entitled Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-profit Organizations; A-87 entitled Cost Principles for States and Local Governments; and A-122 entitled Cost Principles for Non-profit Organizations.

(15) Public Law 103-227, Part C. Environmental Tobacco Smoke, also known as the Pro Children Act of 1994 (Act), 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 Federal Programs either directly or through States or local governments by Federal grant, contract, loan or loan guarantee.

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

Implementation Plan for Assurance #15

Appendix C of the Department's contract, Assurances and Special Conditions for the CSBG program, contains the following language:

Pursuant to the Federal Pro-Children Act of 1994 (20 U.S.C.A. §§ 6081—6084), the Contractor understands that it may not permit smoking within any indoor facility owned or leased or contracted for and utilized by Contractor, or an assignee of contractor, for provision of routine or regular kindergarten, elementary, or secondary education or library services to children; and that, in addition, it may not permit smoking within any indoor facility (or portion thereof) owned or leased or contracted for by Contractor, or an assignee of Contractor, for the provision of regular or routine health care or day care or early childhood development (Head Start) services to children or for the use of the employees of Contractor, or an assignee of Contractor, who provides such services."

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