Model State Plan (CSBG)

Program Name: Community Services Block Grant
Grantee Name: MAINE
Report Name: Model State Plan (CSBG)
Report Period: 10/01/2017 to 09/30/2018
Report Status: Submitted

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**CSBG Cover Page (SF-424M)**

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

**COVER PAGE**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan</td>
<td>Other (2 Year)</td>
<td>Explanation:</td>
<td>Initial</td>
</tr>
</tbody>
</table>

| 2. Date Received: |
| State Use Only: |

| 3. Applicant Identifier: |
| 4a. Federal Entity Identifier: |

| 4b. Federal Award Identifier: |
| 5. Date Received By State: |
| 6. State Application Identifier: |

**7. APPLICANT INFORMATION**

<table>
<thead>
<tr>
<th>* a. Legal Name:</th>
<th>State of Maine</th>
</tr>
</thead>
<tbody>
<tr>
<td>* b. Employer/Taxpayer Identification Number (EIN/TIN):</td>
<td>1-016000001</td>
</tr>
<tr>
<td>* c. Organizational DUNS:</td>
<td>809045594</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* d. Address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Street 1: 221 State St.</td>
</tr>
<tr>
<td>* City: Augusta</td>
</tr>
<tr>
<td>* State: ME</td>
</tr>
<tr>
<td>* Country: United States</td>
</tr>
<tr>
<td>* Street 2: SHS 11</td>
</tr>
</tbody>
</table>

| * e. Organizational Unit: |
| Department Name: Department of Health and Human Services |
| Division Name: Office of Child and Family Services (OCFS) |

| * f. Name and contact information of person to be contacted on matters involving this application: |
| Prefix: | * First Name: Christa |
| Suffix: | Title: Finance |

| * Middle Name: |
| * Last Name: Elwell |
| * Telephone Number: (207) 624-7900 |
| * Fax Number |
| * Email: christa.elwell@maine.gov |

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

| b. Additional Description: |

| * 9. Name of Federal Agency: |

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

| 11. Descriptive Title of Applicant's Project |
| CSBG |

| 12. Areas Affected by Funding: |
| State of Maine |

| 13. CONGRESSIONAL DISTRICTS OF: |
| * a. Applicant |
| 1 |

| b. Program/Project: |
| 1, 2 |

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

| 14. FUNDING PERIOD: |
| a. Start Date: |
| b. End Date: |

| 15. ESTIMATED FUNDING: |
| * a. Federal ($): 50 |
| b. Match ($): |

<p>| * 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS? |
| a. This submission was made available to the State under the Executive Order 12372 |</p>
<table>
<thead>
<tr>
<th>Process for Review on:</th>
</tr>
</thead>
<tbody>
<tr>
<td>b. Program is subject to E.O. 12372 but has not been selected by State for review.</td>
</tr>
<tr>
<td>c. Program is not covered by E.O. 12372.</td>
</tr>
</tbody>
</table>

* 17. Is The Applicant Delinquent On Any Federal Debt?  
   - YES  
   - NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)  
   ** I Agree

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

<table>
<thead>
<tr>
<th>18a. Typed or Printed Name and Title of Authorized Certifying Official</th>
<th>18c. Telephone (area code, number and extension)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>18b. Signature of Authorized Certifying Official</th>
<th>18d. Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Signature]</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>18e. Date Report Submitted (Month, Day, Year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/28/2017</td>
</tr>
</tbody>
</table>

Attach supporting documents as specified in agency instructions.
## Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

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

### SECTION 1
CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

**1.1. Lead agency**

| State of Maine, Department of Health and Human Services |

**1.1b. Cabinet or administrative department of this lead agency** (Check one option and narrative where applicable)

| Human Services Department |

**1.1c. Division, bureau, or office of the CSBG authorized official**

| Office of Child and Family Services |

**1.1d. Authorized official of lead agency**

| Scott Lever, Acting Deputy Commissioner of Health Services |

**1.1e. Street Address**

| 221 State St. |

**1.1f. City**

| Augusta |

**1.1g. State**

| ME |

**1.1h. Zip**

| 04333 |

**1.1i. Telephone number and extension**

| (207) 287-5157 ext. |

**1.1j. Fax number**

| (207) 287-3005 |

**1.1k. Email address**

| Scott.T.Lever@maine.gov |

**1.1l. Lead agency website**

| www.maine.gov/dhhs |

**1.2. Provide the following information in relation to the designated State CSBG point of contact**

**1.2a. Agency name**

| DHHS, Office of Child and Family Services |

**1.2b. Name of the point of contact**

| Christa Elwell |

**1.2c. Street address**

| 2 Anthony Ave. |

**1.2d. City**

| Augusta |

**1.2e. State**

| ME |

**1.2f. Zip**

| 04333 |

**1.2g. Point of contact telephone number**

| (207) 624-7921 ext. |

**1.2h. Fax number**

| (207) 287-6156 |

**1.2i. Email address**

| christa.elwell@maine.gov |

**1.2j. Point of contact agency website**

| www.maine.gov/dhhs/ocfs |

**1.3. Designation Letter:**

Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.
Section 2: State Legislation and Regulation

<table>
<thead>
<tr>
<th>2.1. CSBG State Legislation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the State have a statute authorizing CSBG?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.2. CSBG State Regulation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the State have regulations for CSBG?</td>
</tr>
</tbody>
</table>

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

- https://www1.maine.gov/sos/cec/rules/10/144/144c002.doc
- http://legislature.maine.gov/statutes/22/title22sec5327.html

2.4. State Authority:

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

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

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

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes ☑ No ☐
Section 3: State Plan Development and Statewide Goals

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.

DHHS - To promote safe, healthy, independent lives for all, while ensuring efficient and effective use of resources for Maine's most vulnerable. Link to most recent strategic plan: http://www.maine.gov/dhhs/documents/DHHS-Strategic-Plan.pdf

3.2. State Plan Goals:
Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan. (Note: This item is associated with and may pre-populate the State's Annual Report form.)

Communities achieve or maintain economic self-sufficiency to prevent, reduce, or eliminate dependency on social services. Strategy 1: Administer poverty-related federal funds through a network of community action agencies and other local organizations, so that poverty-related services are available to very low income persons throughout the state. Outcome Measures: 1. Percent of eligible population that received services in developing a work plan with detailed program activities intended to reduce or eliminate dependency on social services for individuals and/or families with low incomes. 2. Implementation of employment initiatives and supports, including but not limited to education, child care, and case management to eliminate barriers to increased self-sufficiency. Output Measures: 1. Number of persons assisted increased incomes and/or services needed to increase self-sufficiency. 2. Number of persons that receive services to eliminate barriers. The Department will continue to work with Community Action Agencies to develop a work plan with activities intended to reduce or eliminate dependency on social service programs for individuals and/or families with low incomes to achieve increased self-sufficiencies.

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

3.3a. Analysis of [Check all that apply and narrative where applicable]
- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data
- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Other data [describe] Other State offices reports and data
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities (e.g., State required reports) [describe]
- Required reports for providers, and data from other State offices

3.3b. Consultation with [Check all that apply and narrative where applicable]
- Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T&T providers
- State partners and/or stakeholders (describe) Other State offices and partner agencies
- National organizations (describe) NASCSP, CAPLAW, National Community Action Partnership (NCAP)
- Federal Office of Community Services
- Other (describe)

3.4. Eligible Entity Involvement
3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.
(Note: This information is associated with State Accountability Measures 1Sa(iii) and may pre-populate the State's annual report form)

The State has considered and utilized the feedback from the CSBG eligible entities in a variety of ways, including but not limited to: increased meetings; participating in webinars with the National Association for State Community Services Programs (NASCSP), Regional Performance and Innovation Consortium (RPIC), and other interested parties; being in regular communication with the eligible entities; informing the eligible entities of changes and/or new information almost immediately in most cases; and supporting all eligible entity requests for Results Oriented Management and Accountability (ROMA) Next Generation training, as well as contracting with the State Association to establish ROMA Implementers in every eligible entity by the end of FFY18, etc.

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

3.4b. Performance Management Adjustment:
How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order
1) to encourage eligible entity participation and
2) to ensure the State Plan reflects input from eligible entities?
Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with State Accountability Measures 15b(i) and (ii) and may pre-populate the State’s annual report form)

The State is developing a formalized, documented process/procedures of the specific tasks/steps to be taken on an ongoing basis, to ensure robust state plan development. This plan will illustrate how the State will engage eligible entities and the State Association to encourage and ensure their participation and feedback, as well as how that feedback will be incorporated into the state plan and any subsequent necessary adjustments.

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

3.5. Eligible Entity Overall Satisfaction:
Provide the State’s target for eligible entity Overall Satisfaction during the performance period: 65

(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State’s annual report form)
4.1. Public Inspection:
Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

The Draft Application and State Plan was made available for review on July 20, 2017. The State held a public hearing at the Office of Child and Family Services on July 31, 2017. The Draft Application and State Plan are also on the Department's website. A link to the website posting was published in the Kennebec Journal on July 20, 21, and 22, 2017. The 10 Maine Community Action Agencies and Maine Community Action Association were sent the CSBG Draft Application and State Plan on July 20, 2017.

4.2. Public Notice/Hearing:
Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.

Throughout the last year, the State has worked with partners as we've moved forward towards development of a plan. In addition, the draft plan was sent out on July 20, 2017. The Department continually engages Community Action Agencies (CAA) via joint meetings with the State CSBG Office, CAAs, Maine State Association, and Program Staff.

4.3. Public and Legislative Hearings:
Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Type of Hearing</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/31/2017</td>
<td>2 Anthony Ave., Augusta, ME</td>
<td>Public</td>
</tr>
</tbody>
</table>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
Section 5: CSBG Eligible Entities

<table>
<thead>
<tr>
<th>#</th>
<th>CSBG Eligible Entity</th>
<th>Public or Nonprofit</th>
<th>Type of Agency [choose all that apply]</th>
<th>Geographical Area Served by county (Provide all counties)</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Aroostook County Action Program</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Aroostook</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Kennebec Valley Community Action Program</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Kennebec and Somerset</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Midcoast Maine Community Action</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Sagadahoc, Knox, and Lincoln</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Penquis, Inc</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Penobscot, Piscataquis, and Knox</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>The Opportunity Alliance (Formerly Peoples Regional Opportunity Program)</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Cumberland</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Waldo Community Action Partners</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Waldo</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Washington Hancock Community Agency</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Washington and Hancock</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Western Maine Community Action</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>Franklin</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>York County Community Action Corp.</td>
<td>Nonprofit</td>
<td>Community Action Agency (CAA)</td>
<td>York</td>
<td></td>
</tr>
</tbody>
</table>

5.2 Total number of CSBG eligible entities **10**

5.3 Changes to Eligible Entities List:
Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? ☐ Yes ☐ No

If yes, please briefly describe the changes.
6.1. Choice of Standards:
Check the box that applies. If using alternative standards
a) attach the complete list of alternative organizational standards,
b) describe the reasons for using alternative standards, and
c) describe how the standards are at least as rigorous as the COE-developed standards.

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

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

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

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

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? (Check all that apply.)
[ ] Peer-to-peer review (with validation by the State or State-authorized third party)
[ ] Self-assessment (with validation by the State or State-authorized third party)
[ ] Self-assessment/peer review with State risk analysis
[ ] State-authorized third party validation
[ ] Regular, on-site CSBG monitoring
[ ] Other

6.4a. Describe the assessment process.

The Maine Department of Health and Human Services is planning on assessing Eligible Entities’ (EE) compliance with organizational standards through a desk review of documents submitted by the EEs. Prior to the start of a new program year, EEs must submit documents and a certification to the Department, in conjunction with the EEs’ submission of the Community Action Plan. Documents will reflect a self-assessment performed by the EE. The Department will perform a desk review of the documents through completion of an instrument that will verify the self-assessment and issue a report reflecting the level of compliance the EE has achieved with program rules and organizational standards. Follow-up engagement will occur, and an on-site monitoring visit performed when the desk review identifies regulations and organizational standards that were not addressed in the desk review. At least every three years or sooner, an on-site monitoring visit will be performed. Greater frequency may occur if the desk reviews indicate significant non-compliance. EEs that are not compliant with the organizational standards will be provided a report that details the corrective action for each instance of noncompliance. The EE will be required to respond to the report within 30 days. The EE’s response must address each instance of noncompliance and contain supporting documentation that reflects compliance with the specific standard. The Department will review the response and determine if the EE’s response adequately addresses and ameliorates the issue. If a corrective action was not preformed or did not satisfy the required corrective action requirements, the Department will issue additional correspondence and the required corrective action. The EE will be provided an additional 15 days to comply with the standards. In the event that an EE does not comply with the standard, the Department will provide technical assistance to become compliant and whether a Quality Improvement Plan (QIP) will be required of the EE. The Department will continue to monitor the corrective action requirement until the EE is compliant with the standards.

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

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 50%
Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.
## 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.

<table>
<thead>
<tr>
<th>Method</th>
<th>Historic</th>
</tr>
</thead>
</table>

**7.1a.** Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☑ Yes ☐ No

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

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

#### Planned CSBG 90 Percent Funds

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Year One Funding Amount $</th>
<th>Year One Funding Amount %</th>
<th>Year Two Funding Amount $</th>
<th>Year Two Funding Amount %</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Aroostook County Action Program</td>
<td>$310,748</td>
<td>0.00%</td>
<td>$310,748</td>
<td>0.00%</td>
</tr>
<tr>
<td>2 Community Concepts, Inc.</td>
<td>$379,662</td>
<td>0.00%</td>
<td>$379,662</td>
<td>0.00%</td>
</tr>
<tr>
<td>3 Kennebec Valley Community Action Program</td>
<td>$381,416</td>
<td>0.00%</td>
<td>$381,416</td>
<td>0.00%</td>
</tr>
<tr>
<td>4 Midcoast Maine Community Action</td>
<td>$252,364</td>
<td>0.00%</td>
<td>$252,364</td>
<td>0.00%</td>
</tr>
<tr>
<td>5 Penquis, Inc</td>
<td>$463,410</td>
<td>0.00%</td>
<td>$463,410</td>
<td>0.00%</td>
</tr>
<tr>
<td>6 The Opportunity Alliance (Formerly-Peoples Regional Opportunity Program)</td>
<td>$361,158</td>
<td>0.00%</td>
<td>$361,158</td>
<td>0.00%</td>
</tr>
<tr>
<td>7 Waldo Community Action Partners</td>
<td>$224,446</td>
<td>0.00%</td>
<td>$224,446</td>
<td>0.00%</td>
</tr>
<tr>
<td>8 Washington Hancock Community Agency</td>
<td>$301,496</td>
<td>0.00%</td>
<td>$301,496</td>
<td>0.00%</td>
</tr>
<tr>
<td>9 Western Maine Community Action</td>
<td>$214,078</td>
<td>0.00%</td>
<td>$214,078</td>
<td>0.00%</td>
</tr>
<tr>
<td>10 York County Community Action Corp.</td>
<td>$214,078</td>
<td>0.00%</td>
<td>$214,078</td>
<td>0.00%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$3,190,433</strong></td>
<td>0.00%</td>
<td><strong>$3,190,433</strong></td>
<td>0.00%</td>
</tr>
</tbody>
</table>

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

The Department utilizes a historical formula to distribute the funds. The State allocates 90% of the grant to the Community Action Agencies (CAA). Fifty percent of the amount passed through is divided equally among all designated agencies. Fifty percent of the amount passed through is divided among all designated agencies based on each agency's percentage of the State's low-income households.

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

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

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

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

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

**Note:** This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.
Based upon feedback from any/all sources, the state CSBG office has identified a number of areas in which improvements and/or updates are needed. This includes updates needed to the Maine CSBG Lead Office Monitoring Guide and Procedures Manual, review of the current CSBG allocation, documented communications plan/procedures, and a formalized documented plan for review of the draft Model State CSBG Plan.

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

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

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

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

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

7.9. Does the State have remainder/discretionary funds?  

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

#### Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)

<table>
<thead>
<tr>
<th>Remainder/Discretionary Fund Uses</th>
<th>Year One Planned $</th>
<th>Year One Planned %</th>
<th>Year Two Planned $</th>
<th>Year Two Planned %</th>
<th>Brief description of services/activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Training/technical assistance to eligible entities</td>
<td>$84,000.00</td>
<td>0.00%</td>
<td>$84,000.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system, etc.]</td>
</tr>
<tr>
<td>b. Coordination of State-operated programs and/or local programs</td>
<td>$0.00</td>
<td>0.00%</td>
<td>$0.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding the State Association website to increase coordination and communication, as well as provide staff support and coordination for Training/Technical Assistance (T/TA), data system, etc.]</td>
</tr>
<tr>
<td>c. Statewide coordination and communication among eligible entities</td>
<td>$40,000.00</td>
<td>0.00%</td>
<td>$40,000.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>$0.00</td>
<td>0.00%</td>
<td>$0.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>e. Asset-building programs</td>
<td>$0.00</td>
<td>0.00%</td>
<td>$0.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>f. Innovative programs/activities by eligible entities or other neighborhood groups</td>
<td>$0.00</td>
<td>0.00%</td>
<td>$0.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>g. State charity tax credits</td>
<td>$0.00</td>
<td>0.00%</td>
<td>$0.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>h. Other activities, specify in column 6</td>
<td>$100,000.00</td>
<td>0.00%</td>
<td>$50,000.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
<tr>
<td>Total</td>
<td>$224,000.00</td>
<td>0.00%</td>
<td>$174,000.00</td>
<td>0.00%</td>
<td>[The State is contracting with the Maine Community Action Association regarding a statewide data system to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine.]</td>
</tr>
</tbody>
</table>

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

- [ ] CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
- [ ] 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
- [ ] None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.
If this is the first year filling out the automated State Plan, skip the following question.

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

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

Based upon feedback and identified needs through/from the American Customer Satisfaction Index (ACSI), Regional Performance and Innovation Consortium (RPIC), Economic Opportunity Council (EOC), the State Association, local Community Action Agencies, and the Organizational Standards Center of Excellence (OSCOE/COE) Training and Technical Assistance (T/TA) Plan, the State is contracting with the State Association for training/technical assistance, as well as a statewide data system.
## Section 8: State Training and Technical Assistance

### 8.1. Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.

(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

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

<table>
<thead>
<tr>
<th>Fiscal Year (Y) Quarter (Q) / Timeframe</th>
<th>Training, Technical Assistance, or Both</th>
<th>Topic</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Technology</td>
<td></td>
</tr>
<tr>
<td>2 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Reporting</td>
<td></td>
</tr>
<tr>
<td>3 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>ROMA</td>
<td></td>
</tr>
<tr>
<td>4 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Organizational Standards - General</td>
<td></td>
</tr>
<tr>
<td>5 All quarters</td>
<td>Technical Assistance</td>
<td>Other</td>
<td>Any other identified areas of need</td>
</tr>
<tr>
<td>6 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Governance/Tripartite Boards</td>
<td></td>
</tr>
<tr>
<td>7 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Other</td>
<td>RBA work</td>
</tr>
<tr>
<td>8 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Standards for eligible entities with unmet organizational standards on TAPs and QIPs</td>
<td></td>
</tr>
<tr>
<td>9 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Other</td>
<td>OMB/Uniform Guidance</td>
</tr>
<tr>
<td>10 Ongoing / Multiple Quarters</td>
<td>Both</td>
<td>Other</td>
<td>CSBG Workplans</td>
</tr>
</tbody>
</table>

### 8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) Year One $84000, Year Two $84000

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

### 8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate?

Yes ☐ No ☐

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

In FFY16, the State CSBG Office experienced an unexpected and prolonged vacancy due to a hiring freeze. The new CSBG Administrator that was hired has since left, and the position is once again vacant. Once a new CSBG Administrator is hired, a primary goal will be to establish a stronger presence and oversight for CSBG, including a priority for technical assistance, Quality Improvement Plans (QIP), and onsite reviews.

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

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

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

### 8.4. Performance Management Adjustment:

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

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

Based upon feedback and needs identified through/from the American Customer Satisfaction Index, Regional Performance and Innovation Consortium (RPIC), Economic...
Opportunity Council (EOC), the State Association, local Community Action Agencies, and the Organizational Standards Center of Excellence (OSCOE/COE) Training and Technical Assistance (T/TA) Plan, the State is contracting with the State Association for T/TA, as well as a statewide data system.
### Section 9: State Linkages and Communication

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

SECTION 9
State Linkages and Communication

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

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

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

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

[Click paper clip to attach file]

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

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

The Department administers the CSBG in a state whose territory is as vast as it is varied. As such, the Department's strategy centers on ensuring local coordination through the local service providers. The Department requires CSBG eligible entities to coordinate funds and services at the local level. The annual community action plan from each entity has to describe the eligible entities' coordination efforts with city, county, schools, non-profits, and other local or regional organizations. CSBG eligible entities coordinate services and work to avoid duplication of services with other providers, including participating in the statewide Economic Opportunity Council (EOC) which is working to improve Maine's CSBG National Performance Indicator (NPI) outcome results. CSBG eligible entities are encouraged to participate in local social service and homeless coalitions whose goal is to coordinate services. Maine State CSBG office also utilizes the Community Action Agencies' (CAA) needs assessments and other State agency data. These strategies ensure there is coordination among state agencies, non-profits, and businesses throughout the state. The Community Action Agencies of Maine have many strategies to ensure that the needs of their communities are met in a collaborative fashion. These strategies ensure that there is coordination among service providers within each CAA catchment area, as well as across the boundaries of individual CAAs. [Click paper clip to attach file]

#### 9.3. Eligible Entity Linkages and Coordination

**9.3a State Assurance of Eligible Entity Linkages and Coordination:**
Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.

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

The State requires CSBG eligible entities to coordinate funds at the local level. Their annual Community Action Plan has to describe their coordination efforts with city, county, schools, non-profits, and other organizations. CSBG eligible entities coordinate services and work to avoid duplication of services with other providers. Most CSBG eligible entities participate in local social service and homeless coalitions whose goal is to coordinate services. [Click paper clip to attach file]

**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:**
Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. The document includes a section wherein eligible entities describe any gaps in services and their strategy to address those gaps. If a gap is not currently being addressed or not being sufficiently addressed, eligible entities are to develop and implement a strategy to work with other organizations in their local communities to address the gaps in services.
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

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

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

The State of Maine has a WIOA Unified Plan in which CSBG is a required partner, and the CAAs have the option of becoming Title I partners with their Local Workforce Development Boards. The CSBG Grant Administrator is responsible for being an active liaison between the State Workforce Board (SWB), the three Local Workforce Boards, the State Association, and the 10 Community Action Agencies.

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

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

The Maine State Housing Authority (MSHA) administers the LIHEAP grant, which funds the Low Income Assistance program, LIAP and Heating Assistance, LIHEAP. The LIAP and LIHEAP programs provide utility assistance to persons with low-incomes and include an energy crisis component. LIHEAP also supports the CAAs’ weatherization programs. The majority of the CSBG eligible entities administer both the LIHEAP and weatherization programs.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:
Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services, including faith-based organizations, charitable groups, and community organizations. Close coordination and referral takes place with these organizations. [Click paperclip to attach file]

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

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

Annually, CSBG eligible entities must submit a Community Action Plan to the Department. As part of their plan, CSBG eligible entities describe the organizations with which they coordinate services, including private and public organizations. Many of the CSBG-eligible entities obtain either in-kind assistance or funds from local governments to support the programs that they administer, including donations of space to be utilized by eligible entities to provide CSBG-supported services.

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 Department works closely with the state eligible entities and the Maine Economic Opportunity Council (EOC). The Department meets with the EOC on a regular basis to discuss ways that the Department can better meet the needs of the eligible entities. The Department receives their input on training and technical assistance needs, rule revisions, use of CSBG discretionary funds, and other issues. The EOC and the State Association hold an annual conference for CSBG eligible entities, and the Department has the opportunity to provide staff to present training to CSBG eligible entities. The Department also works with National Association for State Community Services Programs (NASCSP) to form CSBG working groups to help the Department develop strategies on key issues such as implementation of CSBG organizational standards. Regarding FFY 18, the Department is contracting with the Maine Community Action Association for Training and Technical Assistance regarding a variety of critical topics.

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

<table>
<thead>
<tr>
<th>Communication Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Topic</strong></td>
</tr>
<tr>
<td>1. As needed, the Department will hold quarterly meetings and/or conference calls that will be open to the entire CSBG network. During these calls, the Department will discuss and obtain feedback on training and technical assistance needs, implementation of CSBG Organizational Standards, anticipated CSBG funding, CSBG RFAs/NOFAs, case management, community action planning, strategic planning, community needs assessments, self-sufficiency projects, and other topics of interest.</td>
</tr>
<tr>
<td>The Department informs CSBG eligible entities of notices received from the Administration for Children and Families (ACF), the</td>
</tr>
</tbody>
</table>
2. National Association for State Community Services Programs (NASCSP), and the National Community Action Partnership (CAP). This occurs as notices and guidance arises.

<table>
<thead>
<tr>
<th>Weekly</th>
<th>Email</th>
</tr>
</thead>
</table>

3. The Department develops guidance for the annual Community Action Plan and for the annual budget. Every three years, the Department issues guidance for the Community Needs Assessment and every five years for the Strategic Plan. The Department also issues other program guidance on areas, such as case management, self-sufficiency, program reporting, and administration.

<table>
<thead>
<tr>
<th>Annually</th>
<th>Meetings/Presentation</th>
</tr>
</thead>
</table>

4. The Department will conduct public hearings to obtain comment on the draft CSBG Model State Plan and institution of rules. The Department will also accept public comment via email or letters.

<table>
<thead>
<tr>
<th>Other</th>
<th>Meetings/Presentation</th>
</tr>
</thead>
</table>

By annual meeting, in addition to any quarterly updates.

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

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

The Department will inform each eligible entity of their performance related to National Performance Indicators (NPI) through email communications and/or letters. The Department's CSBG performance report requires eligible entities to report NPI performance on a quarterly basis and provides them with cumulative year-to-date performance data. Eligible entities' performance, as reported in their quarterly CSBG Performance Report, is reviewed and any potential errors or discrepancies are investigated and technical assistance is provided. Additionally, input received from meetings with program monitors is given as feedback to eligible entities. When more in-depth training is required, it is provided on site. The Department will inform eligible entities of their performance within 60 days of receiving feedback from the Office of Community Services (OCS). This information will be transmitted to eligible entities via email or other entity-specific communication.

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

9.11. Performance Management Adjustment:

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

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

The State CSBG Lead Office recognizes the need to develop a formalized, documented communication plan that outlines the specific types of communications, the frequency, etc.
# Section 10: Monitoring, Corrective Action, and Fiscal Controls

## Monitoring of Eligible Entities

### (Section 678B(a) of the Act)

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

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

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

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

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Review Type</th>
<th>Target Date</th>
<th>Date of Last Full Onsite Review (if applicable)</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aroostook County Action Program</td>
<td>Full onsite</td>
<td>FY1 Q2</td>
<td>09/12/2014</td>
<td></td>
</tr>
<tr>
<td>Community Concepts, Inc.</td>
<td>Full onsite</td>
<td>FY1 Q3</td>
<td>06/10/2014</td>
<td></td>
</tr>
<tr>
<td>Kennebec Valley Community Action Program</td>
<td>Full onsite</td>
<td>FY1 Q2</td>
<td>07/15/2014</td>
<td></td>
</tr>
<tr>
<td>Midcoast Maine Community Action</td>
<td>Full onsite</td>
<td>FY1 Q4</td>
<td>06/24/2014</td>
<td></td>
</tr>
<tr>
<td>Penquis, Inc</td>
<td>Full onsite</td>
<td>FY2 Q1</td>
<td>08/26/2014</td>
<td></td>
</tr>
<tr>
<td>The Opportunity Alliance (Formerly-Peoples Regional Opportunity Program)</td>
<td>Full onsite</td>
<td>FY2 Q1</td>
<td>07/08/2014</td>
<td></td>
</tr>
<tr>
<td>Waldo Community Action Partners</td>
<td>Full onsite</td>
<td>FY1 Q4</td>
<td>08/19/2014</td>
<td></td>
</tr>
<tr>
<td>Washington Hancock Community Agency</td>
<td>Full onsite</td>
<td>FY2 Q2</td>
<td>09/09/2014</td>
<td></td>
</tr>
<tr>
<td>Western Maine Community Action</td>
<td>Full onsite</td>
<td>FY2 Q3</td>
<td>09/23/2014</td>
<td></td>
</tr>
<tr>
<td>York County Community Action Corp.</td>
<td>Full onsite</td>
<td>FY2 Q4</td>
<td>07/29/2014</td>
<td></td>
</tr>
</tbody>
</table>

### 10.2. Monitoring Policies:

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

The 2013 Monitoring Guide/Tools is attached, along with a DRAFT partial update to that guide. The Monitoring Guide/Tools was in the process of being updated when the CSBG Grant Administrator position became vacant. The update will continue once the position has been filled.

### 10.3. Initial Monitoring Reports:

According to the State’s procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

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### Corrective Action, Termination and Reduction of Funding and Assurance Requirements

#### (Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above?  ![Yes](https://example.com/yes.png) ![No](https://example.com/no.png)

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

### 10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

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

0

### 10.6. Reporting of QIPs:

Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

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

The Department allows the agency to make the correction, and if the correction is made within 30 days and the Department can verify, it is noted in their Agency
Monitoring follow up. The Department will send the report to the Office of Community Services (OCS). If it is not completed, the Department will contact OCS to get guidance on next steps.

10.7. Assurance on Funding Reduction or Termination:
Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)".

Yes ☐ No ☐

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

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

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

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

https://www1.maine.gov/sos/cec/rules/10/144/144c002.doc

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

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

https://www1.maine.gov/sos/cec/rules/10/144/144c002.doc

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

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

https://www1.maine.gov/sos/cec/rules/10/144/144c002.doc

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).

See attached. Additional information is included in the CSBG Manual.

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 Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK HERE FOR LINK TO 45 CFR Â§75.521

Note: This information is associated with State Accountability Measure 4Sd.

See attached. The Department includes the Division of Audit, Program, and the Commissioner's office when issuing reports.

10.13. Assurance on Federal Investigations:
Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? ☐ Yes ☐ No

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

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

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

On-site visits are to be conducted every three years, and desk audits in the other two years. The Department has engaged the Office of Community Services (OCS) for guidance and technical assistance in reviewing its current processes and schedule of reviews. The Department expects to incorporate what it learns from OCS, as the Department moves forward with monitoring. Under consideration is a process in which the Department may schedule on-site visits throughout the two-year grant cycle.
### Section 11: Eligible Entity Tripartite Board

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

**SECTION 11**  
Eligible Entity Tripartite Board

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

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

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

- [ ] Annually  
- [ ] Semiannually  
- [ ] Quarterly  
- [x] Monthly  
- [ ] Other

#### 11.3. Assurance on Eligible Entity Tripartite Board Representation:
Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities’ Tripartite Board.

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

Through contracting, monitoring board meeting minutes, and attendance at board meetings.

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

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

Agencies have advisory boards that provide input. Most have Head Start which requires participants with low incomes.
### Section 12: Individual and Community Eligibility Requirements

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<thead>
<tr>
<th>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</th>
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<td>Administration for Children and Families</td>
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<tr>
<td>Community Services Block Grant (CSBG)</td>
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#### SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

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

[Check one item below.]

- X% of the HHS poverty line (fill in the threshold)
  - 150 %  

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

The State has policies in place through contracting to ensure income eligibility is met. The State also conducts on-site reviews and audits.

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

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

Some programs may have additional funding sources that exceed the 150%. If a program is all CSBG funding, eligible entities require income verification, unless it is a community-based service, as allowed.

12.3. Community-targeted Services:

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

Some programs may have additional funding sources that exceed the 150%. If a program is all CSBG funding, the eligible entity requires income verification, unless it is a community-based service, as allowed. If it is a community-based program, the Department receives notification of community services and an outline on the target population.
### Section 13: Results Oriented Management and Accountability (ROMA) System

**13.1. ROMA Participation:**
In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

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

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

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

Results Oriented Management and Accountability (ROMA) is incorporated in the performance management requirements in eligible entities’ contracts.

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

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

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

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

The State CSBG Office assigns each eligible entity a goal for the number of persons to transition out of poverty each program year. Eligible entities are to target their CSBG resources to assist persons to transition out of poverty and move towards self-sufficiency consistent with identified gaps in need. The eligible entities’ efforts in this area is reported using the NPIs in their quarterly performance report.

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

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

The State CSBG Office has supported all Results Oriented Management and Accountability (ROMA) related training requests, and the State CSBG Office is also working with the State Association to establish a ROMA Implementer in each eligible entity, as well as institute a statewide data system and associated training to better prepare the entities for the expected changes in the performance management framework that come from continuous improvement. Additionally, the Department had previously designed the CSBG training curriculum with a focus on ROMA principles. All trainings provided to eligible entities were ROMA-focused, and the ROMA-trained eligible entity staff members are available to provide training and technical assistance. Eligible entities can request training and technical assistance at any time, submit questions online, or can contract staff by phone or email.

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

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

The State CSBG Office assigns each eligible entity a goal for the number of persons to transition out of poverty each program year. At the end of the program year, the CSBG Administrator reviews their performance and agencies that did not meet their assigned goals are asked to provide a plan of action to improve performance. The Administrator also reviews the eligible entities’ quarterly performance reports and end of year final report. The Administrator will continue to provide technical assistance to agencies to improve their performance. To assist with data usages, the CSBG State Office provides the eligible entities with links to data sources that may be useful for them, such as an internal data reporting site, the Community Action Partnership's Community Needs Assessment Online Tool, etc.

**Community Action Plans and Needs Assessments**

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

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

The Department develops Community Action Plan requirements and guidance and disseminates this to eligible entities. Annually, the Department contracts with the eligible entities require a Community Action Plan, as a condition of receipt of CSBG funding. Staff reviews the Community Action Plans and provides technical assistance/feedback to eligible entities on improvements.

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

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

The Department develops Community Needs Assessment guidance and provides this information to eligible entities. The Department contracts with the eligible entities require a Community Needs Assessment every three years and updates for the two years in between, as a condition of receipt of CSBG funding.
Section 14: CSBG Programmatic Assurances and Information Narrative

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

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

(i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) to secure and retain meaningful employment;

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

(iv) to make better use of available income;

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

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

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

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Performance Statement which outlines their proposed activities. Staff review the CAP and ensure that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

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

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

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

(ii) after-school child care programs;

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Performance Statement which outlines their proposed activities. Staff review the CAP and ensure that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

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

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

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Performance Statement which outlines their proposed activities. The CAP also includes several forms that address funding coordination, coordination with DHHS programs, referrals to Child Support Office, and participation in social services coalitions. Staff review the CAP and ensure that the activities supported are eligible uses of CSBG funds.

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

Note: The State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10
Eligible Entity Service Delivery, Coordination, and Innovation

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

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

Each program requires a percentage of CSBG funding being used and a report outlining the number of families and individual with low incomes being served with the CSBG funds, in addition to the total number of participants helped, additional funding sources, and the outcomes.

Eligible Entity Linkages - Approach to Filling Service Gaps

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

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

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

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

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

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

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

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Performance Statement which outlines their proposed activities. Staff review the CAP and ensure that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

Eligible Entity Emergency Food and Nutrition Services

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

The Department requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Performance Statement which outlines their proposed activities. Staff review the CAP and ensure that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

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

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."
<table>
<thead>
<tr>
<th>Eligible Entity Tripartite Board Representation</th>
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| 14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."
| Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3. |

<table>
<thead>
<tr>
<th>Eligible Entity Community Action Plans and Community Needs Assessments</th>
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<tbody>
<tr>
<td>14.11. 676(b)(11) Provide &quot;an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.&quot;</td>
</tr>
<tr>
<td>Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.</td>
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<tr>
<th>State and Eligible Entity Performance Measurement: ROMA or Alternate system</th>
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</table>
| 14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."
| Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4. |

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<thead>
<tr>
<th>Validation for CSBG Eligible Entity Programmatic Narrative Sections</th>
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<tbody>
<tr>
<td>14.13. 676(b)(13) Provide &quot;information describing how the State will carry out the assurances described in this section.&quot;</td>
</tr>
<tr>
<td>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.</td>
</tr>
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</table>

By checking this box, the State CSBG authorized official is certifying the assurances set out above.
Section 15: Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

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

15.1. Lobbying

After assurance select a check box:

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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate I. (Grantees Other Than Individuals)

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

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

(b) Establishing an ongoing drug-free awareness program to inform employees about:
   (1) The dangers of drug abuse in the workplace;
   (2) The grantee’s policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
   (1) Abide by the terms of the statement; and
   (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted:
   (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
   (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:

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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Primary Covered Transactions

Instructions for Certification

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

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant
may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

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

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -

Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to $1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.
The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:

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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)
Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.