



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

**COMMUNITY SERVICES BLOCK GRANT (CSBG)  
TRIBAL TRAINING & TECHNICAL ASSISTANCE PROGRAM**

**Fiscal Year 2023**

**Community Services Block Grant (CSBG)  
Tribal Plan & Application**

**Fillable-PDF Tool  
for Tribes & Tribal Organizations**



**Administration for Children & Families  
Office of Community Services**

Lux Consulting Group, Inc. is proud to serve Native American communities as the Community Services Block Grant (CSBG) Tribal Training & Technical Assistance Program provider. This publication was created by Lux Consulting Group, Inc. in the performance of the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services, Grant Number #GS-10F-0328T/75P00119F80215. Any opinion, findings, and conclusions, or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Health and Human Services, Administration for Children and Families.

## Overview

The FY 2023 CSBG Tribal Plan & Application Fillable-PDF Tool was developed by the CSBG Tribal Training and Technical Assistance Program and is provided as a technical assistance tool to assist applicants in producing the CSBG Tribal Plan required in [Section 676 of the CSBG Act](#).

The CSBG Tribal Training & Technical Assistance Program offers free 1:1 support to current and prospective CSBG Tribal grant recipients. Contact the CSBG Tribal TTA team at [tribalta@luxcg.com](mailto:tribalta@luxcg.com) or (301) 244-3557.

## Instructions

1. Download this Fillable-PDF Tool onto your computer and save it before opening it in [Adobe Acrobat](#) to begin working on it. Loss of data will occur if the tool is not downloaded, saved, and opened in the Adobe Acrobat program prior to entering data.
2. Where signatures are required, wait until the entire CSBG Plan is fully complete before adding signatures.
3. Signatures for CSBG Statement of Assurances, Federal Certifications, and any Delegations of Authority are valid for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization. If there has been a change in the Authorized Official for the Tribe or Tribal Organization, new signatures must be provided. ([Instructions](#) for adding digital signatures.)
4. All boxes on the form require data entry (answers) or the form will not save properly. If there is a required entry that is not applicable to the services and activities planned by your organization, please indicate "Not Applicable" in the box.
5. This application and all support material documents must be saved and combined into a single PDF file. ([Instructions](#) for combining materials into a single PDF file).
6. All grant recipients must submit a FY 2023 CSBG Tribal Plan & Application Fillable-PDF Tool via the [On-Line Data Collection \(OLDC\) system](#) by September 1, 2022. The contact person for OLDC issues is Niki Frazier, OCS Senior Records Specialist/Project Lead, at [nikita.frazier@acf.hhs.gov](mailto:nikita.frazier@acf.hhs.gov).

## CSBG Tribal Plan & Application Materials

### SF-424M Form

*All grant recipients must complete an updated SF-424M Form with their application materials. (Including those grant recipients in the middle of a two-year plan.)*

- The Tribe or Tribal Organization is a returning grant recipient and will complete the electronic SF-424M form in the OLDC system.
- The Tribe or Tribal Organization is a first-time/prospective grant recipient and will follow the instructions provided by their OCS Program Specialist regarding the SF-424M.

### Section 1 - CSBG Tribal Administrative Information/Transmittal Letter

*Provide the following information in relation to the Tribe or Tribal Organization designated to administer CSBG as required in [Sections 676 and 677 of the CSBG Act](#), the [Human Services Reauthorization Act of 1998 \(P.L.105-285\)](#), and relevant federal policy guidance. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.*

#### 1.1 Name of Tribal Grant Recipient:

##### 1.1.a Name of Tribe or Tribal Organization:

##### 1.1.b If a Tribal Organization is representing more than one Tribe, Village or Community, please list the names of all Tribes, Villages and Communities represented: *(List of names can be separated by commas.)*

**1.2 Fiscal Years covered by the CSBG Tribal Plan:**

*Note: CSBG Tribal Plans covering a two-year period are strongly recommended to help ease grant recipient administrative burden.*

One-Year Plan: FY 2023 (10/1/2022 to 9/30/2023)

Two-Year Plan: FY 2023 and FY 2024 (10/1/2022 to 9/30/2024)

**1.3 Authorized Tribal Official to receive the CSBG Grant Award:** *List contact information for the Authorized Tribal Official (Chairperson/Chief/CEO) who is to receive the CSBG Grant Award.*

