

## **CSBG CARES Act Supplemental State Plan**

**Program Name:** Community Services Block Grant CARES Act

**Grantee Name:** MAINE

**Report Name:** CSBG CARES Act Supplemental State Plan

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


**Report Status:** Submission in Review by CO

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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>			
<b>* 1.a. Type of Submission:</b> <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	<b>* 1.b. Frequency:</b> <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	<b>* 1.c. Consolidated Application/ Plan/Funding Request?</b> Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	<b>* 1.d. Version:</b> <input type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input checked="" type="radio"/> Update State Use Only: 5. Date Received By State: 6. State Application Identifier:
<b>7. APPLICANT INFORMATION</b>			
<b>* a. Legal Name:</b> Maine			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 01-60000001		<b>* c. Organizational DUNS:</b> 809045594	
<b>* d. Address:</b>			
<b>* Street 1:</b>	Dept of Health and Human Services	<b>Street 2:</b>	State House Station 11
<b>* City:</b>	Augusta	<b>County:</b>	
<b>* State:</b>	ME	<b>Province:</b>	
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	04333 - 0011
<b>e. Organizational Unit:</b>			
<b>Department Name:</b> Department of Health and Human Services		<b>Division Name:</b> Office of Child and Family Services	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>			
<b>Prefix:</b>	<b>* First Name:</b> Jaimi	<b>Middle Name:</b>	<b>* Last Name:</b> Clifford
<b>Suffix:</b>	<b>Title:</b> CSBG State Coordinator	<b>Organizational Affiliation:</b>	
<b>* Telephone Number:</b> (207) 624-7900	<b>Fax Number:</b>	<b>* Email:</b> jaimi.clifford@maine.gov	
<b>* 8a. TYPE OF APPLICANT:</b> A: State Government			
<b>b. Additional Description:</b>			
<b>* 9. Name of Federal Agency:</b>			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant	
<b>11. Descriptive Title of Applicant's Project</b> Administration for Children and Families, Office of Community Services			
<b>12. Areas Affected by Funding:</b> State of Maine			
<b>13. CONGRESSIONAL DISTRICTS OF:</b>			
<b>* a. Applicant</b> 1		<b>b. Program/Project:</b> 1, 2	
Attach an additional list of Program/Project Congressional Districts if needed.			
<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b>	<b>b. End Date:</b>	<b>* a. Federal (\$):</b>	<b>b. Match (\$):</b>

		\$0	\$0
<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)	
		08/26/2020	
<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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>		<b>Form Approved</b> <b>OMB No:0970-0382</b> <b>Expires:06/30/2021</b>	
<b>SECTION 1</b> <b>CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter</b>			
<b>1.1. Identify the Submission Date of your FFY2020 CSBG State Plan:</b>		08/30/2019	
<i>Note: This information can be found on the Report Status Page of your most recently submitted CSBG State Plan.</i> <i>If you submitted a two-year plan in FFY2019, please provide that date.</i> <i>If you submitted a plan in FFY2020, please provide that date.</i>			
<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 Section 676(a) of the CSBG Act.			
<i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
<b>Has information in regards to the state lead agency changed since the last submission of the state plan?</b> No			
<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 Affairs Department			
<input type="radio"/> Community Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input checked="" type="radio"/> Human Services Department			
<input type="radio"/> Social Services 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		Department of Health & Human Services, Office of Child & Family Services	
<b>1.2d. Authorized official of the lead agency</b>			
<b>Name:</b> Christa Elwell		<b>Title:</b> Business Services Manager	
<b>1.2e. Street Address</b>		2 Anthony Ave.	
<b>1.2f. City</b>		Augusta	<b>1.2g. State/ME</b>
			<b>1.2h. Zip</b> 04333
<b>1.2i. Telephone number and extension</b> (207) 624-7900 ext.		<b>1.2j. Fax number</b> (207) 624-7921	
<b>1.2k. Email address</b> christa.elwell@maine.gov		<b>1.2l. Lead agency website</b> www.maine.gov/dhhs/ocfs	
<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.			
<input checked="" type="checkbox"/> As the Authorized Official for CSBG, I confirm that there have been no changes within this state that will require a new designation letter, such as a change to the authorized official and/or authorized CSBG state lead agency.			
<b>1.4. CSBG Point of Contact:</b> provide the following information in relation to the designated state CSBG point of contact. <i>The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.</i>			
<b>Has Information in regards to the state point of contact has changed since the last submission of the state plan?</b> Yes			
<b>1.4a. Agency Name</b> Office of Child and Family Services			
<b>1.4b Point of Contact Name</b>			
<b>Name:</b> Jaimi Clifford		<b>Title:</b> CSBG State Coordinator	
<b>1.4c. Street Address</b>		2 Anthony Ave.	

