

# CSBG State Plan

Program Community Services Block Grant  
Name:

Grantee Name: MAINE

Report Name: CSBG State Plan Revision # 1

Report Period: 10/01/2019 to 09/30/2020

Report Status: Submission in Review by CO (Revision #1)

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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)			Form Approved OMB No: 0970-0382 Expires:06/30/2021		
<b>COVER PAGE</b>					
* 1.a. Type of Submission: <b>Plan</b>	* 1.b. Frequency: <b>Other (2 Year)</b>	* 1.c. Consolidated Application /Plan/Funding Request?  Explanation:	* 1.d. Version: <b>Initial</b>		
		2. Date Received:	State Use Only:		
		3. Applicant Identifier:			
		4a. Federal Entity Identifier:	5. Date Received By State:		
		4b. Federal Award Identifier:	6. State Application Identifier:		
		<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: <b>State of Maine</b>					
* b. Employer/Taxpayer Identification Number (EIN/TIN): <b>1-016000001</b>			* c. Organizational DUNS: <b>809045594</b>		
* d. Address:					
* Street 1:	Dept Health and Human Services	Street 2:	State House Station 11		
* City:	Augusta	County:			
* State:	ME	Province:			
* Country:	United States	* Zip / Postal Code:	04333 - 0011		
e. Organizational Unit:					
Department Name: <b>Department of Health and Human Services</b>			Division Name: <b>Office of Child and Family Services (OCFS)</b>		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	* First Name: <b>Christa</b>	Middle Name:	* Last Name: <b>Elwell</b>		
Suffix:	Title: <b>Business Services Manager</b>	Organizational Affiliation: <b>Office of Child and Family Service</b>			
* Telephone Number: <b>(207) 624-7900</b>	Fax Number:	* Email: <b>christa.elwell@maine.gov</b>			
* 8a. TYPE OF APPLICANT: <b>A: State Government</b>					
b. Additional Description:					
* 9. Name of Federal Agency:					
		Catalog of Federal Domestic Assistance Number:	CFDA Title:		
10. CFDA Numbers and Titles		93569	Community Services Block Grant		
11. Descriptive Title of Applicant's Project <b>CSBG</b>					
12. Areas Affected by Funding: <b>State of Maine</b>					
13. CONGRESSIONAL DISTRICTS OF:					
* a. Applicant <b>1</b>			b. Program/Project: <b>1, 2</b>		
Attach an additional list of Program/Project Congressional Districts if needed.					
14. FUNDING PERIOD:			15. ESTIMATED FUNDING:		
a. Start Date:	b. End Date:	* a. Federal (\$): <b>\$0</b>		b. Match (\$): <b>\$0</b>	

<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>	
a. This submission was made available to the State under the Executive Order 12372	
Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>	
<input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) <b>**I Agree</b> <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
	08/30/2019
<b>Attach supporting documents as specified in agency instructions.</b>	

# 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)		Form Approved OMB No:0970-0382 Expires:06/30/2021	
<b>SECTION 1</b> CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
<b>1.1. Identify whether this is a One-Year or a Two-Year Plan</b>		<input type="radio"/> one-year <input checked="" type="radio"/> two-year	
<b>1.1a. Provide the federal fiscal years this plan covers:</b>		Year One 2020	Year Two 2021
<b>1.2. Lead Agency:</b> Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by <a href="#">Section 676(a)</a> of the CSBG Act.			
<i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information in regards to the state lead agency has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Business Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
<b>1.2a. Lead agency</b>		_____	
<b>1.2b. Cabinet or administrative department of this lead agency</b> <i>[Select one option and narrative where applicable]</i>			
<input type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Other, describe			
_____			
<b>1.2c. Cabinet or Administrative Department Name:</b> Provide the name of the cabinet or administrative department of the CSBG authorized official		_____	
<b>1.2d. Authorized official</b> of the lead agency			
Name:		Title:	
_____			
<b>1.2e. Street Address</b>		_____	
<b>1.2f. City</b>		<b>1.2g. State</b>	<b>1.2h. Zip</b>
_____		_____	_____
<b>1.2i. Telephone number and extension</b> - ext.		<b>1.2j. Fax number</b> -	
_____		_____	
<b>1.2k. Email address</b>		<b>1.2l. Lead agency website</b>	
_____		_____	
<b>1.3. Designation Letter:</b>			
Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.			