**1.3.a Authorized Tribal Official Name:**

**1.3.b Authorized Tribal Official Title:**

**1.3.c Street Address:**

**1.3.d City, State, Zip Code:**

**1.3.e Telephone:**

**1.3.f Fax:**

**1.3.g Email:**

**1.3.h Website:**

**1.4 Tribal CSBG Program Contact Person:** *List the individual within the grant recipient organization with responsibility for managing the Community Services Block Grant program and providing information about CSBG services and activities.*

**1.4.a CSBG Program Contact Person's Name:**

**1.4.b CSBG Program Contact Person's Title:**

**1.4.c Street Address:**

**1.4.d City, State, Zip Code:**

**1.4.e Telephone:**

**1.4.f Fax:**

**1.4.g Email:**

**1.5 Delegation of Authority:** Is this Tribe or Tribal Organization's Authorized Tribal Official (Chairperson/Chief/CEO) delegating signature authority to any other individual to sign assurances, certifications, and other required CSBG documents on their behalf?

**1.5.a**  No, Chairperson/Chief/CEO does not delegate authority to another individual. *(If signature authority is not being delegated, please skip ahead to Section 2.)*

- Yes, Chairperson/Chief/CEO does delegate authority to another individual. *(If yes, complete the information below regarding the person receiving signature authority and sign.)*

**1.5.b Additional Authorized Official:**

**1.5.b.i Name of Additional Authorized Official:**

**1.5.b.ii Title of Additional Authorized Official:**

**1.5.b.iii Telephone Number of Additional Authorized Official:**

**1.5.b.iiii Email of Additional Authorized Official:**

**1.5.c Signature of Chairperson/Chief/CEO Delegating Authority:** *(Signature only needed if delegation of authority is being granted.)*

I hereby attest that I delegate signature authority to the individual listed above to sign assurances, certifications, and other required CSBG documents on my behalf.

**1.5.c.i Chairperson / Chief / CEO Name:**

**1.5.c.ii Chairperson / Chief / CEO Title:**

**1.5.c.iii Chairperson/Chief/CEO Signature:** *(If applicable)*

## Section 2 - Tribal Resolution & Recognition

### 2.1 Is the applicant representing more than one Tribe?

- No, the applicant does not represent more than one Tribe.
- Yes, the applicant represents more than one Tribe and will attach copies of the Tribal Resolutions granting authority to receive CSBG funds.


### 2.2 Federal or State Recognition:

#### 2.2.a Do all Tribes, Villages, Communities served by the grant recipient have state or federal recognition?

- Yes *(Please provide information requested on items 2.2.b and 2.2.c)*
- No *(Please explain in the box below.)*

#### 2.2.b Federal Recognition: *For all federally recognized entities, provide the full name(s) of the Tribe, Village, Community or Tribal Organization as it appears in the U.S. Federal Register list of [Indian Entities Recognized by and Eligible To Receive Services From the United States Bureau of Indian Affairs](#), published on 01/28/2022.*

**2.2.c State Recognition:** *For any entities without federal recognition, please provide citation information for the State statute or code acknowledging State Recognition.*





## Section 3 - CSBG Tribal Plan Mission, Goals & Objectives

**3.1 Mission & Responsibilities:** The mission and responsibilities of the agency or department within the Tribe or Tribal Organization that will administer the CSBG program.

*Briefly describe the mission and responsibilities of the agency or department within the Tribe or Tribal Organization that will administer the CSBG program.*

**3.2 CSBG Goals & Objectives:** The CSBG-specific goals and objectives for the proposed CSBG funding within the Tribe or Tribal Organization.

*Briefly describe the Tribe or Tribal Organizations' CSBG-specific goals and objectives for the Community Services Block Grant funding.*



**Section 4 - CSBG Public Review (Public Hearing) Requirements**

**4.1 CSBG Public Review (Public Hearing) Requirements:** *All applicants must provide evidence that the CSBG Tribal Plan was made available to the public for review and comment (e.g. via the Tribe or Tribal Organization’s website) for a minimum of 10 business days. Evidence must also be provided that the Tribe or Tribal Organization specifically notified stakeholders that the CSBG Tribal Plan was available for public review and comment.*

- Yes, the Tribe or Tribal Organization made the CSBG Tribal Plan publicly available for review and comment for a minimum of 10 business days.

