

**STATE OF IOWA
COMMUNITY SERVICES BLOCK GRANT PROGRAM (CSBG)**

FFY 2024 CSBG PROGRAM OPERATIONS REVIEW QUESTIONNAIRE
(April 5, 2024)

AGENCY: _____

DATE OF CAA REVIEW: _____

CSBG PROGRAM YEAR: 2024 _____

CAA REVIEW CONDUCTED BY: _____

AGENCY CERTIFICATION

EXECUTIVE DIRECTOR'S SIGNATURE: _____

TYPED OR PRINTED NAME: _____

DATE OF AGENCY CERTIFICATION: _____

The Executive Director's signature and date signed indicates certification of the information provided on and in connection with this CSBG program operations review document is correct to the best of his or her knowledge.

INSTRUCTIONS:

This questionnaire is part of the CAA's CSBG program operations review process.

Complete and submit this questionnaire to the CAA. The questionnaire has been pre-populated with information recorded from the last time the CAA completed a CSBG program operations review.

The CAA will review the completed questionnaire and contact the agency for additional information if necessary.

Agency Policies, Procedures, and Operations

1. Child Support Services (#1504)

- YES NO Does the agency have child support services policies or practices in place?
Do the agency's child support services policies or practices:
- YES NO (1) educate employees about the child support services requirement
- YES NO (2) require employees to inform custodial parents in single-parent families that participate in agency programs or services about the availability of child support services
- YES NO (3) require employees to refer eligible custodial parents in single-parent families that participate in agency programs or services to the child support offices of state and local governments

2. Client Appeal and Hearing Procedures (#1505)

- YES NO Does the agency have CSBG client appeal and hearing procedures?

Website: Community Concern/Complaint Procedure

3. Client Confidentiality (#1506)

- YES NO Does the agency have client confidentiality policies or practices in place?
- YES NO Do the agency's client confidentiality policies or practices address the following:
- Information pertaining to a client receiving services shall be held confidential
 - Information pertaining to a client receiving services shall not be disclosed or used by any person or agency except for purposes of administering services
 - Information pertaining to a client receiving services shall not be disclosed or used by any person or outside organization except upon consent of the client by a signed release
 - General and statistical information may be disclosed so long as the information does not identify the client being provided the services

4. Code of Conduct (Code of Ethics) (Agency) (#1509)

- YES NO Does the agency have adopted ethics standards (Code of Ethics)?
- YES NO Does the agency's Code of Ethics include board member fiduciary duties (duty of care, duty of loyalty, and duty of obedience) or equivalent standards?
- YES NO Does the agency provide and review the Code of Ethics with its employees?

5. Conflict of Interest (Employees) (#1511)

- YES NO Does the agency have conflict of interest policies?
- YES NO Do the agency's conflict of interest policies establish safeguards to prevent employees, consultants, or board members from using their positions for purposes that are, or give the appearance of being, motivated by the desire for private gain for themselves or others with whom they have family, business, or other ties?
- YES NO Does the agency provide and review the conflict of interest policies with its employees?

6. Construction of Facilities and Land (Purchase or Improvement) (#1512 and #1527)

YES NO In the past 3 years, did the agency use CSBG program funds to purchase, construct, or permanently improve a building or facility, or purchase or improve land?

YES NO N/A Did the agency receive prior approval (CSBG program waiver)?

7. Drug Free Workplace (#1516)

YES NO Does the agency have a drug free workplace statement?

YES NO Does the agency's drug free workplace statement notify employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the agency's workplace?

Does the drug free workplace statement specify:

YES NO (1) the actions that will be taken against an employee for violations of such prohibition

YES NO (2) as a condition of employment the employee will abide by the terms of the statement

YES NO (3) as a condition of employment the employee will notify the agency of any criminal drug statute conviction for a violation occurring in the workplace no later than 5 calendar days after such conviction

8. Drug Free Awareness Program (#1516)

YES NO Does the agency have a drug free awareness program?

Does the drug free awareness program inform employees about:

YES NO (1) the dangers of drug abuse in the workplace

YES NO (2) the agency's policy of maintaining a drug free workplace

YES NO (3) any available drug counseling, rehabilitation, and employee assistance programs

YES NO (4) the penalties that may be imposed upon employees for drug abuse violations

9. Equipment Purchasing, Leasing, Disposing, and Transferring (#1520)

YES NO **PURCHASE:** In the past 3 years, did the agency purchase any equipment (including IT systems) that involved \$5,000 or more (per calendar year) of CSBG program funds?