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

Has Information in regards to the state point of contact has changed since the last submission of the state plan?  Yes  No

If yes, provide the date of change and select the fields that have been updated [Date picker](#) and check all the apply 07/01/2019

<input type="checkbox"/>	Agency Name	<input checked="" type="checkbox"/>	Point of Contact	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code	<input type="checkbox"/>	Office Number
<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address	<input type="checkbox"/>	Website

1.4a. Agency Name [Office of Child and Family Services](#)

1.4b Point of Contact Name

Name: [Christa Elwell](#)

Title: [Business Services Manager](#)

1.4c. Street Address

2 Anthony Ave.

1.4d. City

Augusta

1.4e. State [ME](#)

1.4f. Zip [04333](#)

1.4g. Telephone Number [207 624 - 7921](#) ext.

1.4h. Fax Number [207 287 - 6156](#)

1.4i. Email Address [christa.elwell@maine.gov](mailto:christa.elwell@maine.gov)

1.4j. Agency Website [www.maine.gov/dhhs/ocfs](http://www.maine.gov/dhhs/ocfs)

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

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

Has Information in regards to the state Community Action Association has changed since the last submission of the state plan?  Yes  No

If yes, provide the date of change and select the fields that have been updated [Date picker](#) and check all the apply 12/04/2017

<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Executive Director	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	State	<input type="checkbox"/>	Zip Code
<input checked="" type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead		

1.5a. Agency Name [Maine Community Action Association](#)

1.5b. Executive Director or Point of Contact

Name: [Rickmond McCarthy](#)

Title: [Senior Advisor](#)

1.5c. Street Address

77 Sewall St., Ste 3000

1.5d. City

Augusta

1.5e. State [ME](#)

1.5f. Zip [4330](#)

1.5g. Telephone number [207 430 - 6810](#) ext.

1.5h. Fax number -

1.5i. Email Address [mccarthy@eatonpeaobody.com](mailto:mccarthy@eatonpeaobody.com)

1.5j. State Association Website <https://mainecommunityactionassociation.org/>

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

## Section 2: State Legislation and Regulation

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

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### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

State has a statute authorizing CSBG  Yes  No

**2.2. CSBG State Regulation:**

State has regulations for CSBG  Yes  No

**2.3. Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.

<http://legislature.maine.gov/statutes/22/title22ch1477sec0.htm>

**2.4. State Authority:**

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

**2.4a. Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year  Yes  No

**2.4b. Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year  Yes  No

**2.4c. Designation:** State statutory or regulatory authority designates 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

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

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### SECTION 3 State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:**

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

DHHS - To provide integrated health and human services to the people of Maine to assist individuals in meeting their needs, while respecting the rights and preferences of the individual and family, within available resources. 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 information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)*

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: Increase the percent of eligible population that received services in developing a work plan utilizing whole family approach with detailed program activities intended to reduce or eliminate dependency on social services for individuals and/or families with low incomes. Outcome Measure 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 as captured in National Performance Indicator Annual data. Output Measure 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 and/or achieve and maintain stability as appropriate as captured in National Performance Indicator Annual data.

**3.3. State Plan Development:**

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

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

Monitoring Visits/Assessments

Tools not identified above (specify)

**3.3b. Analysis of local-level tools** [Check all that apply and narrative where applicable]

Eligible entity community needs assessments

Eligible entity community action plans

Public Hearings/Workshops

Tools not identified above (e.g., State required reports)[specify]

**3.3c. Consultation with**[Check all that applies and narrative where applicable]

Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

State Association

National Association for State Community Services Programs (NASCSPP)

Community Action Partnership (The Partnership)

Community Action Program Legal Services (CAPLAW)

CSBG Tribal Training and Technical Assistance (T/TA) provider

Regional Performance Innovation Consortium (RPIC)

Association for Nationally Certified ROMA Trainers (ANCRT)

Federal CSBG Office

Organizations not identified above [Specify]

**3.4. Eligible Entity Involvement**

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

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

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 (NASCS), 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, as well as the CSBG State Office by the end of FFY21, etc.