1.4d. City	Augusta	1.4e. StateME	1.4f. Zip 04333
1.4g. Telephone Number (207) 624-7900 ext.	1.4h. Fax Number (207) 287-5282		
1.4i. Email Address jaimi.clifford@maine.gov	1.4j. Agency Website www.maine.gov/dhhs/ocfs		

## 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

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 2 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan).

**2.1 Emergency Legislation or Regulation (Optional):** If applicable, please describe any special state legislation or regulation that directly impacts the implementation of CSBG CARES supplemental funding, including any emergency procedures to amend any existing legislation or regulation described in the accepted FFY2020 CSBG State plan (as dated in Section 1 of this state plan).

☒ No, there is no special state legislation or regulation that directly impacts the implementation of CSBG CARES supplemental funding

☐ Yes, there is special state legislation or regulation that directly impacts the implementation of CSBG CARES supplemental funding as described below

## 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

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 3 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan).

The following additional information is requested for CSBG CARES supplemental funding.

**3.1. State Plan Goals:** Describe the state's specific goals for state administration of CSBG as it directly relates to the CSBG CARES funding.

**Note:** For examples of "goals," see State Accountability Measure 1Sa(i).

Throughout this pandemic, Maines communities continue to strive to achieve or maintain economic self-sufficiency and to prevent, reduce, or eliminate dependency on social services. However, due to the unpredictable nature of the pandemic; Community Action Agencies (CAA) had to adapt to community conditions while responding with urgency and purpose. Each Eligible Entity in Maine has recently completed a brief Community Needs Assessment (CNA) focused on the impact of the COVID-19 pandemic within their catchment areas for which they serve. The major areas of concern include the following: Food insecurity, Loss of employment/income, Unstable housing (currently and predicted to increase), Lack of access to and ability to pay for basic necessities, Lack of access to childcare, as many facilities and/or other childcare options closed or reduced numbers due to the risk of COVID-19, Anticipation of increased levels of mental health/addiction issues, as well as health issues, complicated by the lack of access to health insurance and/or businesses being available, Increased need and/or access to case management and resource navigation for people in need, specifically those who are not used to being in need, Agency capacity and infrastructure needs in order to respond appropriately to community needs and keep staff/public safe, and The need for continued and enhanced community collaboration

**3.2. Eligible Entity Involvement:** Describe the specific steps the state took in developing the CSBG CARES Supplemental State Plan to involve the eligible entities

Maines CSBG State Office composed the CARES Supplemental State Plan based on review and in collaboration with the 10 eligible entities CNA data and CSBG CAP/Work plans proposed for the time period. On 7/27/2020 the State Office shared the draft plan with the CSBG network for input and feedback. Maines CSBG network met on 7/29/2020 to discuss feedback and edits. OCFS distributed the draft to all providers and known stakeholders for comment and then posted on the website on 8/26/2020 for public review and comment.

## 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

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 4 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan).

The CSBG CARES Supplemental State Plan is considered to be a plan revision, consistent with Section 676(e) of the CSBG Act (Revisions and Inspection).

**4.1. Public Inspection:** Describe how the CSBG CARES Supplemental State Plan has been made available for public inspection within the state to facilitate public review and comment.

Maines CSBG State Office composed the CARES Supplemental State Plan on 7/27/2020 and shared with the CSBG network for input and feedback. Maines CSBG network met on 7/29/2020 to discuss feedback and edits. OCFS distributed the draft to all providers and known stakeholders for comment and then posted on the website on 8/26/2020 for public review and comment.

