

Model State Plan(CSBG)
CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

COVER PAGE

* 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION

* a. Legal Name: **Missouri Department of Social Services**

* b. Employer/Taxpayer Identification Number (EIN/TIN): **1-446000987-B6** * c. Organizational DUNS: **780870267**

*** d. Address:**

* Street 1:	225 High Street	Street 2:	
* City:	Jefferson City	County:	
* State:	MO	Province:	
* Country:	United States	* Zip / Postal Code:	65102 - 0088

e. Organizational Unit:

Department Name: **Department of Social Services** Division Name: **Family Support Division**

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Steven	Middle Name: B	* Last Name: Milburn
Suffix:	Title: Assistant Deputy Director	Organizational Affiliation: Family Support Division, Community Support Unit	
* Telephone Number: (573) 751-6789	Fax Number: (573) 522-9557	* Email: steven.milburn@dss.mo.gov	

* 8a. TYPE OF APPLICANT:
A: State Government

b. Additional Description:

* 9. Name of Federal Agency:

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant

11. Descriptive Title of Applicant's Project
Missouri CSBG State Plan

12. Areas Affected by Funding:
Statewide

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant
3 b. Program/Project:
Statewide

Attach an additional list of Program/Project Congressional Districts if needed.

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt?			
<input type="radio"/> YES <input checked="" type="radio"/> NO			
Explanation:			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)			
**I Agree <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official		18c. Telephone (area code, number and extension)	
		18d. Email Address	
18b. Signature of Authorized Certifying Official		18e. Date Report Submitted (Month, Day, Year)	
		01/25/2016	
Attach supporting documents as specified in agency instructions.			

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 1
CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by [Section 676\(a\)](#) of the CSBG Act.

The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency	Missouri Department of Social Services		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
<input type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input checked="" type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Other, describe			
1.1c. Division, bureau, or office of the CSBG authorized official	Family Support Division		
1.1d. Authorized official of lead agency	Brian Kinkade		
1.1e. Street Address	225 High Street		
1.1f. City	Jefferson City	1.1g. State MO	1.1h. Zip 65101
1.1i. Telephone number and extension (573) 751 - 4815 ext.		1.1j. Fax number: (573) 522 - 9557	
1.1k. Email address brian.kinkade@dss.mo.gov		1.1l. Lead agency website www.dss.mo.gov	

1.2. Provide the following information in relation to the designated State CSBG point of [contact](#)

1.2a. Agency name	Dept. of Social Services, Family Support Division		
1.2b. Name of the point of contact	Steven Milburn		
1.2c. Street address	615 Howerton Court		
1.2d. City	Jefferson City	1.2e. State MO	1.2f. Zip 65109
1.2g. Point of contact telephone number (573) 751 - 1225 ext.		1.2h. Fax number (573) 522 - 9557	
1.2i. Point of contact email address steven.milburn@dss.mo.gov		1.2j. Point of contact agency website www.dss.mo.gov	

1.3. Designation Letter:

Attach the State's official [CSBG designation letter](#). If either the governor or designated agency has changed, update the letter accordingly.

Section 2: State Legislation and Regulation

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

State statutory authority for Missouri's CSBG program is identified in RSMo 660.370 through 660.376. The statutes define a community action program as a community based and operated program which includes intake, assessment and referral capability in each of its counties and is designed to include a number of projects or components to provide a range of services and activities having a measurable and potentially major impact on causes and conditions of poverty in the community. The statutes restate community action program services and activities as outlined in the Coats Human Services Reauthorization Act of 1998, P.L.105-285. In addition, the statutes provide a definition for a Community Action Agency; address the composition, number and duties of Community Action Agency board of directors and the distribution of funding.
<http://www.moga.mo.gov/mostatutes/stathtml/66000003701.html> <http://www.moga.mo.gov/mostatutes/stathtml/66000003721.html>
<http://www.moga.mo.gov/mostatutes/stathtml/66000003741.html> <http://www.moga.mo.gov/mostatutes/stathtml/66000003761.html>

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

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

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

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

Section 3: State Plan Development and Statewide Goals

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SECTION 3
State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

The Missouri Department of Social Services Mission is to "Maintain or improve the quality of life for Missouri citizens." The Department of Social Services is responsible for coordinating programs to provide public assistance to children and their parents, access to health care, child support enforcement assistance and to provide specialized assistance to troubled youth. While many programs give needed financial assistance and services, other units work toward reducing financial dependency of the citizens on government.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

The State of Missouri, Department of Social Services, Family Support Division will pursue the following goals for the Community Services Block Grant (CSBG) program: 1. Distribute 90% of CSBG funds to eligible entities within thirty (30) days of receipt from the federal government. 2. Develop, in partnership with the eligible entities and the Missouri Association for Community Action (MACA), a comprehensive training and technical assistance plan to increase capacity of Eligible Entities to fulfill the mission of Community Action. 3. Conduct onsite monitoring of eligible entities and discretionary funded programs to ensure CSBG Program and Contract compliance and adherence with CSBG Organizational Performance Standards at least every three years. 4. Develop and implement strategies to extend partnerships among state agencies and other entities to enhance the effectiveness of the Community Action network to achieve common goals. 5. Achieve one hundred percent (100%) compliance with CSBG Organizational Performance Standards by Federal Fiscal Year 2017 (FFY 2017)

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

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

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

State association technical assistance surveys; Organizational Performance Standards Self-Assessments

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

- Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T&TA providers
- State partners and/or stakeholders (describe)
- National organizations (describe)
- Federal Office of Community Services
- Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

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

a) Family Support Division, Community Support Unit (CSU) manager meets monthly with the Executive Director and representatives from the Missouri Association for Community Action (MACA) (the state association) to discuss technical assistance plans for eligible entities. b) CSU manager meets quarterly with the Missouri Community Action Directors Association (MCADA), the chief executives of the eligible entities, to discuss technical assistance needs and challenges. c) CSU manager and staff meet bi-monthly with the Community Action Agencies Outreach Managers Professional Alliance (OMPA) to address their questions, concerns, and requests for assistance. d) CSU manager and/or CSU staff meet with other Community Action Agency professional alliances at their requests to address questions, concerns, and technical assistance needs. e) CSU meets with eligible entity Chief Executives as part of the CSBG and LIHEAP monitoring process. f) The Department of Social Services, Family Support Division, Community Support Unit conducts a hearing in accordance with CSBG Statute, to seek feedback on the CSBG State Plan.

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

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order
1) to encourage eligible entity participation and
2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with [State Accountability Measures 1Sb\(f\) and \(i\)](#) and may pre-populate the State's annual report form)

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

3.5. Eligible Entity Overall Satisfaction:

Provide the State's [target](#) for eligible entity Overall Satisfaction during the performance period:

(Note: Item 3.5 is associated with [State Accountability Measure 8S](#) and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

The Family Support Division, Community Support Unit made the CSBG State Plan available for public comment at a Public Hearing on August 28, 2015. Public comments were accepted by mail and electronic mail from August th through August 28th, 2015.

4.2. Public Notice/Hearing:

Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

The Department of Social Services, Family Support Division posted notice of the Public Hearing in the four largest newspapers in the state, distributed the notice to all eligible entities, and publicly posted notice in the State Capitol ten days in advance of the Public Hearing and comment period. The Draft CSBG State Plan was posted to the Department of Social Services website August 17th, and distributed by email to all Community Action Agency Executive Directors on August 21st. One Community Action Agency Executive Director formally replied (email attached), other CAA Executive Directors provided informal feedback to the State CSBG Manager, expressing acceptance of the proposed CSBG State Plan. The CSBG Public Hearing was conducted on August 28th, with options to participate by telephone. No additional comments were received during the Public Hearing, and the State CSBG Manager forwarded the CSBG State Plan to the DSS Dept. Director's Office for Certification.

4.3. Public and Legislative Hearings:

Specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing [Select an option]
1	08/28/2015	Knipp State Office Building 3418 Knipp Drive Jefferson City, MO 65109	Public

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

The Missouri Legislature held legislative hearings on CSBG as part of the Budget process: The Missouri House of Representatives Budget Committee conducted their legislative hearing on House Bill 11 on February 2, 2015; The Missouri Senate conducted their legislative hearing on House Bill 11 on March 19, 2015. <http://www.house.mo.gov/BillActions.aspx?bill=HB11&year=2015&code=R>

Section 5: CSBG Eligible Entities

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SECTION 5
CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	1. Central Missouri Community Action (CMCA)	Nonprofit	Community Action Agency (CAA)	Audrain, Boone, Callaway, Cole, Cooper, Howard, Moniteau, Osage	
2	2. Community Action Agency of St. Louis County (CAASTLC)	Nonprofit	Community Action Agency (CAA)	St. Louis County	
3	3. Community Action Partnership of St. Joseph (CAPSTJOE)	Nonprofit	Community Action Agency (CAA)	Andrew, Buchanan, Clinton, Dekalb	
4	4. Community Services, Inc. of Northwest Missouri (CSI)	Nonprofit	Community Action Agency (CAA)	Atchison, Gentry, Holt, Nodaway, Worth	
5	5. Delta Area Economic Opportunity Corporation (DAEOC)	Nonprofit	Community Action Agency (CAA)	Dunklin, Mississippi, New Madrid, Pemiscot, Scott, Stoddard	
6	6. East Missouri Action Agency (EMAA)	Nonprofit	Community Action Agency (CAA)	Bollinger, Cape Girardeau, Iron, Madison, Perry, St. Francois, Ste. Genevieve, Washington	
7	7. Economic Security Corporation (ESC)	Nonprofit	Community Action Agency (CAA)	Barton, Jasper, McDonald, Newton	
8	Green Hills Community Action Agency (GHCAA)	Nonprofit	Community Action Agency (CAA)	Caldwell, Daviess, Grundy, Harrison, Linn, Livingston, Mercer, Putnam, Sullivan, Carroll, Ray	
9	9. Jefferson-Franklin Community Action Corporation (JFCAC)	Nonprofit	Community Action Agency (CAA)	Franklin, Jefferson	
10	10. Missouri Ozarks Community Action, Inc. (MOCA)	Nonprofit	Community Action Agency (CAA)	Camden, Crawford, Gasconade, Laclede, Maries, Miller, Phelps, Pulaski	
11	11. Missouri Valley Community Action Agency (MVCAA)	Nonprofit	Community Action Agency (CAA)	Carroll, Chariton, Johnson, Lafayette, Pettis, Ray, Saline	
12	12. North East Community Action Corporation (NECAC)	Nonprofit	Community Action Agency (CAA)	Lewis, Lincoln, Macon, Marion, Monroe, Montgomery, Pike, Ralls, Randolph, Shelby, St. Charles, Warren	
13	13. Northeast Missouri Community Action Agency (NMCAA)	Nonprofit	Community Action Agency (CAA)	Adair, Clark, Know, Scotland, Schuyler	
14	14. Ozark Action, Inc. (OAI)	Nonprofit	Community Action Agency (CAA)	Douglas, Howell, Oregon, Ozark, Texas, Wright	
15	15. Ozarks Area Community Action Corp. (OACAC)	Nonprofit	Community Action Agency (CAA)	Barry, Christian, Dade, Dallas, Greene, Lawrence, Polk, Stone, Taney, Webster	
	16. People's Community		Community Action Agency	Cities of St. Louis and	

16	Action Agency (PCAC)	Nonprofit	(CAA)	Wellston	
17	17. South Central Missouri Community Action Agency (SCMCAA)	Nonprofit	Community Action Agency (CAA)	Butler, Carter, Dent, Reynolds, Ripley, Shannon, Wayne	
18	18. United Services Community Action Agency (USCAA)	Nonprofit	Local Government Agency	Clay, Jackson, Platte	
19	19. West Central Missouri Community Action Agency	Nonprofit	Community Action Agency (CAA)	Bates, Benton, Cass, Cedar, Henry, Hickory, Morgan, St. Clair, Vernon	

5.2 Total number of CSBG eligible entities **19**

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

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Section 6: Organizational Standards for Eligible Entities

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SECTION 6
Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

The State will use an alternative set of organizational standards

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

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

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

Regulation

Policy

Contracts with eligible entities

Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? *[Check all that apply.]*

Peer-to-peer review *(with validation by the State or State-authorized third party)*

Self-assessment *(with validation by the State or State-authorized third party)*

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.4a. Describe the assessment process.

The Department of Social Services, Family Support Division will monitor compliance using the Center of Excellence (COE) standards to assess compliance with CSBG Organizational Performance Standards. Eligible entities will complete a self-assessment tool, with verifying documents attached to confirm compliance with each organizational performance standard. State CSBG staff will examine the documentation to verify compliance, and resolve any concerns with the eligible entity to verify compliance. The State CSBG office will continue to monitor each eligible entity on the regular three year cycle, including verification of compliance with the COE Organizational Performance Standards.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138? Yes No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? *(Provide as a percentage)* 100%

Note: This information is associated with [State Accountability Measures 6Sa](#) and may prepopulate the State's annual report form.

Section 7: State Use of Funds

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SECTION 7
State Use of Funds

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

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Historic

Base + Formula

Formula Alone

Formula with Variables

Hold Harmless + Formula

Other, describe

Missouri changed its funding distribution formula to eliminate the use of the historical factor previously weighted at fifty percent (50%) of the formula and to reflect more current poverty data. Missouri had been using 2000 census data up to the 2014-2015 CSBG State Plan. The new allocation amounts reflect the most current poverty rates available (2013). For future allocations, updated poverty rates and data, as available, will be used in the calculation. Therefore, the percent allocated each year may change based on the data. The new formula bases a portion of an eligible entity's allocation on their poverty population relative to the state's total poverty population and a base amount considered the minimum amount necessary to carry out the purposes of the statute. If an eligible entity does not expend all of their allocation for the year awarded, the balance is added to the following year's contract for use in that year. Table 7.2 is subject to change, based on the latest poverty data available from the US Census American Community Survey.

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?

Yes No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	1. Central Missouri Community Action (CMCA)	\$0	6.01%	\$0	0.00%
2	2. Community Action Agency of St. Louis County (CAASTLC)	\$0	12.41%	\$0	0.00%
3	3. Community Action Partnership of St. Joseph (CAPSTJOE)	\$0	2.32%	\$0	0.00%
4	4. Community Services, Inc. of Northwest Missouri (CSI)	\$0	0.72%	\$0	0.00%
5	5. Delta Area Economic Opportunity Corporation (DAEOC)	\$0	3.66%	\$0	0.00%
6	6. East Missouri Action Agency (EMAA)	\$0	4.27%	\$0	0.00%
7	7. Economic Security Corporation (ESC)	\$0	4.06%	\$0	0.00%
8	Green Hills Community Action Agency (GHCAA)	\$0	1.39%	\$0	0.00%
9	9. Jefferson-Franklin Community Action Corporation (JFCAC)	\$0	3.99%	\$0	0.00%
10	10. Missouri Ozarks Community Action, Inc. (MOCA)	\$0	4.64%	\$0	0.00%
11	11. Missouri Valley Community Action Agency (MVCAA)	\$0	3.08%	\$0	0.00%
12	12. North East Community Action Corporation (NECAC)	\$0	6.20%	\$0	0.00%
13	13. Northeast Missouri Community Action Agency (NMCAA)	\$0	0.97%	\$0	0.00%
14	14. Ozark Action, Inc. (OAI)	\$0	2.96%	\$0	0.00%
15	15. Ozarks Area Community Action Corp. (OACAC)	\$0	11.28%	\$0	0.00%

16	16. People's Community Action Agency (PCAC)	\$0	9.67%	\$0	0.00%
17	17. South Central Missouri Community Action Agency (SCMCAA)	\$0	2.66%	\$0	0.00%
18	18. United Services Community Action Agency (USCAA)	\$0	15.96%	\$0	0.00%
19	19. West Central Missouri Community Action Agency	\$0	3.74%	\$0	0.00%
Total		\$0	99.99%	\$0	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Ninety percent (90%) of the CSBG funds will be distributed to nineteen eligible entities, no more than two percent (2%) will be used for administration, and the remaining funds will be used as discretionary funds. Missouri's funding distribution formula for each of the two years will be based on each agency's poverty population relative to the state's total poverty population. Poverty levels shall be determined by the department of Social Services using criteria established by the United States Office of Management and Budget (current state statute). The funding formula is comprised of a base amount considered to be the minimum amount necessary to carry out the purposes of the statute, and a portion based on the poverty population of the area for which the eligible entity serves, in relationship to the total poverty population in the state. If a carryover balance is present, it is added to the subsequent year's contract for the eligible entity where the carryover occurred. The Missouri General Assembly provides spending authority through the appropriations process for all state and federally funded programs. The General Assembly passed the budget for the Department of Social Services on April 28, 2015, and the Governor signed the budget into law May 8, 2015. Eligible entities will receive an estimate of their allocation from the State CSBG office, based on the most recent figures available from the president's budget no later than thirty (30) days prior to the beginning of the Federal Fiscal Year. Eligible entities complete Community Action Plans three weeks prior to the beginning of the Federal Fiscal Year. The State CSBG office then executes contracts with each of the eligible entities, with their approved Community Action Plans becoming part of the contract. Contingent on funds being awarded to the State of Missouri to administer the CSBG from the Office of Community Service (OCS), funds are made available to eligible entities within thirty (30) days of distribution of funds or upon execution of the CSBG contract.

7.4. Distribution Timeframe:

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.

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

7.5. Performance Management Adjustment:

How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.

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

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

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **4**

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **2**

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

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

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

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

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	37.00%	\$0.00	37.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	5.00%	\$0.00	5.00%	Training and technical assistance coordinated through the Family Support Division and the Missouri Association for Community Action (MACA). See 7.10 for additional information The Family Support Division (FSD) coordinates with other programs within the Dept. of Social Services (e.g. TANF, SNAP, Missouri Works Assistance program, etc.) and with other departments, including the (e.g. Dept. of Economic Development for Weatherization, WIOA), Dept. of Elementary and Secondary Education (Refugee Resettlement, McKinney/Vento, WIOA, etc.). FSD will develop a comprehensive plan for coordination among state agency programs in FFY 2016.
c. Statewide coordination and communication among eligible entities	\$0.00	5.00%	\$0.00	5.00%	FSD communicates on a regular basis with the Eligible Entities through the MACA professional alliances, and through ongoing email communications, phone conferences, and other means.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	1.00%	\$0.00	1.00%	FSD is convening a data workgroup in FFY 2016 with representatives from Community Action Agencies, MACA, and the University of Missouri to examine data analysis, comprehensive community needs assessments, identifying community priorities, and developing outcome based Community Action Plans. The data workgroup will examine best practices in data analysis, planning, strategy development, and outcome reporting.
e. Asset-building programs	\$0.00	1.00%	\$0.00	1.00%	Community Action Agencies develop and implement asset building programs, including Individual Development Accounts, with technical assistance provided by MACA.
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	19.90%	\$0.00	19.90%	Innovative programs and activities are shared throughout the Community Action Network through conferences, workshops, and the MACA Professional Alliances. Innovative programs are funded through CSBG Discretionary funds, as outlined in our Code of State Regulations.
g. State charity tax credits	\$0.00	0.10%	\$0.00	0.10%	Missouri does not have a State charity tax credit program.
h. Other activities, specify in column 6	\$0.00	31.00%	\$0.00	31.00%	Disaster Relief funding set aside.
Total	\$0.00	100.00%	\$0.00	100.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable]

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 3
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other Missouri plans to use approximately eight percent (8%) of CSBG funds to support discretionary activities. The majority of these funds will be used to increase the capacity and sustainability of eligible entities, and other discretionary funded providers, as well as improve the quality of their services. In addition, discretionary funds will be used to fund local innovative and needed services. Discretionary funds may be awarded to eligible entities, Missouri's state Community Action Association (The Missouri Association for Community Action or, MACA), local city and county governments, and/or Native American Indian Centers.
- None (the State will carry out activities directly)

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

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

7.11. Performance Management Adjustment:

How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the

public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 3Sb](#), and may pre-populate the State's annual report form.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 8
State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	Governance modules; webinars; regional training; local training to CAA Boards; Conference workshops, etc...
2	Ongoing / Multiple Quarters	Both	Organizational Standards - General	Ongoing technical assistance; peer to peer assistance; Conference workshops/seminars; webinars, etc...
3	Ongoing / Multiple Quarters	Both	ROMA	ROMA Training; Outreach Managers Professional Alliance; Regional training; Board of Director Training, etc...
4	FY1-Q4	Training	Community Assessment	Comprehensive Community Assessment Training
5	Ongoing / Multiple Quarters	Both	Technology	Management Information Systems Training (statewide; regional; and local)

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$0

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

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? Yes No

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

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

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other

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

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with [State Accountability Measure 7Sa](#) and may pre-populate the State's annual report form.

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

The Director has placed the CSBG Program in the Family Support Division where it is administered within the Community Support Unit (CSU). The mission of the Family Support Division (FSD) is to maintain and strengthen Missouri families, helping people achieve an appropriate level of self-support and self-care through needs based services. The CSBG Program is one of many within FSD that assists the division in achieving its mission. The Community Support Unit has responsibility for many federal and state programs related to the purpose and mission of CSBG, including the Low Income Home Energy Assistance Program, Missouri Refugee Resettlement Program, and the Emergency Solutions Grant program. The Community Support Unit is located in the Income Maintenance Section with Temporary Assistance, Food Stamps, Food Distribution, and MO HealthNet. The Family Support Division and Community Support Unit (CSU) coordinate with other state agencies and state level organizations to share information and ensure effective service coordination. Some examples of state level coordination include: CSU partners with the Missouri Association for Community Action (MACA) and the MACA Professional Alliances to support the Community Action Network; The CSU administers the Emergency Solutions (ESG) grant program in partnership with the Missouri Housing Development Corporation; CSU serves on the Governor's Committee to End Homelessness and Missouri Housing Trust Fund; CSU administers the Low Income Home Energy Assistance Program; CSU administers the Refugee Resettlement Program, coordinating efforts with the Department of Health and Senior Services for Refugee Health Screenings and Refugee School Assistance in partnership with the Department of Elementary and Secondary Education and local public schools; CSU coordinates with the Temporary Assistance for Needy Families (TANF) unit and Missouri Works Assistance (MWA) program to ensure effective service integration with Community Action Agencies; CSU coordinates with the Department of Economic Development, Division of Energy on the Weatherization Assistance Program; and, the Department of Social Services coordinates with the Departments of Elementary and Secondary Education, Labor and Industrial Relations, Economic Development, and Vocational Rehabilitation on the Workforce Innovations and Opportunities Act (WIOA) State Plan. *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under [Section 675C\(b\)\(B\)](#) and as required by assurance under [Sections 676\(b\)\(5\)](#) of the CSBG Act. *Attach additional information as needed.*

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

Eligible entities are required to describe how they will link with local government and other social services programs to ensure effective coordination of services, reduce duplication of services and fill service gaps. Eligible entities provide information about these linkages in their Community Action Plans to the State CSBG office, and provide supporting documentation including Memoranda of Understanding (MOUs) or other partnership agreements affirming their partnerships. The State CSBG office examines the partnerships at the local level as part of Eligible Entity monitoring every three years to verify the linkages described in their Community Action Plans. While local representatives of State Agencies are often actively engaged in supporting service coordination and partnering with local Community Action Agencies, at this time, there is no formal state plan to encourage and support this type of activity. During FFY 2016 and FFY 2017, The Community Support Unit, in partnership with MACA and the nineteen Community Action Agencies will develop a statewide communications and network plan to ensure effective inter-agency coordination among local representatives. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)). [Attach additional information as needed.]

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

Eligible entities are required to describe in their Community Action Plans how they will link with local government and other social services programs to ensure effective coordination of services, reduce duplication of services, and fill service gaps. Eligible entities provide information about these linkages in their Community Action Plans to the State CSBG office, and provide supporting documentation including Memoranda of Understanding (MOUAs) or other partnership agreements affirming their partnerships. The State CSBG office examines the partnerships at the local level as part of each year's application for state CSBG funding, and through Eligible Entity monitoring every three years to verify the linkages described in their Community Action Plans. [Click paper clip to attach file]

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under [Section 676\(b\)\(3\)\(B\)](#) of the CSBG Act.

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

Eligible entities are required to describe in their Community Action Plans how they will link with local government and other social services programs to ensure effective coordination of services, reduce duplication of services, and fill service gaps. Eligible entities provide information about these linkages in their Community Action Plans to the State CSBG office, and provide supporting documentation including Memoranda of Understanding (MOUAs) or other partnership agreements affirming their partnerships. The State CSBG office examines the partnerships at the local level as part of Eligible Entity monitoring every three years to verify the linkages described in their Community Action Plans.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under [Section 676\(b\)\(5\)](#) of the CSBG Act)? Yes No

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

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

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

Missouri does not plan to submit a Combined State Plan. The State will submit a Unified State Plan which outlines the state's 4-year strategy for the core programs (WIOA Title's I-IV). This plan will include the strategies for coordinating employment and training activities not only for the core programs but also the mandatory and optional partners in the local one-stop system including CSBG.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under [Section 676\(b\)\(6\)](#) of the CSBG Act.

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

Emergency Disaster Assistance: The Department will make available to Community Action Agencies, on an as-needed basis, funding to address local emergencies and disasters through CSBG Discretionary funding and LIHEAP Emergency Energy Crisis Intervention Program. Determination for distribution of this funding will be on a case-by-case basis as deemed necessary by the Department of Social Services.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under [Section 676\(b\)\(9\)](#) of the CSBG Act.

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

Eligible entities are required to describe in their Community Action Plans how they will link with faith-based organizations, charitable groups, and other community organizations to ensure effective coordination of services, reduce duplication of services, and fill service gaps. Eligible entities provide information about these linkages in their Community Action Plans to the State CSBG office, and provide supporting documentation including Memoranda of Understanding (MOUAs) or other partnership agreements affirming their partnerships. The State CSBG office examines the partnerships at the local level as part of Eligible Entity monitoring every three years to verify the linkages described in their Community Action Plans. [Click paper clip to attach file]

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under [Section 676\(b\)\(3\)\(C\)](#) of the CSBG Act.

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

Eligible entities are required to describe in their Community Action Plans how they will coordinate their CSBG funds with other public and private resources to effectively address the needs outlined in their comprehensive community needs assessment and strategic plan. Eligible entities submit a funding chart, which provides an overview of all agency funding, including the 90% CSBG funds, along with a detailed budget explanation of how they will use these funds to meet the purpose and goals of the Community Services Block Grant.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The Community Support Unit Manager (CSU) meets monthly (or more frequently if needed) with the State Association Executive Director. Joint meetings of the CSU and the Missouri Association for Community Action (MACA) leadership teams are held at least bi-monthly to share

information about CSBG state policies and expectations, and to do forward planning and problem-solving as needed. MACA consults with CSU on training and technical assistance needs, and coordinates technical assistance to meet individual Community Action Agency needs and opportunities, along with providing statewide training and technical assistance.

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

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	CSBG Program Administration, policies, procedures, etc...	Monthly	Meetings/Presentation	
2	CSBG Technical Assistance	Monthly	Meetings/Presentation	Meeting with Missouri Association for Community Action - Discuss Training & T/A priorities - Planning - Discretionary Grants
3	CSBG Program/Finance Assistance	Quarterly	Meetings/Presentation	Meetings with MACA Professional Alliances

9.10. Feedback to Eligible Entities and State Community Action Association:
 Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

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

Upon receiving feedback from the Office of Community Services about performance on State Accountability Measures, the State CSBG Office will provide written feedback to eligible entities on their performance in meeting State Accountability Measures within sixty (60) days. Eligible Entities will then be expected to provide an explanation for any deficiencies in meeting performance expectations, including a written plan to meet the specific performance expectations within sixty (60) days of the receipt of the State's report. The Eligible Entity's plan will include: who is responsible for meeting the performance expectation, how they propose to meet the performance expectation, and the time frame proposed for doing so. The State CSBG Office will respond to this written plan to accept the plan or request additional clarification of the plan within thirty (30) days of receipt from the Eligible Entity.

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

9.11. Performance Management Adjustment:
 How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 7Sb](#); this response may pre-populate the State's annual report form.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 10
Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities
(Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	1. Central Missouri Community Action (CMCA)	Full onsite	FY1 Q2	09/20/2010	
2	2. Community Action Agency of St. Louis County (CAASTLC)	Full onsite		06/22/2015	
3	3. Community Action Partnership of St. Joseph (CAPSTJOE)	Full onsite	FY2 Q2	02/13/2013	
4	4. Community Services, Inc. of Northwest Missouri (CSI)	Full onsite	FY2 Q4	07/20/2015	
5	5. Delta Area Economic Opportunity Corporation (DAEOC)	Full onsite	FY2 Q1	04/07/2014	
6	6. East Missouri Action Agency (EMAA)	Full onsite	FY2 Q2	07/08/2014	
7	7. Economic Security Corporation (ESC)	Full onsite	FY2 Q2	08/19/2014	
8	Green Hills Community Action Agency (GHCAA)	Full onsite	FY2 Q3	06/10/2014	
9	9. Jefferson-Franklin Community Action Corporation (JFCAC)	Full onsite	FY1 Q3	03/13/2013	
10	10. Missouri Ozarks Community Action, Inc. (MOCA)	Full onsite		08/06/2015	
11	11. Missouri Valley Community Action Agency (MVCAA)	Full onsite		05/13/2014	
12	12. North East Community Action Corporation (NECAC)	Full onsite	FY1 Q2	04/16/2013	
13	13. Northeast Missouri Community Action Agency (NMCAA)	Full onsite	FY1 Q1	12/10/2013	
14	14. Ozark Action, Inc. (OAI)	Full onsite	FY1 Q3	05/14/2013	
15	15. Ozarks Area Community Action Corp. (OACAC)	Full onsite		08/17/2015	
16	16. People's Community Action Agency (PCAC)	Full onsite	FY2 Q4	11/18/2013	
17	17. South Central Missouri Community Action Agency (SCMCAA)	Full onsite	FY1 Q3	06/11/2013	
18	18. United Services Community Action Agency (USCAA)	Full onsite	FY1 Q3	01/02/2013	
19	19. West Central Missouri Community Action Agency	Full onsite		06/07/2015	

10.2. Monitoring Policies:
Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

JOINT SUBRECIPIENT MONITORING PLAN FAMILY SUPPORT DIVISION - CSBG/LIHEAP/MWA/ESG/REFUGEE DIVISION OF FINANCE & ADMINISTRATIVE SERVICES BACKGROUND In the summer of 2012, the Missouri Department of Social Services' (DSS) Division of Finance and Administrative Services (DFAS) and the Family Support Division (FSD), Income Maintenance (IM), Community Support Unit (CSU) reorganized. The newly formed DFAS Compliance and Quality Control Unit (CQCU) became responsible for performing the on-site financial monitoring for the CSU's Community Services Block Grant (CSBG) and Low Income Home Energy Assistance Program (LIHEAP) programs. The on-site financial monitoring of CSU's Missouri Work Assistance (MWA), Emergency Solutions Grant (ESG), Refugee Resettlement were added to the CQCU's monitoring requirements in FFY13 and FFY14 respectively as the program's contractors were determined to be Subrecipients. FSD is responsible for performing regular ongoing programmatic monitoring of their Subrecipients. DFAS-CQCU is responsible for performing A-133 audit report reviews of all DSS Subrecipients. FSD-CSU and DFAS-CQCU will collaborate to perform the required on-site monitoring. **FAMILY SUPPORT DIVISION** The State of Missouri, DSS, FSD is responsible for the administration of the CSBG, MWA, ESG, Refugee Resettlement, and LIHEAP Programs. FSD contracts with 19 Community Action Agencies (CAA), 9 other non-profit entities, Missouri Housing Development Commission (MHDC), and Department of Economic Development (previously Department of Natural Resources) to provide these services to low-income families and/or individuals throughout the state of Missouri. See Appendix B for a listing of CAAs, MHDC, DED, and other non-profit entities and their applicable programs. Community Services Block Grant CSBG serves as a funding stream from the United States Health and Human Services (HHS) Office of Community Services (OCS) within the Administration for Children and Families (ACF) to FSD to improve the conditions in communities and delivers direct services to reduce poverty, revitalize communities, and empower low-income individuals and families struggling to achieve self-sufficiency. Missouri's 19 CAAs, are each governed by a local board of directors, comprised of community leaders and low income individuals. (See attached for the entire document)

10.3. Initial Monitoring Reports:
According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements
(Section 678C of the Act)

10.4. Closing Findings:
Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? Yes No

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

10.5. Quality Improvement Plans (QIPs):
How many eligible entities are currently on Quality Improvement Plans?

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

0

10.6. Reporting of QIPs:
Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

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

At the discretion of the Department (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), the Department may require the eligible entity to develop, within thirty (30) days after being informed of the deficiency, a corrective action plan to correct such deficiency within one hundred twenty (120) days. Upon determination by the Department that the eligible entity will be placed on a Quality Improvement Plan (QIP), the Department will notify the appropriate representative from the U.S. Department of Health and Human Services (HHS), Office of Community Services (OCS) of the placement of the eligible entity on a QIP within thirty (30) days. The Department will keep HHS/OCS informed of the progress by the eligible entity and the Department to remedy any deficiencies outlined in the QIP on a monthly basis.

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

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

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

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

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

The State CSBG Office will promulgate regulations to govern the designation of new Eligible Entities, following OCS Information Memorandum IM-116 and applicable federal and state law: In the event that the State terminates the designation of an organization as an eligible entity, or otherwise reduces funds, any resulting funding may be awarded only to an organization that is an eligible entity for CSBG funds. Section 676A of the CSBG Act outlines procedures for designation and re-designation of eligible entities in un-served areas. In accordance with the CSBG Act, a State may solicit applications and designate as an eligible entity either: A private nonprofit organization that is geographically located in the un-served area that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency and meets the requirements of the CSBG Act; or A private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the un-served area and is already providing related services in the un-served area. States must grant the designation to an organization of demonstrated effectiveness in meeting the goals of the CSBG Act, and may give priority to an eligible entity in a contiguous area that is already providing related services in the un-served area. If no private, nonprofit organization is identified or determined to be qualified as an eligible entity to serve the area, the State may designate an appropriate political subdivision of the State to serve as an eligible entity for the area. Any nonprofit or public agency receiving CSBG funds must meet the tripartite board requirements specified in Section 676B of the CSBG Act. The process of soliciting applications to select a new eligible entity may take place during the period in which the Department of Health and

Human Services is reviewing a State decision to terminate an organization's eligibility for CSBG funds. However, the State may not award the funds to a new eligible entity until the Department confirms the State's finding for cause or the 90-day period for Federal review has passed.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

Corrective Action, Termination and Reduction of Funding (42 USC 9908b)(8): 42 USC 9915) To the extent possible, The Department of Social Services utilizes a proactive approach in identifying and addressing programmatic and organizational deficiencies and provides assistance to agencies in implementing measures to avoid crises and stabilize operations where necessary. The monitoring system identifies CAA's program performance and compliance deficiencies and corrective action is required when findings are identified. Agencies have 120 days to correct the finding. If an agency does not correct the finding or fails to deliver series and comply with requirements as provided in the Act, DSS shall follow procedures under Section 678 C of the Act and as identified as follows in the CAAs' grant agreement: If the Department determines, on the basis of a final decision in a review pursuant to section 678B of the Community Services Block Grant Act 42-U.S.C. 9901 et.seq., that the eligible entity fails to provide services under the contract and CSBG statute or to meet appropriate standards, goals, and other requirements established by the Department (including performance objectives), or fails to comply with the terms of the agreement, CSBG Statute, or the CSBG State plan, the Department shall: a. Inform the eligible entity in writing of the deficiency to be corrected; b. Require the eligible entity to correct the deficiency; c. Offer training and technical assistance, if appropriate, to help correct the deficiency; At the discretion of the Department (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), the Department may require the eligible entity to develop, within thirty (30) days after being informed of the deficiency, a corrective action plan to correct such deficiency within one hundred twenty (120) days. After receiving the eligible entity's proposed corrective action plan, the Department will either approve such proposed plan or specify the reasons why the proposed plan cannot be approved. After providing adequate notice and an opportunity for a hearing, the Department may initiate proceedings to terminate the designation of or reduce the funding of the eligible entity unless the deficiency is corrected.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? Yes No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

The State CSBG Office will promulgate regulations to govern the designation of new Eligible Entities in FFY 2016, following guidance from OCS Information Memorandum IM-116 and applicable federal and state law as described in 10.8a.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The State will meet this Section through the Statewide Accounting for Missouri (SAM II) control system and through requirements of contracts with eligible entity and other providers. Monitoring of funds provided occurs through audits of the Division and eligible entities and other providers. A 1512 CSBG FY 2010 audit covering the period July 1, 2009 through June 30, 2010 was conducted in August 2010. An audit for the period of July 1, 2007, through June 30, 2008, was completed by the Missouri State Auditor in March 2009. Because the annual program risk assessment has not identified the CSBG program as a "high risk" program, it has not received another Statewide Single Audit since 2009. A federal audit of the ARRA CSBG funding was conducted in December 2010.

10.12. Single Audit Management Decisions:

Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR §75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE](#) FOR LINK TO 45 CFR §75.521

Note: This information is associated with [State Accountability Measure 4Sd](#).

The Department of Social Services, Division of Finance and Administrative Services (DFAS), Compliance and Quality Control Unit (CQCU) tracks and reviews subrecipient Single Audit reports for compliance with OMB Single Audit requirements and the Single Audit Act. The CQCU tracks the receipt and review of subrecipient Single Audit reports in the MASTER Audit Reports Tracking Spreadsheet (MARTS). A review of each applicable Single Audit report is completed by CQCU staff using the Audit Report Review Template which is based on the Single Audit requirements. Management Decisions are issued on applicable Single Audit findings in compliance with OMB requirements and timeframes.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with [Section 678D\(a\)](#)" of the CSBG Act, as required by the assurance under [Section 676\(b\)\(7\)](#) of the CSBG Act? Yes No

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

10.14. Performance Management Adjustment:

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This item is associated with [State Accountability Measure 4Sband](#) and may pre-populate the State's annual report form.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 Administration for Children and Families
 Community Services Block Grant (CSBG)

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SECTION 11
Eligible Entity Tripartite Board

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

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

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

- Annually
- Semiannually
- Quarterly
- Monthly
- Other

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under [Section 676\(b\)\(10\)](#) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

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

Missouri has requirements to assure the Act's Section 676(B) board composition requirements are met. Eligible entities are contractually required to maintain a board of directors' structure as defined in the Act, certify that they are an eligible entity and provide a listing of their board of directors, officers and annual attendance records and by-laws at the time of contracting, as well as provide an updated list when changes to the board occur. Eligible entities also provide documentation that low-income board representatives reside in the neighborhood served and that local elected officials hold office on the date selected. Eligible entities are contractually required to notify the Community Support Unit when board member vacancies occur. Eligible entities have 120 days to fill the vacancy; however, written requests to extend the 120 day time frame due to extenuating circumstances may be submitted to the department for consideration. Eligible entities are also required to submit electronic copies of board meeting notices, meeting agendas and meeting minutes, and hard copies of board packets no later than thirty (30) days after approval of all board meeting minutes. This information is used to monitor the compliance of the tripartite board requirements and identify any potential areas of concern regarding the operation of the eligible entities organization. Tripartite Board requirements are reviewed and documented during the monitoring process. Board membership and participation are reviewed in detail and discussed with the executive director and board members during the on-site monitoring visit. The monitoring tool used by the Community Support Unit contains extensive questions related to board roles, including governance and finance responsibilities. A report documenting monitoring findings is sent to the executive director and the board chairperson. Any corrective action resulting from non-compliance with Section 676B of the Act or any other contract or CSBG Act requirements are identified in the report. Follow-up and technical assistance is provided as needed, to agency's requiring corrective action.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under [Section 676B\(b\)\(2\)](#) of the CSBG Act. Yes No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 12
Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

X% of the HHS poverty line (fill in the threshold) % [Response Option: numeric field]

Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

The State CSBG Office outlines requirements for Eligible Entities to serve Eligible Beneficiaries in our contract with the Eligible Entity: Specific Grant Requirements/Expectations (from CSBG Contract) 3.1 Definitions: 3.1.1 For purposes of this agreement, the definitions listed below shall apply: a. Community Action Agency (CAA): a private, not-for-profit agency designated by the Governor as an "eligible entity" as defined in CSBG Act 42 USC Section 9909, as amended b. Community Action Program refers to a community-based and operated program which includes individual and family intake, assessment and referrals (I/A/R), as well as activities, interventions and/or services that result in a measurable and potentially major impact on the causes and conditions of poverty in the community. c. Eligible Beneficiaries: any of the following: o Individuals and families living in households with incomes not to exceed 125% of the federal poverty line according to the poverty guidelines updated periodically in the Federal Register by the United States Department of Health and Human Services, as defined in 42 USC Section 9902, as amended. o Individuals eligible to receive Temporary Assistance for Needy Families.

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Eligible Entities are required to outline their procedures for verifying income eligibility for services in their annual Community Action Plan. Eligible Entities are expected to provide safeguards, as practicable, to ensure that program participants meet income eligibility, and provide supporting documentation to verify income eligibility during their regular monitoring visits.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

Eligible Entities are required to outline their procedures for targeting services designed to provide a community-wide benefit in their annual Community Action Plan. Eligible Entities are expected to ensure that the community-wide project targets communities where a significant percentage of program participants would meet income eligibility requirements. Eligible Entities are expected to provide supporting documentation that verifies meeting this income eligibility requirement as part of their regular monitoring visits.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 Administration for Children and Families
 Community Services Block Grant (CSBG)

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SECTION 13
Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act
- An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

Results Oriented Management and Accountability Because eligible entities deliver programs to address local needs, Missouri allows eligible entities to identify their own specific outcomes and measures. All outcomes and measures must be connected to one of the six national ROMA goals. National Indicators are used by all 19 eligible entities to measure change at the family, community and agency level. All Missouri Eligible entities must link performance and results through the Results Oriented Management and Accountability (ROMA) program's national goals and outcome measures provided by the Office of Community Services (OCS) Monitoring and Assessment Task Force. CAAs and discretionary funded recipients are required to report outcomes to DSS's Community Support Unit bi-annually. In 2005, Missouri Eligible Entities began using a catalog of outcomes, which assists agencies in identifying and reporting outcomes that are relevant and appropriate for each agency in a consistent manner.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. *[Narrative, 2500 characters]*

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

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

Because eligible entities deliver programs to address local needs, Missouri allows eligible entities to identify their own specific outcomes and measures. All outcomes and measures must be connected to one of the six national ROMA goals. National Indicators are used by all 19 eligible entities to measure change at the family, community and agency level. All Missouri Eligible entities must link performance and results through the Results Oriented Management and Accountability (ROMA) program's national goals and outcome measures provided by the Office of Community Services (OCS) Monitoring and Assessment Task Force. CAAs and discretionary fund recipients are required to report outcomes to DSS's Community Support Unit bi-annually. In 2005, Missouri Eligible Entities began using a catalog of outcomes, which assists agencies in identifying and reporting outcomes that are relevant and appropriate for each agency in a consistent manner.

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

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

Each Missouri eligible entity submits a Community Action Plan to the DSS's Community Support Unit as part of the contracting process. Community Action Agencies receives a Request for Application containing all of the information necessary for the development of their annual Community Action Plan. Eligible Entities will submit a one year community action plan for FFY 2016 and again for FFY 2017 which includes work plans that identify the priority community needs based on their FFY 2014 comprehensive community needs assessment. The work plan also addresses root causes of the identified needs, gaps in services available to address the need, existing community resources, proposed interventions, strategies or programs to address the need and the Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. Eligible entities will also develop implementation plans for each proposed strategy, intervention or program, identified in their work plan. The Community Support Unit, through our partnership with Missouri Association for Community Action (MACA) coordinates training and technical assistance to Eligible Entities, including training for ROMA. Eligible Entities are strongly encouraged to receive ROMA training, and to develop ROMA trainers and Internal ROMA Consultants to facilitate ROMA training for their staff and board of directors.

13.4. Eligible Entity Use of Data:
 How is the State validating that the eligible entities are using data to improve service delivery?

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

All Missouri Eligible entities must link performance and results through the Results Oriented Management and Accountability (ROMA) program's national goals and outcome measures provided by the Office of Community Services (OCS) Monitoring and Assessment Task Force. CAAs and discretionary fund recipients are required to report outcomes to DSS's Community Support Unit bi-annually. In 2005, Missouri Eligible Entities began using a catalog of outcomes, which assists agencies in identifying and reporting outcomes that are relevant and appropriate for each agency in a consistent manner. The Community Support Unit (CSU) requires quarterly reporting on progress toward ROMA goals and National Performance Indicators (NPIAs).

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

Each Missouri eligible entity submits a Community Action Plan to the DSS's Community Support Unit as part of the contracting process. Community Action Agencies receives a Request for Application containing all of the information necessary for the development of their annual Community Action Plan. Eligible Entities will submit a one year community action plan for FFY 2016 and again for FFY 2017 which includes work plans that identify the priority community needs based on their FFY 2015 comprehensive community needs assessment. The work plan also addresses root causes of the identified needs, gaps in services available to address the need, existing community resources, proposed interventions, strategies or programs to address the need and the Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. Eligible entities will also develop implementation plans for each proposed strategy, intervention or program, identified in their work plan.

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

In order to assess community needs and to assure maximum impact of CSBG funds, Community Action Agencies utilize a variety of mechanisms to solicit information on their service area and the conditions and needs of the customers and communities they serve. CAAs are required to conduct a comprehensive community needs assessment (CCNA) every three years with the next one due in FFY 2018. The Comprehensive Community Needs Assessment (CCNA) is the first step of the strategic planning process. During the Assessment process, each CAA will be required to develop a plan and timeline describing all methods used (surveys, interviews, focus groups, etc.) to collect the needs assessment information, including a review of secondary data sources. CAAs were contractually required in FFY 2015 to submit a Comprehensive Community Needs Assessment Report. The report included a description of the needs assessment results, tabulation methods, and methods for determining priorities. Needs assessment results and identified priorities will be used to influence the CAAs' strategic plans and FFY 2015, 2016 and 2017's annual action plans. Missouri has developed multiple resources and trainings to aid the CAAs in completing their Comprehensive Community Needs Assessments. The Community Needs Assessment Toolkit is a guide to conducting needs assessments. The Comprehensive Community Needs Assessment Web-based Tool is a nationally recognized additional resource providing access to over 100 statistical data tables from data sets such as the U.S. Census Bureau, Missouri Department of Social Services, Missouri Department of Health and Senior Services, Missouri Department of Education, U.S. Department of Labor, and many other sources. Community Action Agencies also utilize the Missouri Self-Assessment Tool to assess agency capacity. Training on use of the Community Needs Assessment Toolkit, the Web-based Tool, qualitative data survey collection methods, analyzing and interpreting quantitative and qualitative data and prioritizing identified needs will be provided to the agencies during FFY 2015. Once the CAAs' Community Needs Assessments are received, Community Support Unit staff will review the assessments, provide comments and ensure that agencies have met the criteria and can move to the next phase of planning. In the planning stage, CAAs will begin developing their agency strategic plan for FFY 2015 to FFY 2018.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

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

CSBG State Plan Attachment 14.1a. State Community Services Program Implementation (1) Program Overview Each Missouri eligible entity submits a Community Action Plan to the DSSA Community Support Unit as part of the contracting process. Community Action Agencies receives a Request for Application containing all of the information necessary for the development of their annual Community Action Plan. Eligible Entities will submit a one year community action plan for FFY 2014 and again for FFY 2015 which includes work plans that identify the priority community needs based on their FFY 2011 comprehensive community needs assessment. The work plan also addresses root causes of the identified needs, gaps in services available to address the need, existing community resources, proposed interventions, strategies or programs to address the need and the Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. Eligible entities will also develop implementation plans for each proposed strategy, intervention or program, identified in their work plan. As part of their plan, eligible entities must: 1. Include information regarding their service delivery system and facilities. 2. Identify the organizations they use to link services to clients and coordinate/leverage funding to meet the needs of clients; including city and county governments, faith-based organizations, nonprofit organizations, state agencies, etc. 3. Describe the process they utilize to establish and maintain links with other governmental and social service providers to avoid duplication of services to low-income individuals in the service area. Include information on how coordination is maintained (i.e. attendance at meetings, regular calls to contact organizations, etc.) and any memorandums of understanding and/or service agreements their organizations have with any of the identified entities. 4. Describe what programs or services are provided by the agency, directly or through a referral, that help reduce or eliminate barriers to initial or continuous employment for low-income persons. Describe how they will coordinate the provision of employment and training activities through local workforce investment systems under the Workforce Investment Act of 1998. 5. Provide a detailed description of the strategy to respond to an emergency situation and how they will provide, on an emergency basis, supplies and services (see attached)

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

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

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

The Community Action Agencies work in partnership with local state agencies, nonprofits, businesses, the faith community, and others to coordinate with other programs to meet the purposes of this subtitle. The following are examples of programs, services and activities provided by Missouri CAAs to satisfy this assurance: Services and Activities - Adult Basic Education - After-School Activities - Career Plus - Early Head Start - Emergency Crisis Response - Family Support - Financial Management - Gang Prevention - Leadership Development - Male Mentoring - Nutrition - School Drop-Out Initiatives - Skills-based Reciprocity - Targeted Coaching - Teen Leadership - Transportation - Volunteer

Development and Coordination Â WIC Â Head Start Â Youth Entrepreneur Programs Â Pregnancy Prevention Â Job Readiness Â Youth Mentoring Â Transportation Â Volunteer Programs Â Crisis Intervention Â Career Exploration Â School Readiness programs Â Nutritional Programs Â Childhood Intervention Program Â Youth Asset Development Â Youth Entrepreneurship Workshops Â Youth Mentoring Â Youth Summits Â Step Up To Leadership Â MADE Â Bright Futures Â Self-Esteem Building Classes Â Parenting Classes Â Pregnancy Prevention Classes Â GED Â PAVE Â Transportation Assistance Â Financial Literacy classes Â Life Skills Â Back To School Fairs Â Information and Referral Â Community Outreach Â Volunteer Opportunities Â Case Management Â Internships Â Job Readiness Classes Â Job Skills Development Â Job Fairs Â Child Care Assistance Â Anger Management Â Conflict Resolution Â Car Repair Assistance Â Nutritional Education Â Computer Skills Training Â Steps To Success Curriculum Â Information and Referral Â Financial Health Curriculum Â School Success Curriculum Â Matched Savings Accounts Volunteer activities

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The Community Action Agencies work in partnership with local state agencies, nonprofits, businesses, the faith community, and others to coordinate with other programs to meet the purposes of this subtitle. The following are examples of programs, services and activities provided by Missouri CAAs to satisfy this assurance: Partnerships/Coalitions Services and Activities Â United Way Â Salvation Army Â Goodwill Â Missourians To End Poverty Â Churches, Schools, and Universities Â Community Partnerships Â Missouri Work Assistance Program Â Veterans Organizations Â Senior Centers Â Local Probation and Parole Â FSD Offices Â Head Start/Day Care Providers Â Disaster Response Teams Â Health Care Organizations Â Utility Companies Â JCI Â Boys & Girls Club Â Community Advocacy Â Training Alliance Partnership Â Community Forums Â Veterans Services Â Career/Job Fairs Â Back to School Fairs Â Disaster Assistance Â Health Care Â Job Development, Job Placement Â Mentoring Programs Â Poverty Awareness Â Poverty Simulations Â Utility Services Â Crisis Intervention Â Volunteer Recruitment Â Leadership Training Â Employment Supports Â Family Resource Center Â Housing Coalitions Â Pregnancy Education and Awareness Â Homelessness Prevention and Awareness Â Nutrition Awareness Â Community Resource Center

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in [section 675C\(b\)](#) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Eligible Entity Service Delivery, Coordination, and Innovation 14.3. 676(b)(3) ÂBased on information provided by eligible entities in the State, a description ofÂÂ Eligible Entity Service Delivery System 14.3a. 676(b)(3)(A) Describe Âthe service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State; State Community Services Program Implementation Program Overview Each Missouri eligible entity submits a Community Action Plan to the DSSÂ Community Support Unit as part of the contracting process. Community Action Agencies receives a Request for Application containing all of the information necessary for the development of their annual Community Action Plan. Eligible Entities will submit a one year community action plan for FFY 2016 and again for FFY 2017 which includes work plans that identify the priority community needs based on their FFY 2014 comprehensive community needs assessment. The work plan also addresses root causes of the identified needs, gaps in services available to address the need, existing community resources, proposed interventions, strategies or programs to address the need and the Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. Eligible entities will also develop implementation plans for each proposed strategy, intervention or program, identified in their work plan. As part of their plan, eligible entities must: a. Include information regarding their service delivery system and facilities. b. Identify the organizations they use to link services to clients and coordinate/leverage funding to meet the needs of clients; including city and county governments, faith-based organizations, nonprofit organizations, state agencies, etc. c. Describe the process they utilize to establish and maintain links with other governmental and social service providers to avoid duplication of services to low-income individuals in the service area. Include information on how coordination is maintained (i.e. attendance at meetings, regular calls to contact organizations, etc.) and any memorandums of understanding and/or service agreements their organizations have with any of the identified entities. d. Describe what programs or services are provided by the agency, directly or through a referral, that help reduce or (see attached)

Eligible Entity Linkages - Approach to Filling Service Gaps

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

Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under [Section 675C\(a\)](#)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under [Section 675C\(b\)\(1\)\(F\)](#). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

The Community Action Agencies work in partnership with local state agencies, nonprofits, businesses, the faith community, and others to coordinate with other programs to meet the purposes of this subtitle. Partnerships/Coalitions and Services and Activities Â Fatherhood Initiatives Â Parent Support Networks Â United Way Â Salvation Army Â Goodwill Â Missourians To End Poverty Â Churches, Schools, and Universities Â Community Partnerships Â Missouri Work Assistance Program Â Veterans Organizations Â Senior Centers Â Local Probation and Parole Â FSD Offices Â Head Start/Day Care Providers Â Health Care Organizations Â Utility Companies Â Boys and Girls Clubs Â Community Advocacy Â Training Alliance Partnership Â Community Forums Â Veterans Services Â Career/Job Fairs Â Back to School Fairs Â Disaster Assistance Â Health Care Â Job Development, Job Placement Â Mentoring Programs Â Poverty Awareness Â Poverty Simulations Â Utility Services Â Crisis Intervention Â Volunteer Recruitment Â Leadership Training Â Employment Supports Â Family Resource Center Â Housing Coalitions Â Pregnancy Education and Awareness Â Homelessness Prevention and Awareness Â Nutrition Awareness Â Community Resource Center

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

The following are examples of programs, services and activities provided by Missouri CAAs to satisfy this assurance: Program Areas Services and Activities Â Disaster Relief Assistance Â Family Crisis Response Â Family Support Â Head Start/Early Head Start Â Women, Infants and Children Â Crisis Intervention Â Family Support Â Head Start Â Women, Infants, and Children Â Hunger Task Force Â Back-Pack Buddies (Weekend Food Assistance for School-Age Children) Â Coalitions Â Community Gardens Â Food Assistance Â Information and Referral Â Life Skills Â Outreach and Education Â Partnerships Â Nutrition Classes Â Community Gardens Â Life Skills Classes Â Family Resource Center Â Partnerships

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with [section 678D](#)."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in [section 678C\(b\)](#)."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

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



By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

**SECTION 15
Federal Certifications**

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.

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

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76,

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

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

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

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

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

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

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

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

 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

(e) Notifying the agency in writing, within 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).

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

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, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

Instructions for Certification

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

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

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.

15.3. Debarment

After assurance select a check box:



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

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/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.