**3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous plans in order to:**

- 1) encourage eligible entity participation and
- 2) ensure the State Plan reflects input from eligible entities?

**Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing.**

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

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

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. Currently feedback is collected via hosted telephonic conference calls and meetings to encourage discussion, ideas, and participation in the state plan development, along with document sharing. This current plan is a direct result of those meetings and conversations which involved congruent collaboration of the state's eligible entities and state association.

**3.5. Eligible Entity Overall Satisfaction:**

**Provide the State's target for eligible entity Overall Satisfaction during the performance period:**

<b>Year One</b>	75	<b>Year Two</b>	78
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**Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent [American Customer Survey Index \(ACSD\) survey](#) of the state's eligible entities.**

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

## Section 4: CSBG Hearing Requirements

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

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### SECTION 4 CSBG Hearing Requirements

**4.1. Public Inspection:**

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

The Draft Application and State Plan was made available for review on July 31, 2019. The State will hold a public hearing at the Office of Child and Family Services on August 7, 2019. 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 31 through August 2, 2019. The 10 Maine Community Action Agencies and Maine Community Action Association were sent the CSBG Draft Application and State Plan on July 31, 2019.

**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 CSBG Eligible Entities, the State Association, and other partners as we've moved forward towards development of a plan. This work started in January 2019. In addition, the draft plan was sent out on July 31, 2019. This allowed for public comment to be considered, answered, and applicable changes made. 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:**

**In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.**

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	08/07/2019	OCFS, 2 Anthony Ave., Augusta ME 04333	Public	<input type="checkbox"/>
2	03/04/2019	Maine State House, 210 State St., Room 228, Augusta, ME	Legislative	<input type="checkbox"/>

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

<http://www.legislature.maine.gov/doc/2811>

## Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
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### SECTION 5 CSBG Eligible Entities

**5.1. CSBG Eligible Entities:**

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

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

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

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity (choose all that apply)
1	Aroostook County Action Program, Inc.	Aroostook County	Non-Profit	Community Action Agency
2	Community Concepts Inc.	Androscoggin County, Oxford County	Non-Profit	Community Action Agency
3	Kennebec Valley Community Action Program	Kennebec County, Somerset County, Lincoln County, Sagadahoc County	Non-Profit	Community Action Agency
4	Penquis C.A.P., Inc.	Penobscot County, Piscataquis County, Knox County	Non-Profit	Community Action Agency
5	The Opportunity Alliance	Cumberland County	Non-Profit	Community Action Agency
6	Waldo Community Action Partners	Waldo County	Non-Profit	Community Action Agency
7	Western Maine Community Action Inc.	Franklin County, Oxford County, Androscoggin County	Non-Profit	Community Action Agency
8	York County Community Action Corporation	York County	Non-Profit	Community Action Agency
9	Downeast Community Partners	Washington County, Hancock Counties	Non-Profit	Community Action Agency
10	Midcoast Maine Community Action	Sagadahoc County, Lincoln County, Cumberland County	Non-Profit	Community Action Agency

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

**5.3. Changes to Eligible Entities List:**

Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

**One or more of the following changes were made to the eligible entity list: [Check all that apply].**

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

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

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete
Downeast Community Partners	Permanent Re-Designation	09/01/2018	Washington and Hancock Counties	

**5.3b. Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)**

CSBG Eligible Entity	Reason	Delete

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

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



## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 6 Organizational Standards for Eligible Entities

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

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

COE CSBG Organizational Standards    Modified version of COE CSBG Organizational Standards    Alternative set of Organizational Standards