**Note:**

For the purposes of this CSBG CARES Supplemental State Plan, a public hearing is not required. However, the state should notify eligible entities and other known stakeholders that this plan is available for a public review and comment, and post publicly, e.g., on the state's public website, for a reasonable timeframe.

Although, a reasonable timeframe is not specified in the statute, for purposes of the CSBG CARES Supplemental State Plan, OCS recommends a minimum of 10 business days.



## Section 5: CSBG Eligible Entities

**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 5 CSBG Eligible Entities

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 5 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan).

☒ As the Authorized Official for CSBG, I confirm that there are no changes to the CSBG Eligible Entities as submitted in Section 5 of the most recently submitted CSBG State Plan (as dated in Section 1)

☐ As the Authorized Official for CSBG, I confirm that yes, there were changes to the CSBG Eligible Entities as submitted in Section 5 of the most recently submitted CSBG State Plan (as dated in Section 1).

**If there were changes to the CSBG Eligible Entity list, please update within Section 7.2 of this State Plan accordingly:**

**Designation and Re-Designation:** add at the end of the table

**De-Designations and Voluntary Relinquishments:** do not remove the entity. Rather just add zero to the appropriate line.

**Mergers:** Do not remove the eligible entities. Rather just add zero to the appropriate line.

**OCS reserves the opportunity to request more information at a later date.**

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

#	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. Special Circumstances [Optional]:** If the state has any specific circumstances that will affect the allocation, such as a pending de-designation hearing for an eligible entity, please describe below:

**Please note:** Additional information should be sent directly to your Program Specialist.

☒ No, special circumstances were implemented to the CSBG CARES Supplemental allocations

☐ Yes, special circumstances were implemented to the CSBG CARES Supplemental pending de-designation(s) for an eligible entity

## Section 6: Organizational Standards for Eligible Entities

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

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 6 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan), and seeks no additional information.

## Section 7: State Use of Funds

**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 7 State Use of Funds

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

**7.1. Formula:**

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

☒ Historic

☐ Base + Formula

☐ Formula Alone

☐ Formula with Variables

☐ Hold Harmless + Formula

☐ Other

**7.2. 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. [Numeric Response, specify dollar amount]

#### Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Funding Amount \$	Delete
Aroostook County Action Program, Inc.	\$459,606	
Community Concepts Inc.	\$562,238	
Kennebec Valley Community Action Program	\$564,597	
Penquis C.A.P., Inc.	\$687,049	
The Opportunity Alliance	\$534,633	
Waldo Community Action Partners	\$331,020	
Western Maine Community Action Inc.	\$315,448	
York County Community Action Corporation	\$445,920	
Downeast Community Partners	\$445,685	
Midcoast Maine Community Action	\$372,545	
<b>Total</b>	<b>\$4,718,741</b>	

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

**7.3. Allocated Funds:** Specify the amount of your CSBG funds allocated for administrative activities for the FFY(s) covered by this State plan.

262,152

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

1.00

**7.5. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG CARES funds for the FFY(s) covered by this State Plan?

1.00

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

**7.6. 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.

Use of Remainder/Discretionary Funds			
Remainder/Discretionary Fund Uses		Planned \$	Brief description of services/activities and/or activities
7.6a. Training/technical assistance to eligible entities		\$146155.00	These planned services/activities will be described in State Plan Item 8.1.
7.6b. Coordination of state-operated programs and/or local programs		\$57855.00	MeCAP staff supporting the CSBG network in coordination of services for state and local levels
7.6c. Statewide coordination and communication among eligible entities		\$17000.00	EmpowOR (statewide database) updates as needed for COVID reporting/tracking
7.6d. Analysis of distribution of CSBG funds to determine if targeting greatest need			
7.6e. Asset-building programs			
7.6f. Innovative programs/activities by eligible entities or other neighborhood groups			
7.6g. State charity tax credits			
7.6h. Other activities, specify in column 3		\$41142.00	Other agency needs (PPE, Supplies, etc) and Indirect costs
Total		\$0.00	\$262,152.00
7.7. Summary of State Allocations: Provide a total breakdown of planned amounts. Please note that this table will automatically populate with the totals from 7.2, 7.3, and 7.6 above.			
90 Percent Funds	Administrative Funds	Discretionary Funds	Total
\$4,718,741	\$262,152	\$262,152	\$5,243,045

## Section 8: State Training and Technical Assistance

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

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### SECTION 8 State Use of Funds

**8.1. Training and Technical Assistance Plan:**

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

Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.