YES NO N/A Did the agency receive prior approval from the CAA (CSBG Equipment, Vehicles, and Other Capital Expenditures Purchase/Lease Request form)?

YES NO **LEASE:** In the past 3 years, did the agency rent or lease any equipment (including IT systems) that involved \$5,000 or more (per calendar year) of CSBG program funds?

YES NO N/A Did the agency receive prior approval from the CAA (CSBG Equipment, Vehicles, and Other Capital Expenditures Purchase/Lease Request form)?

YES NO **DISPOSE:** In the past 3 years, did the agency dispose or sell unneeded equipment which was purchased with CSBG program funds and whose estimated fair market value, at the time of disposal or sale, was \$5,000 or more?

YES NO N/A Did the agency receive prior approval from the CAA?

YES NO N/A Did the agency credit its CSBG program with the proceeds from the disposal or sale?

YES NO **TRANSFER:** In the past 3 years, did the agency transfer an agency vehicle to its CSBG program?

YES NO N/A Did the agency receive prior approval from the CAA (CSBG Vehicle Transfer Request form)?

10. Insurance (#1524)

YES NO Are the agency's insurance policies current?

YES NO Do the agency's insurance policies cover general liabilities?

YES NO Do the agency's insurance policies cover workers' compensation?

YES NO Do the agency's insurance policies cover employer liability?

11. Limited English Proficiency (Translation and Interpretation Services) (#1529)

YES NO Does the agency have policies or practices in place for providing translation and interpretation services?

YES NO Do the agency's policies or practices for providing translation and interpretation services meet the following requirement:

- Agencies have a legal obligation to provide oral and written language assistance to limited English proficiency persons receiving (or potentially receiving) agency services.

12. Lobbying Activities (#1531)

YES NO Does the agency have lobbying activities policies or practices in place?

YES NO Do the agency's lobbying activities policies or practices address the following requirement:

- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support lobbying activities to influence proposed or pending federal or state legislation or appropriations.

13. Memberships, Subscriptions, and Professional Activities (#1532)

YES NO In the past year, did the agency use CSBG program funds to pay (over \$250 in annual fees) for membership costs to a civic or community organization?

YES NO N/A Did the agency receive prior approval from the CAA (CSBG Civic or Community Organization Membership Request form)?

14. Nepotism (#1533)

YES NO Does the agency have nepotism policies?

YES NO Do the agency's nepotism policies require the disclosure of familiar relationships among employees and between employees and members of the board?

YES NO Do the board's nepotism policies include procedures for disclosing familial relationships among employees and between employees and members of the board?

YES NO Does the agency provide and review the nepotism policies with its employees?

15. Non-Discrimination (Civil Rights Requirements) (Client Services) (#1534)

YES NO Does the agency have non-discrimination (client services) policies or practices in place?

YES NO Do the agency's non-discrimination policies or practices ensure that no person (client) shall, on the basis of race, color, national origin, sex, age, or disability (mental or physical) be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or service funded in whole or in part with CSBG program funds?

16. Non-Discrimination (Civil Rights Requirements) (Employees) (#1534)

YES NO Does the agency have non-discrimination (employees) policies or practices in place?

YES NO Do the agency's non-discrimination policies or practices prohibit discrimination in its employment practices to employees based on race, color, national origin, sex, age, disability (mental or physical), or religion?

YES NO Do the agency's non-discrimination policies or practices protect men and women who perform substantially equal work from sex-based wage discrimination?

17. Non-Discrimination (Civil Rights Requirements) (Applicants for Employment) (#1534)

YES NO Does the agency have non-discrimination (applicants for employment) policies or practices in place?

YES NO Do the agency's non-discrimination policies or practices prohibit discrimination in its employment practices against any applicant for employment because of race, color, national origin, sex, age, or disability (mental or physical)?

YES NO Do the agency's policies or practices ensure that all agency solicitations and advertisements for applicants for employment state that all qualified applicants will receive consideration for employment without regard to race, color, national origin, sex, age, or disability (mental or physical) or equivalent (i.e. Equal Opportunity Employer)?

18. Non-Citizens (#1535)

YES NO Does the agency have policies or practices in place to ensure non-citizens, regardless of their alien status, have meaningful access to agency services?