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

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

**6.1c. Alternative Organizational Standards Changes:** If using an alternative set of organizational standards:

- 1) provide any changes from the last set provided during the previous State Plan submission;
- 2) describe the reasons for using alternative standards; and
- 3) describe how they are at least as rigorous as the COE- developed standards

There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

**6.2. Implementation:** Check the box that best describes how the state officially 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:

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

**6.3a. Assessment Process:** Describe the planned assessment process.

Prior to the start of a new calendar year, EEs must submit COE Organizational Standard Self-Assessment with supporting documents to the Department. Documents will reflect how EEAs meet each Organizational Standard. The Department will perform a desk review of the documents through completion of an instrument provided by the Community Action Partnership that will aid the State Office in assessing and determining the accuracy of the EEAs self-assessment and will result in an issued report reflecting the level of compliance the EE has achieved with program rules and organizational standards. Follow-up engagement will occur, and/or not limited to, an on-site monitoring visit performed when the desk review identifies regulations and organizational standards that were substantially out of compliance, placing an EE at risk. At least every three years or sooner, an on-site monitoring visit will be performed. 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 performed or did not satisfy the required corrective action requirements, the Department will issue additional correspondence and the required corrective action.

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

**6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption**

Total Number of Exempt Entities: 0

CSBG Eligible Entity	Description / Justification	Delete

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

Year One	90%	Year Two	92%
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*Note: Item 6.5 is associated with [State Accountability Measures 6Sa](#) and prepopulate the Annual report, Module 1, Table D.2.*

## Section 7: State Use of Funds

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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 OMB No: 0970-0382  
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### SECTION 7 State Use of Funds

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

**7.1. Formula:**

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

Historic

**7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.**

The State currently allocates the required 90% to the EEs. Fifty percent of the allocated funds are split equally amongst the 10 EEs. The remaining 50% is split based on current percentage of low-income households in the service area of each EE.

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

**7.2. Planned Allocation:**

Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act.

In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

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

<b>Year One</b>	90.00%	<b>Year Two</b>	90.00%
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#### Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Aroostook County Action Program, Inc.	\$327,438	
Community Concepts Inc.	\$400,607	
Kennebec Valley Community Action Program	\$402,470	
Penquis C.A.P., Inc.	\$489,526	
The Opportunity Alliance	\$380,960	
Waldo Community Action Partners	\$235,808	
Western Maine Community Action Inc.	\$224,800	
York County Community Action Corporation	\$317,784	
Downeast Community Partners	\$317,615	
Midcoast Maine Community Action	\$265,450	
<b>Total</b>	<b>\$3,362,458</b>	

#### CSBG Eligible Entity Year Two

CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Aroostook County Action Program, Inc.	\$327,438	
Community Concepts Inc.	\$400,607	
Kennebec Valley Community Action Program	\$402,470	
Penquis C.A.P., Inc.	\$489,526	
The Opportunity Alliance	\$380,960	
Waldo Community Action Partners	\$235,808	

Western Maine Community Action Inc.	\$224,800
York County Community Action Corporation	\$317,784
Downeast Community Partners	\$317,615
Midcoast Maine Community Action	\$265,450
<b>Total</b>	<b>\$3,362,458</b>

**7.3. Distribution Process:**

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

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. The State follows the timeframes set forth by the DHHS' Division of Contract Management, to ensure contracts are encumbered prior to the begin date of October 1.

**7.4. Distribution Timeframe:**

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

**7.4a. Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

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

**7.5. Performance Management Adjustment:**

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

*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]**

*Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.*

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

Year One (0.00 %)	3.60	Year Two (0.00 %)	3.60
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**7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan

Year One	1.00	Year Two	1.00
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**7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan

Year One	1.00	Year Two	1.00
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**7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act?

Yes  No

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

Year One (0.00 %)	6.40%	Year Two (0.00%)	6.40%
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**Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)**

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

*If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.*

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	\$118,379.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.

7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$140,000.00	The State is continuing to contract with the Maine Community Action Association regarding a statewide data system, EmpowOR, to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine, as well as streamline state and federal reporting requirements and provide stronger state office oversight.
<b>Total</b>	<b>\$258,379.00</b>	
<b>Remainder/Discretionary Fund Uses</b>	<b>Year Two Planned \$</b>	<b>Brief description of services/activities</b>
7.9a. Training/technical assistance to eligible entities	\$118,379.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$140,000.00	The State is continuing to contract with the Maine Community Action Association regarding a statewide data system, EmpowOR, to move Maine toward an unduplicated count and better able to develop programs to enhance services across the State of Maine, as well as streamline state and federal reporting requirements and provide stronger state office oversight.
<b>Total</b>	<b>\$258,379.00</b>	
<b>7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.</b> <i>[Check all that apply and narrative where applicable]</i>		
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)		
<input type="checkbox"/> The state partially carries out some activities		
<input type="checkbox"/> CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) <b>5</b>		
<input type="checkbox"/> Other community-based organizations		
<input checked="" type="checkbox"/> State Community Action association		
<input type="checkbox"/> Regional CSBG technical assistance provider(s)		
<input checked="" type="checkbox"/> National technical assistance provider(s)		
<input type="checkbox"/> Individual consultant(s)		
<input type="checkbox"/> Tribes and Tribal Organizations		
<input type="checkbox"/> Other		
<b>Note: This response will link to the corresponding CSBG assurance, item 14.2.</b>		
<b>7.11. Performance Management Adjustment:</b> Describe any adjustments the state will make to 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.		
<b>Note: This information is associated with State Accountability Measures 35b, and may pre-populate the State's annual report form.</b>		

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 continuing to contract with the State Association for training/technical assistance, as well as implementation and maintenance of a statewide data system.

## Section 8: State Training and Technical Assistance

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

Form Approved  
OMB No: 0970-0382  
Expires:06/30/2021

### SECTION 8 State Use of Funds

**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.**

*(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)*

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

#### Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Technology	
2	Ongoing / Multiple Quarters	Both	Reporting	
3	Ongoing / Multiple Quarters	Both	ROMA	
4	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
5	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
6	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
7	Ongoing / Multiple Quarters	Both	Monitoring	
8	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
9	Ongoing / Multiple Quarters	Both	Community Assessment	
10	Ongoing / Multiple Quarters	Both	Fiscal	

#### Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Technology	
2	Ongoing / Multiple Quarters	Both	Reporting	
3	Ongoing / Multiple Quarters	Both	ROMA	
4	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
5	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
6	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
7	Ongoing / Multiple Quarters	Both	Monitoring	
8	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
9	Ongoing / Multiple Quarters	Both	Community Assessment	
10	Ongoing / Multiple Quarters	Both	Fiscal	

**8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):**

<b>Year One</b>	\$118,379	<b>Year Two</b>	\$118,379
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**8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.**

The State CSBG office meets regularly with EOC and the state association regarding identification of needs for development of the T/TA plan. The State collaborates and contracts with the State Association for training and technical assistance. The State also consults with its Federal Project Officer, CAPLAW, NASCSP, etc. regarding technical assistance and training opportunities.

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

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

the standard(s).

**8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **Maine has brought national partnerships such as CAPLAW and National Community Action Partnership to the state to provide training and technical assistance to eligible entities with already known unmet needs. This work will continue after Organizational Standard Monitoring has been completed at its fullest, and the State office will put QIPs/TAPs in place, as needed.**

**8.3. Training and Technical Assistance Organizations:** 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.]*

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

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

*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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No:0970-0382 Expires:06/30/2021
<b>SECTION 9</b> <b>State Linkages and Communication</b>	
<i>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).</i>	
<b>9.1. State Linkages and Coordination at the state Level:</b> 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]	
<i>Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's Annual Report, Module 1, Item G.1.</i>	
<input checked="" type="checkbox"/> State Low Income Home Energy Assistance Program (LIHEAP) office	
<input checked="" type="checkbox"/> State Weatherization office	
<input checked="" type="checkbox"/> State Temporary Assistance for Needy Families (TANF) office	
<input checked="" type="checkbox"/> State Head Start office	
<input type="checkbox"/> State public health office	
<input type="checkbox"/> State education department	
<input checked="" type="checkbox"/> State Workforce Innovation and Opportunity Act (WIOA) agency	
<input checked="" type="checkbox"/> State budget office	
<input checked="" type="checkbox"/> Supplemental Nutrition Assistance Program (SNAP)	
<input checked="" type="checkbox"/> State child welfare office	
<input checked="" type="checkbox"/> State housing office	
<input type="checkbox"/> Other	
To be revised by the state office personnel upon initialization and submission of the FY2020 state plan.	
<b>9.2. State Linkages and Coordination at the Local Level:</b> Describe the linkages and coordination at the local level that the state to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under Sections 676(b)(5) - (6))	
<i>Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.</i>	
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.	
<b>9.3. Eligible Entity Linkages and Coordination</b>	
<b>9.3a. State Assurance of Eligible Entity Linkages and Coordination:</b> 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)).	
<i>Note: This response will link to the corresponding CSBG assurance, item 14.5.</i>	
The State requires CSBG eligible entities to coordinate funds at the local level. Their annual Community Action Plan must 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.	
<b>9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:</b> 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.	
<i>Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.</i>	

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

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

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

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

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 CSBG 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. 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 take place with these organizations.

**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.**

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

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 (NASCSPP) to form CSBG working groups to help the Department develop strategies on key issues such as implementation of CSBG organizational standards. Regarding FFY18, 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:**  
**In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.**

**Communication Plan**

Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	As needed	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls	

		Public Notice Letters/Hard Copies	
<b>State Plan Development</b>	Monthly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>Organizational Standards Progress</b>	Quarterly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>State Accountability Measures Progress</b>	Quarterly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>Community Needs Assessments /Community Action Plans</b>	Semi-Annually	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>State Monitoring Plans and Policies</b>	Monthly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>Training and Technical Assistance (T /TA) Plans</b>	Monthly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	

<b>ROMA and Performance Management</b>	Weekly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>State Interagency Coordination</b>	Quarterly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>CSBG Legislative/Programmatic Updates</b>	Monthly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	
<b>Tripartite Board Requirements</b>	Monthly	Newsletters Mailing Meetings/Presentation Blog Email Website Social Media Webinar 1:1 Phone Calls Public Notice Letters/Hard Copies	

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Agency Stories	As needed		

**9.10. Feedback to Eligible Entities and State Community Action Association:**  
Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

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

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.

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

*Note: This information is associated with State Accountability Measures 75b; 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

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

Form Approved  
OMB No: 0970-0382  
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### SECTION 10 State Use of Funds

#### Monitoring, Corrective Action and Fiscal Controls (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.**

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

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Aroostook County Action Program, Inc.	Full On-site	Onsite Review	FY1 Q4	07/23/2019	07/24/2019	
2	Community Concepts Inc.	Full On-site	Onsite Review	FY1 Q4	10/15/2019	10/16/2019	
3	Kennebec Valley Community Action Program	Full On-site	Onsite Review	FY1 Q1	11/12/2019	11/13/2019	
4	Penquis C.A.P., Inc.	Full On-site	Onsite Review	FY1 Q4	07/18/2019	07/19/2019	
5	The Opportunity Alliance	Full On-site	Onsite Review	FY1 Q4	10/23/2019	10/24/2019	
6	Waldo Community Action Partners	Full On-site	Onsite Review	FY1 Q4	09/17/2019	09/18/2019	
7	Western Maine Community Action Inc.	Full On-site	Onsite Review	FY1 Q4	11/05/2019	11/06/2019	
8	York County Community Action Corporation	Full On-site	Onsite Review	FY1 Q4	10/08/2019	10/09/2019	
9	Downeast Community Partners	Full On-site	Onsite Review	FY1 Q1	08/26/2019	08/27/2019	
10	Midcoast Maine Community Action	Full On-site	Onsite Review	FY1 Q1	08/28/2019	08/29/2019	
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Aroostook County Action Program, Inc.	Follow-up	Desk Review	FY2 Q1			
2	Community Concepts Inc.	Follow-up	Desk Review	FY2 Q1			
3	Kennebec Valley Community Action Program	Follow-up	Desk Review	FY2 Q1			
4	Penquis C.A.P., Inc.	Follow-up	Desk Review	FY2 Q2			
5	The Opportunity Alliance	Follow-up	Desk Review	FY2 Q2			
6	Waldo Community Action Partners	Follow-up	Desk Review	FY2 Q3			
7	Western Maine Community Action Inc.	Follow-up	Desk Review	FY2 Q3			
8	York County Community Action Corporation	Follow-up	Desk Review	FY2 Q3			
9	Downeast Community Partners	Follow-up	Desk Review	FY2 Q4			
10	Midcoast Maine Community Action	Follow-up	Desk Review	FY2 Q4			

**10.2. Monitoring Policies:**

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

A DRAFT Monitoring Guide/Tools is attached. 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.*

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

(Section 678C of the Act)

#### 10.4. Closing Findings:

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

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

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

Provide the number of eligible entities currently on QIPs, if applicable.

*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:

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

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

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

10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities?  Yes  No

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

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

10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public

10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities  Yes  No

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

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

10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public

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.

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

10.10b. If No, describe State procedures for re-designation of existing eligible entities.

### Fiscal Controls and Audits and Cooperation Assurance

#### 10.11. Fiscal Controls and Accounting:

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

The DHHS Service Center's Budget unit reviews the grant application for any discrepancies and to make sure items such as CAP estimates are included. DHHS' Department of Contract Management reviews and sets up contracts according to state rules. Strict review processes are in place to ensure proper coding on invoices and grant period of availability. Budget Variance Reports are created based on the grant award and approved allocation received from program for monitoring of spending by category. The DHHS Service Center uses units (accounts) and Program Codes/Program Periods to monitor expenditures and draws per grant period. The Program Codes/Periods can flag period of availability issues. The Financial Status Report is based on the expenditures that occurred during the grant period. Full Grant Reconciliations are performed to ensure that all expenditures were claimed and drawn for properly, before the grant closeout time

#### 10.12. Single Audit Management Decisions:

Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at [45 CFR 75.521](#).

*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:**

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

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

**10.14. Performance Management Adjustment:**

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

*Note: This item is associated with State Accountability Measure 4Sb 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. OCFS completed its initial onsite visits with each CAA in September 2017. These onsite visits included the Division of Audit. Surveys were provided to board members, and many other documents were obtained from the CAAs.

## Section 11: Eligible Entity Tripartite Board

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 11</b> State Use of Funds	
<b>11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act[Check all that applies and narrative where applicable]</b>	
<input checked="" type="checkbox"/> Attend Board meetings	
<input checked="" type="checkbox"/> Organizational Standards Assessment	
<input checked="" type="checkbox"/> Monitoring	
<input checked="" type="checkbox"/> Review copies of Board meeting minutes	
<input checked="" type="checkbox"/> Track Board vacancies/composition	
<input type="checkbox"/> Other	
<b>11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc..[Select one and narrative where applicable]</b>	
Monthly	
<b>11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act</b>	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
Through contracting, monitoring board meeting minutes, and attendance at board meetings.	
<b>11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input checked="" type="radio"/> Yes <input type="radio"/> No</b>	
<b>11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.</b>	
Agencies have advisory boards that provide input. Most have Head Start which requires participants with low incomes.	

## Section 12: Individual and Community Eligibility Requirements

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

Form Approved  
OMB No: 0970-0382  
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### SECTION 12 Individual and Community Income Eligibility Requirements

#### 12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

*[Check one item below.]*

125% of the HHS poverty line    X% of the HHS poverty line (fill in the threshold)    Varies by eligible entity

0%   % *[Response Option: numeric field]*

#### 12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

The State conducts on-site reviews and audits, as well as has policies in place and language in contracts to ensure income eligibility is met.

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

Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical), An example of these services is emergency food assistance.

Some programs may have additional funding sources that exceed the 125%. 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: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

Some programs may have additional funding sources that exceed the 125%. 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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<b>SECTION 13</b> <b>Results Oriented Management and Accountability (ROMA) System</b>	
<b>13.1. Performance Measurement System:</b> Identify the performance measurement system that the state and all eligible entities use, as required by <a href="#">Section 678E(a)</a> of the CSBG Act and the assurance under <a href="#">Section 676(b)(12)</a> of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item 1.1.</i>	
The Results Oriented Management and Accountability (ROMA) System	
Section 678E(b) of the CSBG Act	
<b>13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.</b>	
Results Oriented Management and Accountability (ROMA) is incorporated in the performance management requirements in eligible entities' contracts.	
<b>13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.</b>	
Results Oriented Management and Accountability (ROMA) is incorporated in the performance management requirements in eligible entities' contracts.	
<b>13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under <a href="#">Section 676(b)(12)</a> of the CSBG Act.</b>	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> <b>CSBG National Performance Indicators (NPIs)</b>	
<input type="checkbox"/> <b>NPIs and others</b>	
<input type="checkbox"/> <b>Others</b>	
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.	
<b>13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.</b>	
<i>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.</i>	
The State CSBG Office continues to support 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 contact staff by phone or email.	
<b>13.4. Eligible Entity Use of Data:</b> Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
The State Administrator reviews the eligible entities' quarterly performance reports and end of year final report. The State Office compares previous year and current year ending results, in order to establish improvements, inquiries, and understanding of service improvement. 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. As Maine moves forward with a statewide database, data is becoming more readily available for improved service delivery and result tracking.	
<b>Community Action Plans and Needs Assessments</b>	
<b>13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by <a href="#">Section 676(b)(11)</a> of the CSBG Act.</b>	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
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, verifies the work to the needs identified in the EEs' Community Needs Assessment and provides technical assistance/feedback to eligible entities on improvements.	
<b>13.6. Community Needs Assessment:</b> 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 <a href="#">Section</a>	

**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. The annual report can be the Head Start Needs Assessment, if applicable.

## Section 14: CSBG Programmatic Assurances and Information Narrative

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

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### SECTION 14 State Use of Funds

#### 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.

##### Needs of Youth

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

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

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

(ii) after-school child care programs;

The 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.

##### Coordination of Other Programs

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

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

The 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.

**State Use of Discretionary Funds**

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

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

**Eligible Entity Service Delivery, Coordination, and Innovation**

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

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

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.*

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.

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

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

*Note: The state describes this assurance in the state linkages and communication section, item 9.7.*

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.

**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." Yes

*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)." Yes

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

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

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

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

**Eligible Entity Tripartite Board Representation**

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

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

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

**Eligible Entity Community Action Plans and Community Needs Assessments**

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

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

**State and Eligible Entity Performance Measurement: ROMA or Alternate system**

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

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

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



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

## Section 15: Federal Certifications

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

Form Approved  
OMB No:0970-0382  
Expires:06/30/2021

### SECTION 15 Federal Certifications

#### 15.1. CERTIFICATION REGARDING LOBBYING

##### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

##### Statement for Loan Guarantees and Loan Insurance

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

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

**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.

## 15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

**Employee** means the employee of a grantee directly engaged in the performance of work under a

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

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

Alternate I. (Grantees Other Than Individuals)

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

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

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

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

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

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

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

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

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

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

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

**(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -**

**(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or**

**(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;**

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

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.

**15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

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

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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

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

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

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

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

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

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

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

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

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

*Instructions for Certification*

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

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

**3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.**

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

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

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

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

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

**9. Except for transactions authorized under paragraph five of these instructions,**

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

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

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

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

**15.3. Debarment**

After assurance select a check box:



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

**15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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