*(CSBG funding used for this activity is referenced under item 7.6(a), Remainder/Discretionary Funds.*

*Note: This information is associated with State Accountability Measure 3Sc*

#### Training and Technical Assistance

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY2020	Both	Fiscal	
2	FY2020	Both	Reporting	
3	FY2020	Both	Monitoring	
4	FY2020	Both	Communication	
5	FY2020	Both	Technology	
6	FY2021	Both	Governance/Tripartite Boards	
7	FY2021	Both	ROMA	
8	FY2021	Both	Community Assessment	
9	FY2021	Both	Strategic Planning	
10	FY2021	Both	Correcting Significant Deficiencies Among Eligible Entities	
11	FY2022	Both	Fiscal	
12	FY2022	Both	Monitoring	
13	FY2022	Both	Correcting Significant Deficiencies Among Eligible Entities	

**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 7.6):*

\$146,155.00

**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 CSBG Eligible Entities 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 development and implementation of training and technical assistance. The State also consults with its Federal Project Officer, CAPLAW, NASCSP, etc. regarding technical assistance and training opportunities to provide to the network

**8.2. 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**

The State CSBG office meets regularly with CSBG Eligible Entities 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 development and implementation of training and technical assistance. The State Association coordinates all training needs for the network by seeking national trainers to assist in training presentations.

## Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 9 State Linkages and Communication

*Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.6(b) and (c).*

*Note: Only describe additional or unique partnerships related to CSBG CARES funding. Do not re-describe partnerships, linkages, and communications already noted in your regular CSBG State Plan.*

#### 9.1. State Linkages and Coordination at the state Level:

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

*[Check all that apply and narrative where applicable]*

<input checked="" type="checkbox"/>	State Low Income Home Energy Assistance Program (LIHEAP) office
<input checked="" type="checkbox"/>	State Weatherization office
<input 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 type="checkbox"/>	State budget office
<input 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"/>	Emergency Management
<input type="checkbox"/>	Public Health/Disease Control
<input type="checkbox"/>	Other

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 describes 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.

#### 9.2. 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.

Subject Matter	Expected Frequency	Format	Brief description of "Other"
State Monitoring Plans and Policies	As needed	Other	Frequency is as follows: weekly, monthly, quarterly, and upon request Format includes meeting/ presentations, emails, webinar, 1:1, phone calls and letters
Training and Technical Assistance (T/TA)			Frequency is as follows:

	<b>Plans</b>	As needed	Other	weekly, as needed, ad upon request Format includes meetings/presentations, email, webinar, 1:1 and phone calls
	<b>State Interagency Coordination</b>	As needed	Other	frequency is as follows: as needed and upon request format includes meetings/ presentations, email, webinar, 1:1, and phone calls
	<b>CSBG CARES Funding and Activities</b>	Weekly	Other	frequency is as follows: weekly, monthly, quarterly, as needed and upon request format includes newsletters, meetings/presentation, email, webinar, 1:1 and phone calls
	<b>Subject Matter</b>	<b>Expected Frequency</b>	<b>Format</b>	<b>Brief Description of "Other"</b>
<b>1</b>	N/A	Not Applicable		



## 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  
Expires:06/30/2021**

### SECTION 10 State Use of Funds

#### Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act )

**10.1. CSBG CARES Supplemental Monitoring Schedule:** In the table below, provide how the state plans to monitor as it specifically relates to the CSBG CARES Supplemental.

The following schedule does not supersede or replace the Monitoring Schedule submitted in your FFY2020 CSBG State Plan as dated in Section 1 of this supplemental state plan.