**4.1a Public Review Details:**

<b>Method of Public Review</b>	<b>Dates</b>
<i>Describe the way the CSBG Tribal Plan was made available for public review and comment.</i>	<i>Enter a range of dates. (mm/dd/yyyy to mm/dd/yyyy)</i>

**4.1.b Notification to Stakeholders:**

<b>Notification Method</b>	<b>Dates</b>
<i>Describe the way stakeholders were notified that the CSBG Tribal Plan was available for public review and comment.</i>	<i>Enter dates. (mm/dd/yyyy)</i>

**Section 5 - Use of Funds and Fiscal Controls**

**5.1 Planned CSBG Allocation Funds:** *According to the CSBG Act, not more than five (5) percent can be allocated to administrative items, and not less than 95 percent can be allocated to program funds. For program funds, please specify the percentage of funds that will be allocated for each of the CSBG core service delivery areas. (The total of all percentages should add up to 100%.) If this is a two-year plan, please provide the planned allocations for both years.*

	Fiscal Year <input type="text"/> % of CSBG Funding	Fiscal Year <input type="text"/> % of CSBG Funding
<b>Administrative Funds</b> <i>(Not more than 5%)</i>		
<b>CSBG Program Funds for Core Services</b> <i>(Not less than 95%)</i>		
<b>Self-Sufficiency</b>		
<b>Employment and Job Training</b>		
<b>Education</b>		
<b>Income-Management</b>		
<b>Housing</b>		
<b>Emergency Assistance</b>		
<b>Partnerships and Community Engagement</b>		
<b>Youth Development</b>		
<b>Program Linkages</b>		
<b>Service Coordination</b>		
<b>Health and Nutrition</b>		
<b>Total</b>		

**5.2 Limitation on the Use of Funds:** The Tribe or Tribal Organization acknowledges and assures that they will abide by the CSBG limitations outlined in [Section 678F of the CSBG Act](#) as follows:

- Funds will not be used for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility without an approved federal waiver. (View instructions in [Section 678F of the CSBG Act](#) for information on waivers.)
- Funds will not be used for any activities associated with voter registration or political election activities;
- 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 CSBG funds.

**5.3 Single Audit Review:** Provide the date and the period (timeframe) that the most recent audit covers.

Date <i>Enter a date (mm/dd/yyyy)</i>	Period

## Section 6 - Individual Eligibility and Targeted Community Eligibility

**6.1 Individual Eligibility:** *Describe policies and/or procedures for determining eligibility for individual services, including policies and/or procedures when individual income verification is not possible or practical.*

**6.2 Targeted Community Eligibility:** *For those services that provide a community-wide benefit, describe how the Tribe or Tribal Organization ensures that services target and benefit low-income communities.*

## Section 7 - CSBG Statement of Assurances

### Community Services Block Grant Assurances

#### [Community Services Block Grant Reauthorization Act of 1998: P.L. 105-285g](#)

*Read all sections of the CSBG Assurances (summarized below and detailed in Section 676 of the Community Services Block Grant Reauthorization Act of 1998: P.L. 105-285). To affirm, enter the Authorized Tribal Official's signature on "7.1.a.iii Authorized Tribal Official Signature."*

#### **Statement of CSBG Assurances:**

As a part of the annual or biannual application and plan required by subsection 676 of Community Services Block Grant Act, as amended, (412 U.S. C.9901 et seq.) (The Act), the designee of the Chief Executive of the State hereby agrees to the Assurances in Section 676 of the Act (summarized below and detailed in Section 676 of the CSBG Act) —

#### **Programmatic Assurances**

(1) An assurance that funds made available through the grant or allotment will be used for at least one of the following purposes [per 676(b)1] —

(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:

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

(ii) to secure and retain meaningful employment;

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

(iv) to make better use of available income;

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

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



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

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

(i) programs for the establishment of violent-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);

(ii) after-school childcare programs.

**(C)** to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle.

**(2)** An assurance that information provided by the Tribe will contain the following [per 676(b)3] —

**(A)** a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income Individuals and families in communities within the Tribe;

**(B)** a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;

**(C)** a description of how funds made available through grants made under section 675C(a) will be coordinated with other Public and private sources;

**(D)** a description of how the Tribe will use the funds to support innovative initiatives, which may include fatherhood initiatives and other initiatives with the goals of strengthening families and encouraging effective parenting.

