



State of Maine



**Community Services
Block Grant Recovery Act Plan**

FY 2009- 2010



*Department of Health
and Human Services*

*Maine People Living
Safe, