



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**  
Office of Community Services

## Community Services Block Grant (CSBG) State Plan

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THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13): Through this information collection, ACF is gathering information about planned activities related to and funded by CSBG for the upcoming fiscal year. Public reporting burden for this collection of information is estimated to average 31 hours per grantee, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. This is a mandatory collection of information (Sec. 676, Pub. L. 105-285, 112 Stat. 2735 (42 U.S.C. § 9908)). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid OMB control number. The OMB # is 0970-0382 and the expiration date is XX/XX/XXXX. If you have any comments on this collection of information, please contact M. Monique Alcantara at [melania.alcantara@acf.hhs.gov](mailto:melania.alcantara@acf.hhs.gov).

**SECTION 1: CSBG Administrative Information**

**1.1.** Identify whether this is a one-year or a two-year plan.     One-Year     Two-Year

**1.1a.** Provide the federal fiscal years this plan covers:

<u>Year One: FFY 2022</u>	<u>Year Two: FFY 2023</u>
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**1.2. Lead Agency and Authorized Official:** Update the following information in relation to the lead agency and authorized official designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan?     Yes     No

If yes, select the fields that have changed.

- Lead Agency
- Authorized Official
- Zip Code
- Email Address
- Department Type
- Street Address
- Office Number
- Website
- Department Name
- City
- Fax Number

**1.2a.** Lead agency [Department of Social Services](#)

**1.2b.** Cabinet or administrative department of this lead agency

- Community Affairs Department
- Community Services Department
- Governor’s Office
- Health Department
- Housing Department
- Human Services Department
- Social Services Department
- Other, describe: [Narrative, 100 characters]

**1.2c. Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official [Missouri Department of Social Services](#)

**1.2d. Authorized Official of the Lead Agency:** The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as the authorized representative on the SF-424M and the official recipient of the Notice of Award per Office of Grant Management requirements.

Name [Jennifer Tidball](#) Title [Acting Director](#)

**1.2e.** Street Address: [221 West High Street](#)

**1.2f.** City: [Jefferson City](#)

**1.2g.** State: [Missouri](#)

**1.2h.** Zip Code: [65102](#)

**1.2i.** Telephone Number: [573-751-4815](#)

**1.2j.** Fax Number: [573-751-7598](#)

**1.2k.** Email Address: [Jennifer.R.Tidball@dss.mo.gov](mailto:Jennifer.R.Tidball@dss.mo.gov)

**1.2l.** Lead Agency Website: <https://dss.mo.gov>

**Note:** Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

**1.3. Designation Letter:** Attach the state’s official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed.

**1.4. CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding the state point of contact changed since the last submission of the State Plan?  Yes  No

If yes, select the fields that have changed.

Agency Name  Point of Contact  Street Address  City  
 State  Zip Code  Office Number  Fax Number  
 Email Address  Website

**1.4a.** Agency Name [Missouri Department of Social Services](#)

- 1.4b.** Point of Contact Name  
Name: [Kimberly Nott](#) Title: [CSBG and LIHEAP Program Manager](#)
- 1.4c.** Street Address: [3418 Knipp Drive Suite C](#)
- 1.4d.** City: [Jefferson City](#)
- 1.4e.** State: [Missouri](#)
- 1.4f.** Zip Code: [65109](#)
- 1.4g.** Telephone Number: [573-751-6789](#)
- 1.4h.** Fax Number: [573-522-9557](#)
- 1.4i.** Email Address: [Kimberly.Nott@dss.mo.gov](mailto:Kimberly.Nott@dss.mo.gov)
- 1.4j.** Agency Website: <https://dss.mo.gov>

**1.5.** Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state.  Yes  No

Has information regarding the state Community Action Association changed since the last submission of the State Plan?  Yes  No

If yes, select the fields that have changed.

- Agency Name  Executive Director  Street Address  City
- State  Zip Code  Office Number  Fax Number
- Email Address  Website  RPIC Lead

**1.5a.** Agency name [Missouri Community Action Network](#)

**1.5b.** Executive Director or Point of Contact

Name: [Dawna Fogarty](#) Title: [Executive Director](#)

**1.5c.** Street Address: [2014 Williams Street](#)

**1.5d.** City: [Jefferson City](#)

**1.5e.** State: [Missouri](#)

**1.5f.** Zip Code: [65109](#)

**1.5g.** Telephone Number: [573-634-2969](#)

**1.5h.** Fax Number:

**1.5i.** Email Address: [info@communityaction.org](mailto:info@communityaction.org)

**1.5j.** State Association Website: [www.communityaction.org](http://www.communityaction.org)

**1.5k.** State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead  Yes  No

## SECTION 2: State Legislation and Regulation

- 2.1. CSBG State Legislation:** State has a statute authorizing CSBG.  Yes  No
- 2.2. CSBG State Regulation:** State has regulations for CSBG.  Yes  No
- 2.3. Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2.

State statutory authority for the Missouri CSB Program is identified in RSMo 660.376. The statutes define a community action agency and program and address the composition, number and duties of the board of directors and funding.

[Http://www.moga.mo.gov/mostatutes/stathtml/66000003701.html](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/66000003721.html)

[Http://www.moga.mo.gov/mostatutes/stathtml/66000003741.html](http://www.moga.mo.gov/mostatutes/stathtml/66000003741.html)

[Http://www.moga.mo.gov/mostatutes/stathtml/66000003761.html](http://www.moga.mo.gov/mostatutes/stathtml/66000003761.html)

The Missouri Code of State Regulations provides the authority for the Department of Social Services to administer income maintenance programs, including CSBG.

[Http://www.sos.mo.gov/smsimages/adrules/csr/current/13cst/13c40-1.pdf](http://www.sos.mo.gov/smsimages/adrules/csr/current/13cst/13c40-1.pdf)

In addition, Missouri uses the Code of State Regulations, which provides the formula for distribution of CSBG funds.

[Https://www.sos.mo.gov/cmsimages/adrules/csr/current/13csr/13c40-24.pdf](https://www.sos.mo.gov/cmsimages/adrules/csr/current/13csr/13c40-24.pdf)

- 2.4. State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. Authorizing Legislation:** State legislature enacted authorizing legislation or amendments to an existing authorizing statute last federal fiscal year.  Yes  No
- 2.4b. Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year.  Yes

## 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 (DSS) is responsible for administering benefit programs including: SNAP, Child Care, Temporary Assistance, the Low Income Home Energy Program, Child Care Subsidy for Families, MoHealthNet, and Rehabilitation Services for the Blind. DSS also collects child support, offers employment and training programs for persons owing child support, and helps establish paternity. DSS administers child welfare services, such as helping ensure the safety, permanency, and well-being of Missouri children, and specialized assistance to troubled youth. Additionally, DSS administers a variety of employment and training programs for persons on benefits and low-income individuals such as Excel Centers, SkillUP, the Missouri Work Assistance Program, the Healthcare Industry Training and Education grant, Jobs League, and various Department of Correction initiatives.

### 3.2. **State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

The state of Missouri Department of Social Services will pursue the following goals for the Community Services Block Grant (CSBG) program:

- 1) **Funding:** Issue eligible entities a contract to distribute a minimum of 90% of CSBG funds within thirty (30) days of receipt of funding award from the federal government.
- 2) **Communication:** Obtain feedback on existing processes, analyze information, design creative strategies, and implement efforts to strengthen partnerships and communication among state agencies and other entities to enhance the effectiveness of the entire community action network to achieve common goals. This will be done by utilizing information obtained from the ACSI survey and tools, such as regular conference calls, office hours, and further training on team collaboration.
- 3) **Training/Technical Assistance:** Collaborate with the eligible entities and the Missouri Community Action Network (MCAN) to develop a comprehensive training and technical assistance plan to increase the capacity of fulfilling the mission of community action.
- 4) **Assessment:** Perform an annual assessment of the CSBG Organizational Performance Standards for eligible entities and provide technical assistance, training, and/or accountability for any agency that does not meet or falls below 100% compliance.
- 5) **Monitoring:** Conduct onsite monitoring of entities at least every three years to ensure compliance and issue monitoring reports within sixty (60) days.
- 6) **Professional Development:** Attend CSBG related trainings and conferences for professional development opportunities to assist staff with the most recent developments impacting the network.
- 7) **Data:** Collect and analyze data for purposes of strengthening and improving

programs and achieving measurable outcomes.

- 8) Recognition: Promote the accomplishments of individual eligible entities and the Missouri Community Action Network.
- 9) CARES: Successfully integrate CSBG CARES funding and goals into existing CSBG programs to assist eligible entities with operating safely and effectively during the COVID-19 crisis to support and stabilize Missourians.

**Note:** This information is associated with State Accountability Measure 1Sa(i) and pre-populates the state's Annual Report, Module 1, Item B.1.

**3.3. State Plan Development:** Indicate the information and input the state accessed to develop this State Plan.

**3.3a. Analysis of state-level tools**

- 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)
- Monitoring Visits/Assessments
- Tools Not Identified Above (specify)

**3.3b. Analysis of local-level tools**

- Eligible Entity Community Needs Assessments
- Eligible Entity Community Action Plans
- Public Hearings/Workshops
- Tools Not Identified Above (e.g., state required reports) [specify]

**3.3c. Consultation with:**

- Eligible Entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State Association
- National Association for State Community Services Programs (NASCSPP)
- Community Action Partnership (NCAP)
- Community Action Program Legal Services (CAPLAW)
- CSBG Tribal Training and Technical Assistance (T/TA) provider
- Regional Performance Innovation Consortium (RPIC)
- Association for Nationally Certified ROMA Trainers (ANCRT)
- Federal CSBG Office
- Organizations not identified above (specify)

**3.4. Eligible Entity Involvement**

**3.4a. State Plan Development:** Describe the specific steps the state took in developing the State Plan to involve the eligible entities. The state of Missouri CSBG staff meet formally monthly, or more often as needed, with representatives from the Missouri Community Action Network (MCAN), Adsystem for MIS management, and eligible entities to discuss network needs. Additionally, staff maintain frequent contact via other mediums. CSBG staff also meet frequently with key staff from the eligible entities to address any concerns. For this year’s report, particular significance was placed on feedback received from the ACSI survey, as the results represented an area of growth for CSBG staff. Finally, stakeholders and eligible entities were given the opportunity to provide comments and feedback during the public hearing, in accordance with CSBG statute.

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

**3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to 1) encourage eligible entity participation and 2) 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. The state of Missouri Department of Social Services is adhering to all hearing requirements for public comment and feedback. Additionally, informal requests for comment were issued mid-July 2021, providing eligible entities an opportunity for transparent discussion of their observations and needs.

**Note:** This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

**3.5. Eligible Entity Overall Satisfaction:** Provide the state’s target for eligible entity Overall Satisfaction during the performance period.

<u>Year One: 40</u>	<u>Year Two: 60</u>
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**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

**4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

The state of Missouri advised eligible entities of upcoming opportunities to comment on the draft plan during regular monthly conference calls. Additionally, notification was issued electronically to all eligible entities via email thirty (30) days prior to the scheduled public hearing. In the week leading up to the public hearing, notices were posted on the Department of Social Services (DSS) website and social media. DSS will also place the state plan information on the Department’s weekly calendar, send the information through GovDelivery to over 145,000 subscribers, and send through partner networks, such as employment and training providers, state agencies, non-profits, and other stakeholders.

**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 676(a)(2)(B) of the CSBG Act.

Copies of the draft state plan and information regarding the public hearing were made available to the public, eligible entities, and other stakeholders in July 2021. Additionally, copies were distributed via email to eligible entities and they were encouraged to respond either via phone or email. The public hearing was scheduled for 8/30/2021.

**4.3. Public and Legislative Hearings:** In the table below, 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.

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
2/2/2021	Missouri State Capitol	<input type="checkbox"/> Public <input checked="" type="checkbox"/> Legislative <input type="checkbox"/> Combined	
2/9/2021	Missouri State Capitol	<input type="checkbox"/> Public <input checked="" type="checkbox"/> Legislative <input type="checkbox"/> Combined	
8/30/2021	Virtual	<input checked="" type="checkbox"/> Public	

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
		<input type="checkbox"/> Legislative <input checked="" type="checkbox"/> Combined	

**4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.

Missouri House of Representatives Budget Hearing 2/2/2021:  
<https://house.mo.gov/MediaCenter.aspx?selected=DebateArchive>

Missouri Senate Budget Hearing 2/9/2021:  
 Audio 1: <https://media.senate.mo.gov/DebateArchive/2021/020921/020921I.mp3>  
 Audio 2: <https://media.senate.mo.gov/DebateArchive/2021/020921/020921II.mp3>

## SECTION 5: CSBG Eligible Entities

**5.1. CSBG Eligible Entities:** In the table below, indicate whether each eligible entity in the state is public or private, the type(s) of entity, and the geographical area served by the entity.

Types of Entities include Community Action Agency, <a href="#">Limited Purpose Agency</a> , Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other				
#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
<a href="#">1</a>	Central Missouri Community Action (CMCA)	Audrain, Boone, Callaway, Cole, Cooper, Howard, Moniteau, Osage	Non-Profit	Community Action Agency
<a href="#">2</a>	Community Action Agency of St. Louis County (CAASTLC)	St. Louis County	Non-Profit	Community Action Agency
<a href="#">3</a>	Community Action Partnership of St. Joseph (CAPSTJOE)	Andrew, Buchanan, Clinton, Dekalb	Non-Profit	Community Action Agency
<a href="#">4</a>	Delta Area Economic Opportunity Corporation (DAEOC)	Dunklin, Mississippi, New Madrid, Pemiscot, Scott, Stoddard	Non-Profit	Community Action Agency
<a href="#">5</a>	East Missouri Action Agency (EMAA)	Bollinger, Cape Girardeau, Iron, Madison, Perry, St. Francois, Ste. Genevieve, Washington	Non-Profit	Community Action Agency
<a href="#">6</a>	Economic Security Corporation (ESC)	Barton, Jasper, McDonald, Newton	Non-Profit	Community Action Agency
<a href="#">7</a>	Green Hills Community Action Agency (GHCAA)	Caldwell, Daviess, Grundy, Harrison, Linn, Livingston, Mercer, Putnam, Sullivan	Non-Profit	Community Action Agency
<a href="#">8</a>	Jefferson-Franklin Community Action Corporation (JFCAC)	Franklin, Jefferson	Non-Profit	Community Action Agency
<a href="#">9</a>	Missouri Ozarks Community Action, Inc. (MOCA)	Camden, Crawford, Gasconade, Laclede,	Non-Profit	Community Action Agency

		Maries, Miller, Phelps, Pulaski		
<a href="#">10</a>	Missouri Valley Community Action Agency (MVCAA)	Carroll, Chariton, Johnson, Lafayette, Pettis, Ray, Saline	Non-Profit	Community Action Agency
<a href="#">11</a>	North East Community Action Corporation (NECAC)	Lewis, Lincoln, Macon, Marion, Monroe, Montgomery, Pike, Ralls, Randolph, Shelby, St. Charles, Warren	Non-Profit	Community Action Agency
<a href="#">12</a>	Community Action Partnership of Northeast Missouri (CAPNEMO)	Adair, Clark, Knox, Scotland, Schuyler	Non-Profit	Community Action Agency
<a href="#">13</a>	Ozark Action, Inc. (OAI)	Douglas, Howell, Oregon, Ozark, Texas, Wright	Non-Profit	Community Action Agency
<a href="#">14</a>	Ozarks Area Community Action Corporation (OACAC)	Barry, Christian, Dade, Dallas, Greene, Lawrence, Polk, Stone, Taney, Webster	Non-Profit	Community Action Agency
<a href="#">15</a>	People's Community Action Corporation (PCAC)	The City of St. Louis and Wellston	Non-Profit	Community Action Agency
<a href="#">16</a>	South Central Missouri Community Action Agency (SCMCAA)	Butler, Carter, Dent, Reynolds, Ripley, Shannon, Wayne	Non-Profit	Community Action Agency
<a href="#">17</a>	Community Action Agency of Greater Kansas City (CAAGKC)	Clay, Jackson, Platte	Non-Profit	Community Action Agency
<a href="#">18</a>	West Central Missouri Community Action Agency (WCMCAA)	Bates, Benton, Cass, Cedar, Henry, Hickory, Morgan, St. Clair, Vernon	Non-Profit	Community Action Agency
<a href="#">19</a>	Community Services, Inc. of Northwest Missouri (CSI)	Atchison, Gentry, Holt, Nodaway, Worth	Non-Profit	Community Action Agency

**Note:** Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

5.2. Total number of CSBG eligible entities: 19

**5.3. Changes to Eligible Entities List:** Within the tables below, describe any changes that have occurred to the eligible entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list:

- Designation and/or Re-Designation
- De-Designations and/or Voluntary Relinquishments
- Mergers
- No Changes to Eligible Entities List

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served

**5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

CSBG Eligible Entity	Reason

**5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were individually listed in the prior State Plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.

## 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:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period.

- COE CSBG Organizational Standards
- Modified Version of COE CSBG Organizational Standards
- Alternative Set of organizational standards

**Note:** Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

**6.1a. Modified Organizational Standards:** In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

**6.1b. Alternative Organizational Standards:** If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

**6.1c. Alternative Organizational Standards:** If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

- There were no changes from the previous State Plan submission

Provide reason for using alternative standards.

Describe rigor compared to COE-developed Standards.

**6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary.

- Regulation
- Policy
- Contracts with Eligible Entities
- Other, describe:

**6.3. Organizational Standards Assessment:** Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s).

- 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

**6.3a. Assessment Process:** Describe the planned assessment process. Using the Center of Excellence (COE) standards each year, the Department of Social Services monitors compliance with the organizational standards. Eligible entities submit supporting documentation in the Organizational Standards Assessment System and desk reviews are conducted of all documentation. CSBG staff address any concerns and ensure that each eligible entity is making progress to meeting each standard by use of a technical assistance plan that identifies each individual responsible for specific steps to be taken in a specific timeframe to resolve the unmet standard. Monitoring will continue on a three year cycle, including verification of compliance with the COE Organizational Performance Standards.

**6.4. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)?  Yes  No

**6.4a.** Provide the specific eligible entities the state will exempt from meeting organizational standards and provide a description and a justification for each exemption. Total Number of Exempt Entities:

CSBG Eligible Entity	Description/Justification

**6.5. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period.

<u>Year One: 95%</u>	<u>Year Two: 95%</u>
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**Note:** Item 6.5. is associated with State Accountability Measures 6Sa and pre-populates the Annual Report, Module 1, Table D.2.

## 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

**7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities. The Department of Social Services shall allocate mandatory funds (90% of the total award) on the basis of federal fiscal years beginning October 1 as follows: Each of the nineteen CAAs will receive a base amount of two hundred thousand dollars (\$200,000). Of the remaining funds (Mandatory funds-(200,000x 19)), each CAA will receive an amount based on the percentage of poverty population in comparison to the state of Missouri poverty population. The final formula is as follows: (Mandatory funds- (200,000x19)) x (CAA poverty population/total state population). The total state population and the CAA poverty population by geographic area shall be based on the most recent report from the American Community Survey of the United States Census Bureau. The mandatory amount will be determined from the most recent information regarding the CSBG award to Missouri from the U.S. Department of Health and Human Services, Office of Community Services. All awards are contingent on the availability of CSBG funds for that fiscal year, and may be increased or decreased based upon the above listed formula. The Department of Social Services shall issue an electronic Notice of Award to the CAA, specifying the amount of the grant and the basis for the total fund calculation.

**7.1b. Statute:** Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities?  Yes  No

**7.2. Planned Allocation:** Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and in accordance to the “not less than 90 percent funds” requirement as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One	90.00%	Year Two	90.00%



<b>Planned CSBG 90 Percent Funds</b>		
<b>CSBG Eligible Entity</b>	<b>Year One Funding Amount \$</b>	<b>Delete</b>
<b>Central Missouri Community Action (CMCA)</b>	<b>\$1,125,167</b>	
<b>Community Action Agency of St. Louis County (CAASTLC)</b>	<b>\$2,080,785</b>	
<b>Community Action Partnership of St. Joseph (CAPSTJOE)</b>	<b>\$529,174</b>	
<b>Delta Area Economic Opportunity Corporation (DAEOC)</b>	<b>\$748,140</b>	
<b>East Missouri Action Agency (EMAA)</b>	<b>\$872,849</b>	
<b>Economic Security Corporation (ESC)</b>	<b>\$840,946</b>	
<b>Community Action Partnership of North Central Missouri (CAPNCM)</b>	<b>\$410,265</b>	
<b>Jefferson-Franklin Community Action Corporation (JFCAC)</b>	<b>\$729,288</b>	
<b>Missouri Ozarks Community Action, Inc. (MOCA)</b>	<b>\$864,148</b>	
<b>Missouri Valley Community Action Agency (MVCAA)</b>	<b>\$659,683</b>	
<b>North East Community Action Corporation (NECAC)</b>	<b>\$1,126,617</b>	
<b>Community Action Partnership of Northeast Missouri (CAPNEMO)</b>	<b>\$356,613</b>	
<b>Ozark Action, Inc. (OAI)</b>	<b>\$671,284</b>	
<b>Ozarks Area Community Action Corporation (OACAC)</b>	<b>\$1,867,621</b>	
<b>People's Community Action Corporation (PCAC)</b>	<b>\$1,449,991</b>	
<b>South Central Missouri Community Action Agency (SCMCAA)</b>	<b>\$608,930</b>	
<b>Community Action Agency of Greater Kansas City (CAAGKC) – USCAA?</b>	<b>\$2,280,901</b>	
<b>West Central Missouri Community Action Agency (WCMCAA)</b>	<b>\$764,091</b>	

Community Services, Inc. of Northwest Missouri (CSI)	\$314,558	
Total	\$18,301,051	
<b>CSBG Eligible Entity Year Two</b>		
<b>CSBG Eligible Entity</b>	<b>Year Two Funding Amount \$</b>	<a href="#"><u>Delete</u></a>
Central Missouri Community Action (CMCA)	\$1,125,167	
Community Action Agency of St. Louis County (CAASTLC)	\$2,080,785	
Community Action Partnership of St. Joseph (CAPSTJOE)	\$529,174	
Delta Area Economic Opportunity Corporation (DAEOC)	\$748,140	
East Missouri Action Agency (EMAA)	\$872,849	
Economic Security Corporation (ESC)	\$840,946	
Green Hills Community Action Agency (GHCAA)	\$410,265	
Jefferson-Franklin Community Action Corporation (JFCAC)	\$729,288	
Missouri Ozarks Community Action, Inc. (MOCA)	\$864,148	
Missouri Valley Community Action Agency (MVCAA)	\$659,683	
North East Community Action Corporation (NECAC)	\$1,126,617	
Community Action Partnership of Northeast Missouri (CAPNEMO)	\$356,613	
Ozark Action, Inc. (OAI)	\$671,284	
Ozarks Area Community Action Corporation (OACAC)	\$1,867,621	
People's Community Action Corporation (PCAC)	\$1,449,991	
South Central Missouri Community Action Agency (SCMCAA)	\$608,930	

<b>Community Action Agency of Greater Kansas City (CAAGKC)</b>	<b>\$2,280,901</b>
<b>West Central Missouri Community Action Agency (WCMCAA)</b>	<b>\$764,091</b>
<b>Community Services, Inc. of Northwest Missouri (CSI)</b>	<b>\$314,558</b>
<b>Total</b>	<b>\$18,301,051</b>

**Note:** This information pre-populates the state’s Annual Report, Module 1, Table E.2.

**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. Please include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

At least ninety percent (90%) of the CSBG funds will be distributed to nineteen (19) eligible entities. Spending authority is provided through the Missouri General Assembly (GA), which convenes in January of each year. The GA provides spending authority through the appropriations process for all state and federally funded programs and must pass a balanced budget (120 days). The Governor must sign the budget into law (30 days). In August of each year, eligible entities are invited to submit a Request for Proposal and return to CSBG staff (30 days). In September, CSBG staff reviews and approves eligible entity RFPs and Division of Finance and Administrative Services issues contracts (30 days). In October, the federal fiscal year commences. Invoices for reimbursement for expenditures are due by the 10<sup>th</sup> of each month for the new fiscal period, beginning in November. Invoices are received, reviewed and processed (10 days). Invoices are paid (10 days).

**7.3a. Distribution Method:** Select the option below that best describes the distribution method the state uses to issue CSBG funds to eligible entities:

- Reimbursement
- Advance
- Hybrid
- Other

**7.4. Distribution Timeframe:** Does the state intend to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award?  Yes  No

**7.4a. Distribution Consistency:** 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 pre-populate the state’s annual report form.

**7.5. Distribution of Funds Performance Management Adjustment:** Describe the state’s strategy for 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. [The most common theme of feedback via the last ACSI report was that the state of Missouri did not allow ample time for review of the draft state plan prior to the public hearing. In response to this, CSBG staff held monthly conference calls and invited all eligible entities to express concerns or provide additional feedback. On an informal level, an email was sent to each eligible entity on 7/26/2021 advising of the upcoming notice of public hearing and release of the draft state plan. At the same time, eligible entities were invited to provide more guidance on common goals, possible additions, and accountability.](#)

**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the state’s annual report form.

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

**7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

<u>Year One: 5%</u>	<u>Year Two: 5%</u>
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**Note:** This information pre-populates the state’s Annual Report, Module 1, Table E.4.

**7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

<u>Year One: 2.5</u>	<u>Year Two: 2.5</u>
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**7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

<u>Year One: 2</u>	<u>Year Two: 2</u>
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**Use of Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds as described in Section 675C(b) of the CSBG Act?  Yes  No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

<u>Year One: 5%</u>	<u>Year Two: 5%</u>
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**Note:** This response will link to the corresponding assurance, Item 14.2.

**Note:** This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

**Use of Remainder/Discretionary Funds – Year One**

<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
7.9a. Training/Technical Assistance to eligible entities	\$515,000	This includes system costs and training/technical assistance of \$415,000, and \$100,000 for technical assistance.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	
7.9c. Statewide coordination and communication among eligible entities	\$305,000	This includes state administration.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	\$0.00	
7.9e. Asset-building programs (Briefly describe under Column 4)	\$0.00	
7.9f. Innovation programs/activities by eligible entities or other neighborhood groups (Briefly describe under Column 4)	\$1,213,450	
7.9g. State Charity tax credits (Briefly describe under Column 4)	\$0.00	
7.9h. Other activities (Specify these other activities under Column 4)	\$0.00	
<b>Totals</b>	<b>\$2,033,450</b>	

**Use of Remainder/Discretionary Funds – Year Two**

<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
7.9a. Training/Technical Assistance to eligible entities	\$515,000	This includes system costs and training/technical assistance of \$415,000, and \$100,000 for technical assistance.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	
7.9c. Statewide coordination and communication among eligible entities	\$305,000	This includes state administration.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need (Briefly describe under Column 4)	\$0.00	
7.9e. Asset-building programs (Briefly describe under Column 4)	\$0.00	
7.9f. Innovation programs/activities	\$1,213,450	

<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
by eligible entities or other neighborhood groups (Briefly describe under Column 4)		
7.9g. State Charity tax credits (Briefly describe under Column 4)	\$0.00	
7.9h. Other activities (Specify these other activities under Column 4)	\$0.00	
<b>Totals</b>	<b>\$2,033,450</b>	

**7.10. Remainder/Discretionary Funds Partnerships:** Select the types of organizations, if any, the state intends to work with (by grant or contract using remainder/discretionary funds) to carry out some or all the activities in Table 7.9.

- The State Directly Carries Out All Activities (No Partnerships)
- The State Partially Carries Out Some Activities
- CSBG Eligible Entities (if checked, include 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

**Note:** This response will link to the corresponding CSBG assurance in Item 14.2.

**7.11. Use of Remainder/Discretionary Funds Performance Management Adjustment:** Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past State 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. [Funding requests can be made formally in compliance with CSBG requirements pursuant to 13 CSR 40-24.100. Additionally, ongoing discussions via regular conference calls to explore the use of discretionary funds. Additionally, attempts were made to respond to the COVID-19 crisis with the use of discretionary funds.](#)

**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**

**8.1. Training and Technical Assistance Plan:** 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. The T/TA plan should include all planned CSBG T/TA activities funded through the administrative or remainder/discretionary funds of this CSBG award (as reported in Section 7). The CSBG T/TA plan should include training and technical assistance conducted directly by the state or through partnerships (as specified in 8.3). Add a row for each activity: indicate the timeframe; whether it is training, technical assistance, or both; and the topic.

**Note:** This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

**Training and Technical Assistance – Year One**

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple Ongoing/Multiple	<ul style="list-style-type: none"> <li>• Both</li> <li>• Both</li> <li>• Both</li> <li>• Both</li> <li>• Both</li> <li>• Both</li> <li>• Both</li> <li>• Both</li> </ul>	<ul style="list-style-type: none"> <li>• Community Assessment</li> <li>• Governance/Tripartite Boards</li> <li>• Reporting</li> <li>• ROMA</li> <li>• Fiscal</li> <li>• Organizational Standards- General</li> <li>• Monitoring</li> <li>• Communication</li> </ul>	

**Training and Technical Assistance – Year Two**

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing/Multiple	• Both	• Community Assessment	
Ongoing/Multiple	• Both	• Governance/Tripartite Boards	
Ongoing/Multiple	• Both	• Reporting	
Ongoing/Multiple	• Both	• ROMA	
Ongoing/Multiple	• Both	• Fiscal	
Ongoing/Multiple	• Both	• Organizational Standards- General	
Ongoing/Multiple	• Both	• Monitoring	
Ongoing/Multiple	• Both	• Communication	

**8.1a. Training and Technical Assistance Budget:** The planned budget for all training and technical assistance:

<u>Year One: \$515,000</u>	<u>Year Two: \$515,000</u>
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**8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. The Department of Social Services engages in frequent (monthly, if not more often) correspondence with the Missouri Community Action Network (state association) regarding the training needs of local agencies. MCAN is a resource for all eligible entities for specific training in response to action plans or emergent needs identified in the community. Annually, MCAN administers a T/TA survey to gather valuable entity feedback to assist in development of T/TA that will be most beneficial to the eligible entities while coordinating with the Department of Social Services to ensure that each eligible entities needs are being met. ADSYSTech hosts the system for CSBG and provides technical assistance on

**8.2. Organizational Standards Technical Assistance:** Does the state have Technical Assistance Plans (TAPs) in place for all eligible entities with unmet organizational standards, if appropriate?  Yes  No

**Note:** 8.2 is associated with State Accountability Measure 6Sb. The state should put a TAP in place to support eligible entities with one or more unmet organizational standards.

**8.2a. Address Unmet Organizational Standards:** Describe the state’s plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards.

**8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state intends 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]**

All T/TA is conducted by the state



- 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 [External entities](#)

**8.4. CSBG-Funded T/TA Performance Management Adjustment:** Describe adjustments the state made to 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. [Utilizing the ACSI data, as well as available resources, the Department of Social Services will continue to gather information through observation, monitoring, OCS recommendation, and direct interactions with entities to further define and address training needs. To address concerns regarding communication, the state intends to implement programs to develop empowered, genuine, and transparent communication between the state and eligible entities.](#)

**Note:** This information is associated with State Accountability Measures 3Sd and may pre-populate the state’s annual report form.

## 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 intends 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 additional information as needed.

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- Head Start State Collaboration offices
- 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

**9.2. State Linkages and Coordination at the Local Level:** Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). *The state of Missouri consolidated several programs into one Community Initiatives divisions, which encompasses direct assistance, programs for victims, and resources for low-income individuals and families. The CSBG team was condensed to include LIHEAP and LIHWAP staff to ensure that there is an emphasis on stacking resources for eligible individuals and families. Coordination with TANF and SNAP programs occurs regularly during daily operations. Further, specific roles have been established to clarify job duties and allow for the creativity and flexibility to exist within programs to dynamically respond to the needs of Missourians.*

**Note:** This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

**9.3. Eligible Entity Linkages and Coordination**

**9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will partner and collaborate with public and private sector organizations to assure the effective delivery 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)). The Department of Social Services receives descriptions from eligible entities on how they will link with public and private sector organizations, which ensures effective delivery and coordination of CSBG services. With quality communication and descriptions of programs, entities are able to avoid duplicating services and respond to the immediate needs of those in their catchment area. Information regarding these linkages are confirmed through supporting documentation including Memoranda of Understanding (MOUs) or other partnership agreements. These agreements are examined at a local level and as a part of monitoring every three years.

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

**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. The Department of Social Services receives descriptions from eligible entities of linkages with other entities in their area and their Community Needs Assessment identifies the specific, poverty related needs of those in the CAAs catchment area. Referrals are regularly made between agencies in one area to ensure that no individual has gaps in services. Should identified gaps arise, eligible entities are able to develop a plan and request the use of discretionary funds to respond to an emergent need.

**Note:** This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

**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. WIOA Combined Plan:** 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.

Education will be the key for successfully implementing career pathway programs within each region's identified sectors. Using leveraged resources and labor market data, the workforce system, which include business and education, will build upon current programs and create new strategies to provide training for individuals to find employment in their communities with opportunity for growth.

Currently, combined and required partners have independent relationships with education partners. Through sector strategy initiatives and further asset mapping, Missouri intends to create educational pathways that can be seamlessly promoted through the one-stop delivery system. Using strategies which focus on customer service, sector strategies and career pathways, business leaders, Career and Technical Education and Community College partners will collaborate to create accessible training programs that meet the needs of businesses and will provide customers with work-based learning.

Community Action Agencies (CAAs) have partnerships with community colleges and technical schools throughout the state. Partnerships provide educational opportunities, either through direct access to classroom instruction or collaborations with life skills classes that increase participants' capacities to attain educational goals. Many partnerships have formal Memorandums of Understanding delineating responsibilities of each party.

**9.4b. Employment and Training Activities:** 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.

**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). CSBG and LIHEAP/LIHWAP are all housed within the Community Initiatives unit at the Department of Social Services and are overseen by the same manager. This ensures constant coordination of services. Additionally seventeen of the nineteen eligible entities also provide LIHEAP services. Finally, LIHEAP engages two additional providers that are not CAAs.

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

**9.6. Faith-based Organizations, Charitable Groups, and 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. Eligible entities are required to describe in their Community Action Plans links with faith-based organizations, charitable groups, and community organizations to ensure effective coordination of services, reduce duplication of services, and fill service

gaps during the annual request for proposal process. During this process, each CAA will provide supporting documentation such as MOUs or other agreements. As noted previously, these documents are reviewed during each RFP period and through the three year monitoring.

**Note:** this response will link to the corresponding assurance, Item 14.9

**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. Each eligible entity is required to describe in their community action plan how they will coordinate CSBG funds with other public and private resources to address community needs. They are required to submit a funding chart, providing an overview of all agency funding, including the CSBG funds (90%), and a detailed budget on how they will use the funds to meet the purpose and goals of CSBG.

**Note:** This response will link to the corresponding assurance, Item 14.3c.

**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 primary coordination between eligible entities, the state community action association, and the Department of Social Services occurs during monthly conference calls. Should need arise, the Department of Social Services is available for further engagement. Agendas are established in advance and minutes from previous meetings are available. The Department of Social Services strives for transparent communication regarding trainings, monitoring, upcoming deadlines, and other useful information.

**Note:** This information will pre-populate the Annual Report, Module 1, Item G.5.

**9.9. Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

**Communication Plan**

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	As needed	<ul style="list-style-type: none"> <li>• Other</li> <li>• Other</li> </ul>	Public postings, email, website, social media posts, and hearings held biennially.
State Plan Development	As needed		
Organizational Standards Progress	As needed	<ul style="list-style-type: none"> <li>• Other</li> </ul>	Monthly network conference calls, emails, website postings, committees.
State Accountability Measures Progress	As needed	<ul style="list-style-type: none"> <li>• Other</li> </ul>	
Community Needs Assessments/Community Action Plans		<ul style="list-style-type: none"> <li>• Other</li> </ul>	

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
State Monitoring Plans and Policies	As needed		
Training and Technical Assistance (T/TA) Plans	As needed	<ul style="list-style-type: none"> <li>• Other</li> </ul>	
ROMA and Performance Management	Triennial	<ul style="list-style-type: none"> <li>• Other</li> <li>• Other</li> </ul>	
State Interagency Coordination	As needed		
CSBG	As needed	<ul style="list-style-type: none"> <li>• Other</li> </ul>	
Legislative/Programmatic Updates	As needed	<ul style="list-style-type: none"> <li>• Other</li> </ul>	
Tripartite Board Requirements	Monthly	<ul style="list-style-type: none"> <li>• Other</li> </ul>	

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. Upon receiving information from OCS about performance on State Accountability Measures, the CSBG office will provide written feedback to eligible entities within sixty (60) days. Eligible entities will be expected to provide an explanation of any deficiencies and a written plan to meet the specific performance expectations within a following sixty (60) days. As previously described, this will include the responsible parties, the steps to meet the performance expectation, and the proposed time frame. The Department of Social Services will respond to this written plan to accept or request additional clarification within thirty (30) days.

**Note:** This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

**9.11. Communication Plan Performance Management Adjustment:** Describe any adjustments the state made to 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. The state continues to host monthly meetings with eligible entities and the state association (MCAN) to work on addressing any needs. As previously described, this includes thorough agendas and meeting minutes from past meetings to ensure that all eligible entities are aware of DSS expectations, deadlines, and information that may be helpful for the agencies; upcoming deadlines, processes, current needs, additional funding resources, and related correspondence from NASCSP, CAPLAW, etc. To improve the communication between the Department of Social Services and eligible entities, professional development training in strategic communication is being developed for applicable staff. This feedback was received from the ACSI data. Additionally, the CSBG staff is engaged with a workgroup to address an increased focus on process improvement and quality assurance within CSBG across the state.

**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**

**Monitoring of Eligible Entities** (Section 678B(a) of the CSBG 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.

**Note:** This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

**Monitoring Schedule – Year One**

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
<i>CAAGKC</i>	Full on site	Onsight	FY 1- Q3	3/12/2019	3/15/2019	
<i>CMCA</i>	Full on site	Onsight	FY 1- Q3	6/11/2019	6/14/2019	
<i>JFCAC</i>	Full on site	Onsight	FY 1- Q3	8/19/2019	8/22/2019	
<i>NECAC</i>	Full on site	Onsight	FY 1- Q4	4/23/2019	4/26/2019	
<i>OAI</i>	Full on site	Onsight	FY 1- Q4	7/16/2019	7/19/2019	
<i>SCMCAA</i>	Full on site	Onsight	FY 1- Q4	5/14/2019	5/17/2019	

**Monitoring Schedule – Year Two**

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
<i>DAEOC</i>	Full on site	Onsite	FY 2 Q3	3/9/2020	3/12/2021	
<i>EMAA</i>	Full on site	Desk	FY 2 Q3	1/18/2021	1/21/2021	
<i>ESC</i>	Full on site	Desk	FY 2 Q3	1/18/2021	1/21/2021	
<i>CAPNCM</i>	Full on site	Desk	FY 2 Q4	1/11/2021	1/14/2021	
<i>MVCAA</i>	Full on site	Desk	FY 2 Q4	1/22/2021	1/26/2021	
<i>PCAC</i>	Full on site	Desk	FY 2 Q4	1/15/2021	1/21/2021	



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

**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? [60](#)

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

### **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 the documenting closure of findings included in the state monitoring policies attached under 10.2?  Yes  No

**10.4a. Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies and the documenting closure of findings.

**10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. [0](#)

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

**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? [At the discretion of the Department, taking into account the seriousness of the deficiency and reasonable expectations, the Department may require an eligible entity to develop a corrective action plan within 30 days, to describe corrective action taken over the following 120 days. If an eligible entity is placed on a Quality Improvement Plan \(QIP\), the Department will notify all appropriate representatives from the U.S. Dept. of Health and Human Services, Office of Community Services of the eligible entity being placed on a QIP within 30 days. All progress towards the remedy will be communicated to OCS on a monthly basis.](#)

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

**10.7. Assurance on Funding Reduction or Termination:** The state assures 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)” per Section 676(b)(8) of the CSBG Act.  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. Eligible Entity Designation:** Does the state CSBG statute and/or regulations provide for the designation of new eligible entities?  Yes  No

**10.8a. New Designation Citation:** If yes, provide the citation(s) of the law and/or regulation.

**10.8b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. [Missouri applies federal regulations for designation of new eligible entities.](#)

**10.9. Eligible Entity Termination:** Does the state CSBG statute and/or regulations provide for termination of eligible entities?  Yes  No

**10.9a. Termination Citation:** If yes, provide the citation(s) of the law and/or regulation.

**10.9b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public. [Missouri applies federal regulations for termination of new eligible entities.](#)

**10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity?  Yes  No

**10.10a. Re-Designation Citation:** If yes, provide the citation(s) of the law and/or regulation.

**10.10b. Re-Designation Procedures:** If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public. [The Missouri Department of Social Services will adhere to the requirements of Section 678C of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 116 to terminate the designation of eligible entities.](#)

### **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 meets this section through the Statewide Accounting for Missouri \(SAMII\), Public Cost Allocation Plan \(PACAP\), and cost allocation system. Under the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards Subpart E, Cost Principles \(2 CFR 200.403\), costs must meet specific criteria to be allowable under the federal award. The Department ensures that costs are as followed: necessary and reasonable to the federal benefit program, allocable to the federal benefit program, allowable under the requirements of the federal benefit program, are consistent with policies and procedures of the Department, are determined in accordance with generally accepted](#)

accounting principles (GAAP), are not included as a cost or used to meet cost sharing or matching requirements of any other federal benefit program, and are adequately documented. Approved expenditures are submitted for processing in the SAMII with a unique coding structure to identify the cost© by category and fiscal year to ensure funds are drawn, disbursed, and reported accordingly. On a quarterly basis, all financial information is extracted from the SAMII and imported into the cost allocation system. The cost allocation system identifies the costs using the unique coding structure from SAMII and further categorizes the costs according to function of program objectives for allocation to an intermediate, and/or final cost center according to allocation methodologies outlined in the corresponding quarterly PACAP. Following completion of the quarterly cost allocation process, reports are generated from the cost allocation system reflecting the total allocated costs by benefit program/final receiver. The cost allocation system reports are reviewed, approved, and used to prepare the SF-425 Federal Financial Report(s) accurately and timely.

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

**on Federal Investigations:** The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act.  Yes  No

**Note:** This response will link with the corresponding assurance, Item 14.7

**10.13a. Federal Investigations Policies:** Are state procedures for permitting and cooperating with federal investigations included in the state monitoring policies attached under 10.2?  Yes  No

**10.14. Monitoring Procedures Performance Management Adjustment:** Describe any adjustments the state made to 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. In FY21, the Department of Social Services transferred monitoring procedures to an internal monitoring unit to streamline the process and provide more timely feedback, as improved communication was a main theme in the ACSI survey.

**Note:** This item is associated with State Accountability Measure 4Sb and may pre-populate the state’s annual report form.

## SECTION 11: Eligible Entity Tripartite Board

**11.1. Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG eligible entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act.

- Attend Board meetings
- Organizational Standards Assessment
- Monitoring
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other

**11.2. Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.

- Annually
- Semiannually
- Quarterly
- Monthly
- As It Occurs
- Other

**11.3. Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act.

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 director's structure as defined in the Act, 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 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 and 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 agencies requiring corrective action.

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

**11.4. Tripartite Board Alternative Representation:** 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 Income Eligibility Requirements

**12.1. Required Income Eligibility:** Provide the income eligibility threshold for services in the state.

- 125% of the HHS poverty line
- X % of the HHS poverty line (fill in the threshold): \_\_\_\_\_%
- 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 the requirement for eligible entities to serve individuals/families at or below 125% of the federal poverty level in the contract. Eligible entities develop a process to calculate income and family/household composition.

**12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited intake procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. Eligible entities are required to outline their procedures for verifying income eligibility within their community action plan. Eligible entities are expected to provide safeguards, as practicable, to ensure that program participants meet income eligibility. Eligibility determinations are reviewed on-site during regular monitoring visits.

**12.3. Community-targeted Services:** Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). Eligible entities are required to outline their strategies for targeting services designed to provide a community-wide benefit in their annual community action plan through the use of strategic planning based upon the results of data analysis from the Community Needs Assessment. Targeting development of partnerships with organizations such as schools, senior centers, and low income housing entities are key providing community services.

## SECTION 13: Results Oriented Management and Accountability (ROMA) System

**13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

**Note:** This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- 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. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. Results Oriented Management and Accountability measures are used as a framework to enable eligible entities to deliver programs addressing local needs. Federal guidance allows eligible entities to identify specific outcomes and performance measures. All outcomes and measures must be connected to one of the three national community action goals. National Performance 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 results through the Results Oriented Management and Accountability (ROMA) program's national goals and outcomes measures providing by the Office of Community Services (OCS) Monitoring and Assessment Task Force. CAAs and discretionary funded recipients are required to report outcomes to state CSBG office staff quarterly and annually.

**13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

**13.2. Outcome Measures:** 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. Results Oriented Management and Accountability measures are used as a framework to enable eligible entities to deliver programs addressing local needs as determined by the Community Needs Assessment. Missouri, in accordance with Federal Guidelines, allows eligible entities to identify specific outcomes and performance measures consistent with National Performance Indicators (NPI). All outcomes and measures must be connected to one of the three national community action goals. National Performance 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). Entities are required to report outcomes to the state CSBG office staff quarterly and annually.

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



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

**13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. Each Missouri eligible entity submits a Community Action Plan to the state CSBG office staff as part of the Request for Proposal (RFP). Each entity receives a RFP containing all of the information necessary for the development of their Community Action Plan (CAP). Entities will submit a community action plan for each federal fiscal year which includes work plans that identify the priority community needs based on their current comprehensive community needs assessment. The CAP 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. Entities will also develop implementation plans for each proposed strategy, intervention or program, identified in their CAP. The state CSBG unit coordinates and facilitates training and technical assistance for entities, including training for ROMA. Entities are required to have ROMA training and to either have an in agency ROMA certified staff or agreement with a ROMA certified consultant.

**Note:** The activities described under Item 13.3 may include activities listed in “Section 8: 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.

**13.4. Eligible Entity Use of Data:** Describe how the state intends to validate that the eligible entities are using data to improve service delivery. All Missouri entities must link performance and results through the Results Oriented Management and Accountability (ROMA) program’s national goals and outcomes measures provided by the Office of Community Services. CAAs and discretionary fund recipients are required to report outcomes to state CSBG unit staff.

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

### Community Action Plans and Needs Assessments

**13.5. Community Action Plan:** 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. Each entity is required to submit a Community Action Plan annually as part of the contracting process in order to be in compliance with the fiscal and administrative CSBG program.

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

**13.6. Community Needs Assessment:** 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. The state of Missouri requires a community needs assessment to be completed at least once every three

years by each CSBG eligible entity. The assessment summary must outline current needs, new or projected needs, and it should encompass those needs that shall remain unmet. The community needs assessment may be amended as needed.

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

**SECTION 14: CSBG Programmatic Assurance 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 farmworkers, 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;

DSS specifies this assurance in the CSBG contract agreement. The state CSBG program requires all eligible entities to submit a community action plan specifically targeted to address the needs of low income community based upon their community needs assessment, as a part of their requests for proposal for funding. The community action plan includes all services and

programs that use CSBG funding for the purpose of removing barriers to self-sufficiency as well as to provide resources to obtain and maintain well-being and self-sufficient lifestyles. All community action plans, proposal, and work plans are reviewed and approved to ensure that activities support these assurances. This assurance is reviewed for compliance during the regular monitoring review process. DSS is committed to reducing financial dependency on government assistance and increasing self-sufficiency.

### ***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;

DSS specifies this assurance in the CSBG contract agreement. The state will assure that CSBG funds will be used for the purposes outlined above via review of the Request for Proposal which includes the community action plan helping to ensure that youth development remains a service provided by entities. Special initiatives have been and will continue to be supported by providing discretionary funding when available. The annual reporting data is reviewed and discussed with entities to ensure that programs also target youth development and demographics are correctly reported. This assurance is reviewed for compliance during the regular monitoring review process.

### ***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)

DSS specifies this assurance in the CSBG contract agreement. The state CSBG program encourages formal Memoranda of Understanding (MOU) with state and local entities. The CAAs work in partnership with local state agencies, nonprofits, private business, the faith community and others to coordinate other programs in meeting the purposes of this subtitle. This assurance is reviewed for compliance during the regular monitoring review process.

### ***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...”

#### ***Eligible Entity Service Delivery System***

- 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 entities are required to describe 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 which are confirmed through 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.

- 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 follow up 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 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).

DSS specifies this assurance in the CSBG contract agreement. The CAAs work in partnership with local and state agencies, nonprofits, businesses, the faith community, and other to support innovative, creative approaches to meet the purpose of this subtitle. This assurance is reviewed for compliance during the regular monitoring review process.

#### ***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.”

Eligible entities are required to provide all information regarding nutrition and related services in their community action plans. Adherence to this plan is a part of the monitoring process every three years.

#### ***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 Section 9, State Linkages and Communication, specifically under 9.1 – 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 Section 9, 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 Section 10, Fiscal Controls and Monitoring under 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 Section 10 Fiscal Controls and Monitoring under 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 Section 9 State Linkages and Communication, under 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 Section 11 Eligible Entity Tripartite Boards, under 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 State, as a condition to receipt of funding by the entity through a community 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 Section 13 ROMA, under 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 section 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 Section 13 ROMA under 13.1 – 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

### 15.1. 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.

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

## 15.2. 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).

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

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

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

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

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

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

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

### 15.3. Debarment

#### ***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.

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***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 remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

#### **15.4. 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.

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