*Note: This information is associated with State Accountability Measure 4Sa(i)*

	CSBG Eligible Entity	CSBG CARES Monitoring Approach	Review Type	Target Year
1	Aroostook County Action Program, Inc.	CSBG CARES Supplemental Only	Desk Review	FY2021
2	Aroostook County Action Program, Inc.	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022
3	Community Concepts Inc.	CSBG CARES Supplemental Only	Desk Review	FY2021
4	Community Concepts Inc.	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2021
5	Kennebec Valley Community Action Program	CSBG CARES Supplemental Only	Desk Review	FY2021
6	Kennebec Valley Community Action Program	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022
7	Penquis C.A.P., Inc.	CSBG CARES Supplemental Only	Desk Review	FY2021
8	Penquis C.A.P., Inc.	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022
9	The Opportunity Alliance	CSBG CARES Supplemental Only	Desk Review	FY2021
10	The Opportunity Alliance	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2021
11	Waldo Community Action Partners	CSBG CARES Supplemental Only	Desk Review	FY2021
12	Waldo Community Action Partners	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022
13	Western Maine Community Action Inc.	CSBG CARES Supplemental Only	Desk Review	FY2021
14	Western Maine Community Action Inc.	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2021
15	York County Community Action Corporation	CSBG CARES Supplemental Only	Desk Review	FY2021
16	York County Community Action Corporation	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022
17	Downeast Community Partners	CSBG CARES Supplemental Only	Desk Review	FY2021
18	Downeast Community Partners	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2021
19	Midcoast Maine Community Action	CSBG CARES Supplemental Only	Desk Review	FY2021
20	Midcoast Maine Community Action	Integrated into Regular CSBG Full On-Site	Onsite Review	FY2022

**10.2. CSBG CARES Supplemental Monitoring Approach:**

Describe how the state intends to implement monitoring policies and procedures as it relates directly to the CSBG CARES Supplemental.

The State Office is in process of creating an onsite monitoring tool for the CSBG CARES Supplemental agreements for contract, state and federal compliance. Most of this work will be conducted via desk review to ensure safety while social distancing within the state of Maine. The CSBG State office will conduct full on site reviews in the next few years which will have CSBG CARES Supplemental testing involved.

**10.3. CSBG CARES Supplemental Initial Monitoring Reports:**

If the state monitors for CSBG CARES Supplemental only, provide the number of calendar days by which the state must disseminate an initial CSBG CARES Supplemental monitoring reports to local entities?

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

*Note: If the state is integrating all CSBG CARES Supplemental monitoring into the Regular CSBG Full On-Site, the state should include an additional section specific to the CSBG CARES Supplemental monitoring. If the state is conducting a CSBG CARES Supplemental only monitoring, the state must create a CSBG CARES Supplemental monitoring report.*

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

**10.4. Closing Findings:**

Is the state adding additional provisions to state monitoring procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings as it specifically relates to the CSBG CARES Supplemental? ☐ Yes ☒ No

**10.4a. Closing Findings Procedures:**

If yes, describe the additional provisions here.

**Fiscal Controls and Audits and Cooperation Assurance**

**10.5. Fiscal Controls and Accounting:**

As it relates specifically to the CSBG CARES Supplemental, describe any additional provisions to the state's fiscal controls and accounting procedures that 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)

Maine has allocated the CSBG CARES Supplemental in agreements separate from the regular CSBG agreements. These are new agreements.

**10.6. Single Audit Management Decisions:**

As it relates specifically to the CSBG CARES Supplemental, describe any additional provisions to 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.

N/A

**10.7. 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

## Section 11: Eligible Entity Tripartite Board

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 11 State Use of Funds

For the purposes of the CARES Act, the Office of Community Services accepts the data submitted by the state in Section 11 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan), and seeks no additional information now or at a later date.

## Section 12: Individual and Community Eligibility Requirements

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

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

### SECTION 12

#### Individual and Community Income Eligibility Requirements

##### 12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

*[Select one item below and numeric response where applicable.]*

☒ 200% of the HHS poverty line ☐ 125% of the HHS poverty line ☐ X% of the HHS poverty line (fill in the threshold) ☐ Varies by eligible entity

0%

12.1a. Describe any changes to the state policy and/or procedures for income eligibility, such as treatment of income and family/household composition as originally described in your FFY2020 CSBG State Plan [as dated in Section 1 of this Plan].

☐ No, there are no changes to state policy and/or procedures for income eligibility

☒ Yes, there are changes to state policy and/or procedures for income eligibility as described below

on 4/9/2020 The CSBG State Office released guidance on income eligibility changes. See attached: CSBG CARES Act Update Memo

##### 12.1b. The change in the income eligibility threshold will apply to:

☐ No change in the income eligibility threshold

☐ CSBG CARES Supplemental ONLY

☒ CSBG CARES Supplemental AND regular CSBG funds

##### 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.

☐ No changes were made to income eligibility verification

☒ Yes, there are changes to income eligibility verification as described below

See 12.1 Narrative

##### 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).

☒ No changes were made to targeting services that provide community-wide benefit.

☐ Yes, there are changes to targeting services that provide community-wide benefit as described below:

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

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

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

### SECTION 13

#### Results Oriented Management and Accountability (ROMA) System

For the purposes of the CARES Act, the Office of Community Services accepts the information on the ROMA system submitted by the state in Section 13 of the most recently submitted CSBG State Plan (as dated in Section 1 of this Supplemental State Plan), and seeks no additional information on the state's ROMA system.

Please note that the state may describe state discretionary expenditures or additional training and technical assistance related to documentation and performance management for CSBG CARES Supplemental funding in Sections 7 and 8 of this Supplemental State Plan.

## 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)

Form Approved  
OMB No: 0970-0382  
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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;

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

#### 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;

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

#### 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)

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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: Any information provide in previous sections of this application will be considered to be a supplementary description of how the state plans to use funds as necessary for this assurance. Additional information does not need to be provided here.*

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

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;

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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.*

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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.*

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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).

Please select the applicable response:

- ☒ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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."

Please select the applicable response:

- ☒ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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.*

Please select the applicable response:

- ☒ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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.*

Please select the applicable response:

- ☒ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### Federal Investigations

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

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

Please select the applicable response:

- ☒ No change to the standard assurance in the CSBG State Plan.
- ☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### Funding Reduction or Termination (Not Applicable to CSBG CARES Supplemental



<b>Funds)</b>
<p>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)."</p> <p><i>Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i></p>
<p><input checked="" type="checkbox"/> Check to acknowledge that Section 676(b)(8) is not applicable to the CSBG CARES Supplemental and that funds must be distributed based on the CSBG formula.</p>
<b>Coordination with Faith-based Organizations, Charitable Groups, Community Organizations</b>
<p>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."</p> <p><i>Note: The state describes this assurance in the state Linkages and Communication section, item 9.6.</i></p> <p>Please select the applicable response:</p>
<p><input checked="" type="radio"/> No change to the standard assurance in the CSBG State Plan.</p>
<p><input type="radio"/> Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below</p>
<b>Eligible Entity Tripartite Board Representation</b>
<p>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."</p> <p><i>Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.</i></p> <p>Please select the applicable response:</p>
<p><input checked="" type="radio"/> No change to the standard assurance in the CSBG State Plan.</p>
<p><input type="radio"/> Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below</p>
<b>Eligible Entity Community Action Plans and Community Needs Assessments</b>
<p>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."</p> <p><i>Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.</i></p> <p>Please select the applicable response:</p>
<p><input checked="" type="radio"/> No change to the standard assurance in the CSBG State Plan.</p>
<p><input type="radio"/> Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below</p>
<b>State and Eligible Entity Performance Measurement: ROMA or Alternate system</b>
<p>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."</p> <p><i>Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.</i></p> <p>Please select the applicable response:</p>
<p><input checked="" type="radio"/> No change to the standard assurance in the CSBG State Plan.</p>

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

### 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.*

Please select the applicable response:

☒ No change to the standard assurance in the CSBG State Plan.

☐ Adaptations to the standard assurance in the CSBG State Plan for the CSBG CARES Supplemental are described below

☒ By checking this box and signing the Cover Sheet SF-424M, 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.