**(3)** An assurance that the Tribe 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. [per 676(b)4]

(4) An assurance that the Tribe will ensure coordination between anti-poverty programs in each community within the Tribe, and ensure, where appropriate, the emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community. [per 676(b)6]

(5) An assurance that the Tribe will permit and cooperate with Federal investigations undertaken in accordance with section 678D. [per 676(b)7]

(6) An assurance that the Tribe will participate in the Results Oriented Management Accountability (ROMA) System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability, and community revitalization. [per 676(b)13]

### **Administrative and Financial Assurances**

The Tribe further agrees to the following administrative assurances, as required under the Community Services Block Grant Act —

(1) An assurance to 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 as required by Section 678F(b)(2)(B) and (C) of the Act.

(2) An assurance to expend for administrative expenses an amount not to exceed the greater of five percent of its allotment or the percentage represented by the ratio of \$55,000 to the smallest State allotment for the fiscal year as required by Section 675(C)(b)(2) of the Act.

(3) An assurance that the Tribe agrees to provide that fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of the accounting for Federal funds paid to the Tribe or Tribal Organization under this subtitle, including monitoring the assistance under this subtitle. 678D(a)(1)(A)

(4) An assurance that each Tribe that expends \$750,000 or more (during the fiscal year) in all types of Federal financial assistance must conduct an audit in accordance with the Single Audit Act, P.L. 98-502 (3) U.S.C 75 and OMB Circular A-133 Subpart B). 678D(2)(B)

(5) An assurance that the Tribe will make each CSBG Tribal Plan or revised plan available for public inspection in such a manner as will facilitate public review of

and comment on the proposed use and distribution of CSBG funds. [per 676(a)(2)(B) and 676(e)(2)]

**Other Administrative Certifications**

The Tribe also certifies the following —

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget shall apply to a recipient of Community Services Block Grant program funds. [per 678D(a)(1)(B), as well as 2 CFR 200, Uniform Administrative Requirements and 45 CFR 75]

**7.1 Authorized Tribal Official Affirmation Signature:**

***Reminder:***

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *CSBG Assurances signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the assurances above.

**7.1.a Name of Tribe or Tribal Organization:**

**7.1.b Authorized Tribal Official Name:**

**7.1.c Authorized Tribal Official Signature:**

## Section 8 - Implementation of CSBG Assurances & Purpose of Funds

**8.1 CSBG Service Delivery System:** *Describe the Tribe or Tribal Organization's CSBG Service Delivery System.*

**8.2 CSBG Geographical Areas and Individuals:** *Describe the geographical areas and categories of the individuals served with CSBG funding.*



**8.3 Method & Criteria for Distribution of Funds:** *Describe the criteria and method used for distribution of funds.*

**8.4 Purpose of Funds:** *Describe the activities supported with CSBG program funds for core services, including activities that will address **at least one** of the following three areas (8.4.a, 8.4.b, and 8.4.c, as applicable)*

**8.4.a Assisting low-income families and individuals in:** (i.) removing obstacles that block the achievement of self-sufficiency; (ii.) secure and retain meaningful employment; (iii.) attain adequate literacy and education; (iv.) make better use of available income; (v.) obtain and maintain adequate housing; (vi.) obtain emergency assistance; and/or (vii.) achieve greater participation in the affairs of the communities.

*Provide a description of how funds will be used to assist low-income families/individuals. (If these types of services or activities are not to be provided, indicate "Not Applicable" below.)*

**8.4.b Addressing the needs of youth in low-income communities through youth development programs.**

*Provide a description of how funds will be used to address the needs of youth in low-income communities. (If these types of services or activities are not to be provided, indicate "Not Applicable" below.)*



**8.4.c Making more effective use of, and coordinating with, other programs related to the purposes of the CSBG Act.**

*Provide a description of how funds will be used to leverage or coordinate with other programs communities related to the purpose of the CSBG Act. (If these types of services or activities are not to be provided, indicate "Not Applicable" below.)*

**8.5 Linkages to fill service gaps:** *Provide a description of how funds will be used to develop linkages to fill identified gaps in services. For example, through the provision of information, referrals, case management, and follow up consultations.*



**8.6 Public-private resource coordination:** *Provide a description of how funds will be used to support the coordination of private resources in addition to public resources.*

**8.7 Innovative community and neighborhood-based initiatives:** *Provide a description of how funds will be used to support innovative and neighborhood-based initiatives.*