YES NO Do the agency's policies or practices for ensuring non-citizens have meaningful access to agency services meet the following requirement:

- Non-citizens, regardless of their alien status, cannot be banned from CSBG funded programs or services because of their alien status, unless such exclusion is already authorized by another statute.

19. Political Activities (#1537)

YES NO Does the agency have political activities policies or practices in place?

Do the agency's political activities policies or practices address the following requirements:

- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support:

YES NO (1) partisan or nonpartisan political activities

YES NO (2) political activities associated with a candidate, or contending faction or group, in an election for public or party office

YES NO (3) activities to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election

20. Religious Activity Prohibitions (#1538)

YES NO Does the agency have religious activities policies or practices in place?

YES NO Do the agency's religious activities policies or practices address the following requirement:

- CSBG program funds cannot be used to support inherently religious activities such as religious instruction, worship, or proselytization.

21. Retention of Records (#1540)

YES NO Does the agency maintain CSBG client records for a period of at least 3 years?

22. Smoking (Pro-Children Act of 1994) (#1543)

YES NO Does the agency have non-smoking policies or practices in place?

Do the agency's non-smoking policies or practices address the following Pro-Children Act requirements:

YES NO (1) Smoking is not permitted in any portion of any agency indoor facility (exception: portions of facilities used for inpatient drug or alcohol treatment).

YES NO (2) The Pro-Children Act (Public Law 103227, Part C Environmental Tobacco Smoke) language will be included in any agency subawards which contain provisions for children's services.

23. Voter Registration (#1548)

YES NO Does the agency have voter registration activities policies or practices in place?

YES NO Do the agency's voter registration activities policies or practices address the following requirement:

- CSBG program funds cannot be used by the agency, or any agency subcontractor, to support voter registration activities.

24. Whistleblower (#1549)

YES NO Does the agency have whistleblower policies?

YES NO Do the agency's whistleblower policies prohibit the agency from taking adverse employment action against agency employees who disclose information about an agency service contract?

Do the agency's whistleblower policies inform employees of their rights to disclose information to:

YES NO (1) Division of Community Action Agencies (with phone number)

YES NO (2) The Office of Citizens' Aide (with phone number)

YES NO (3) The Auditor of the State (with phone number)

YES NO (4) The Office of the Attorney General (with phone number)

YES NO In the past 3 years, did the agency receive any complaints or allegations of fraud or abuse of CSBG program funds or funds from a closely related program?

25. Interest Earned (#1710)

YES NO Does the agency maintain interest earned documentation for CSBG program funds?

YES NO In the past 3 years, did the agency remit annual CSBG interest earned to HHS?

YES NO N/A Did the agency maintain CSBG interest earned remittance documentation?

26. Cost-Sharing or Matching

CSBG CONTRACT (Special Terms and Conditions, 28.8)

With the following exceptions, CSBG program funds cannot be used to match the cost-sharing or matching requirements of another federally-funded program, or changed as a cost to such a program.

Americorps (Federal Matching Requirements) (#1502)

CSBG program funds may be used by agencies to meet the cost sharing requirements for the Corporation for National and Community Service Americorps program (OCS, CSBG Information Memorandum, Transmittal #139).

YES NO In the past 3 years, did the agency use CSBG program funds to meet the cost sharing requirements for any Corporation for National and Community Service Americorps program?

Housing and Urban Development (Federal Matching Requirements) (#1523)

CSBG program funds may be used by agencies to meet matching requirements for Department of Housing and Urban Development McKinney-Vento Homeless Assistance programs (OCS, CSBG Information Memorandum, Transmittal #135).

YES NO In the past 3 years, did the agency use CSBG program funds to meet the matching requirements for any Department of Housing and Urban Development McKinney-Vento Homeless Assistance program?

27. LIHEAP Planning and Administration Costs (#1528)

CSBG CONTRACT (Special Terms and Conditions, 28.9): CSBG program funds cannot be used for LIHEAP planning and administration costs. CSBG program funds may be used to pay for LIHEAP costs associated with administering LIHEAP Assurance 16 or LIHEAP program support activities (LIHEAP Statute, Section 2605(b)(16)).

YES NO Is the agency aware of and in compliance with this use of CSBG program funds requirement?

28. Grant Funds Terminated for Cause (#1815)

YES NO In the past 3 years, did the agency have grant funds terminated for cause or default in any federal, state, or local programs other than CSBG?

YES NO N/A Did the agency notify the CAA within 30 calendar days after receiving notice of the termination(s)?