**8.8 Plan for the provision of emergency services:** *Provide a description of how funds will be used to support emergency services, including emergency food-related services. (Optional description. If a description of the plan for emergency services is not being provided, indicate “No description” below.)*

**8.9 Performance management and accountability system:** *Provide a description of the performance management and accountability system to be used to assess progress toward the CSBG goals and objectives. (Optional description. If a description of the performance management and accountability system is not being provided, indicate “No description” below.)*

## Section 9 - Federal Certifications

**Federal Certifications:** *Below are each of the four required Federal Certifications. At the end of each certification, provide the Authorized Tribal Official's signature to affirm compliance with the certifications, if required.*

**Reminders:**

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *Federal certification signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*
- *For the Certification Regarding Drug-Free Workplace Requirements, a physical address for site(s) of performance (not a P.O. box number) must be provided.*

### 9.1 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.

**9.1.a Authorized Tribal Official Signature:**

**Reminders:**

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *CSBG Assurances signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

**9.1.a.i Name of Tribe or Tribal Organization:**

**9.1.a.ii Authorized Tribal Official Name:**

**9.1.a.iii Authorized Tribal Official Signature:**



## 9.2 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.

Instructions for certifications:

- (1) By signing and/or submitting this application or grant agreement, the grant recipient 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 grant recipient 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 grant recipients other than individuals, Alternate I applies.
- (4) For grant recipients who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grant recipients other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grant recipient does not identify the workplaces at the time of application, or upon award, if there is no application, the grant recipient 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 grantrecipient'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 grant recipient 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. Grant recipients 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 grant recipient 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 grant recipient's payroll. This definition does not include workers not on the payroll of the grant recipient (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grant recipient's payroll; or employees of subrecipients or subcontractors in covered workplaces).

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

#### **Alternate I. (Grant Recipients Other Than Individuals)**

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

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

**9.2.a Place of Performance (street, city, county, state, zip code)**

Check if there are workplaces on file that are not identified here. Alternate II.  
(Grant recipients Who Are Individuals)

(a) The grant recipient 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]

**9.2.b Authorized Tribal Official Signature:**

***Reminders:***

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *CSBG Assurances signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

**9.2.b.i Name of Tribe or Tribal Organization:**

**9.2.b.ii Authorized Tribal Official Name:**

**9.2.b.iii Authorized Tribal Official Signature:**

### **9.3 Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

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

##### Instructions for Certification:

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not

knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

\*\*\*\*\*

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

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

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Lower Tier Covered Transactions

Instructions for Certification:

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous

when submitted or had become erroneous by reason of changed circumstances.

- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (8) 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.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily



excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

\*\*\*\*\*

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**9.3.a Authorized Tribal Official Signature:**

***Reminders:***

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *CSBG Assurances signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

**9.3.a.i Name of Tribe or Tribal Organization:**

**9.3.a.ii Authorized Tribal Official Name:**

**9.3.a.iii Authorized Tribal Official Signature:**

**9.4 Certification Regarding Environmental Tobacco Smoke**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children’s services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grant recipient certifies that it will comply with the requirements of the Act. The applicant/grant recipient further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children’s services and that all subgrant recipients shall certify accordingly.

**9.4.a Authorized Tribal Official Signature:**

***Reminders:***

- *Wait until the entire CSBG Plan is fully complete before adding signatures.*
- *CSBG Assurances signatures are authorized for up to two years unless there is a change in the Authorized Official for the Tribe or Tribal Organization.*

I hereby affirm that the Tribe or Tribal Organization will ensure compliance with the certification above.

**9.4.a.i Name of Tribe or Tribal Organization:**

**9.4.a.ii Authorized Tribal Official Name:**

**9.4.a.iii Authorized Tribal Official Signature:**

## Section 10 - Annual Report

A CSBG Annual Report is required to be submitted by March 31 each fiscal year for all Tribes and Tribal Organizations that receive CSBG funding, including Tribal grant recipients with approved one-year and two-year CSBG Tribal Plans. **A FY 2023 CSBG Annual Report for the reporting period 10/01/2022 - 09/30/2023 will be due by March 31, 2024 and must be submitted via the On-Line Data Collection (OLDC).**

The CSBG Annual Report provides a detailed budget, a narrative description of how the Tribal grant recipient met its CSBG goals and objectives, and information on the types of projects supported with CSBG funding.

### 10.1 Mandatory Annual Report:

- Yes, the grant recipient will complete and submit a FY 2023 CSBG Annual Report by March 31, 2024 with a detailed budget, a narrative description of how the Tribal grant recipient met its CSBG goals and objectives, and information on the types of projects supported with CSBG funding.

## Review & Save

*Before adding signatures, review and confirm that all required information has been answered. It is also helpful to save the PDF again.*

## Add Signatures

*To complete the CSBG Tribal Plan, official signatures must be provided. (OCS will not accept plans without official signatures.) There are five required signatures (listed below), plus one additional signature required (Item 1.5.c.iii) if delegation of signature authority is being granted.*

*The official signature of the Tribe or Tribal Organization's Authorized Official are needed in the following sections:*

- Section 1, Item 1.5.c.iii (if applicable)
- Section 7, Item 7.1.a.iii
- Section 9, Item 9.1.a.iii
- Section 9, Item 9.2.b.iii
- Section 9, Item 9.3.a.iii
- Section 9, Item 9.4.a.iii

## Save Again & Upload to OLDC

*Once signatures have been added, save the final signed PDF file. It is ready to be uploaded to the [OLDC system](#) as part of the official FY 2023 CSBG Tribal Plan & Application submission.*

## End of Form

## Additional Detailed Instructions

### Consolidating PDFs of Additional Required Materials

OCS requires that a few additional materials be attached to the completed FY 2023 CSBG Tribal Plan & Application. To follow are the required additional materials:

- State Recognition documentation (only if citation of State statute was unavailable)
- Tribal Resolution (only if representing more than one Tribe)

Save these additional materials as PDF files by scanning a document, if not already an electronic document. Documents should not be encrypted or password-protected.

- Note: To include pictures highlighting program activities, place images in a word document and convert it to PDF format.

The FY 2023 CSBG Tribal Plan & Application Fillable-PDF Tool and all final materials should be consolidated into a single PDF Portfolio, no larger than 10 MB.

- Add electronic/manual signatures before creating a PDF Portfolio.
- Follow [Adobe Acrobat 2020 and Adobe Acrobat DC Instructions](#) to combine all PDF documents and create a PDF Portfolio.

After completing, signing, and saving the PDF Portfolio, the PDF is ready to be uploaded to the OLDC system as the official FY 2023 CSBG Tribal Plan & Application package.

## On-Line Data Collection (OLDC) System

Refer to the [Step-by-Step OLDC Instructions for FY 2023 CSBG Tribal Plan & Application Submission](#) for detailed instructions on how to submit the official FY 2023 CSBG Tribal Plan & Application package via the OLDC system.

All grant recipients must submit a FY 2023 CSBG Tribal Plan & Application materials by September 1, 2022 using the [On-Line Data Collection \(OLDC\)](#) system. Follow the [Step-by-Step OLDC Instructions for FY 2023 CSBG Tribal Plan & Application Submission](#) for details on how to upload the CSBG Tribal Plan and support materials as an attachment to the SF-424M Form in the OLDC system.

**Current CSBG Grant Administrators:** Login to the [OLDC System](#) and confirm that CSBG is listed under programs. If you are unable to log in or CSBG is not listed under programs, complete an [OLDC Access Form](#) and submit to Niki Frazier, OCS Senior Records Specialist/Project Lead, at [nikita.frazier@acf.hhs.gov](mailto:nikita.frazier@acf.hhs.gov).

**New CSBG Administrators (Current Grant Recipients):** To gain access to the OLDC System, new administrators of current CSBG grant recipients must complete an [OLDC Access Form](#) and email it to Niki Frazier, OCS Senior Records Specialist/Project Lead, at [nikita.frazier@acf.hhs.gov](mailto:nikita.frazier@acf.hhs.gov).

## Prospective Grant Recipients

Any Federally or State recognized Indian Tribe or Tribal Organization that is interested in receiving CSBG funds directly must first contact the Office Community Services at [csbgtribes@acf.hhs.gov](mailto:csbgtribes@acf.hhs.gov) to receive specific instructions. First-time applicants/prospective grant recipients will then submit the following before completing a CSBG Tribal Plan & Application:

- Employer Identification Number (EIN) Number; and
- A signed [statement of agreement](#) between the Tribe or Tribal Organization and the State confirming the Tribal population and the percentage of Tribal poverty in the state.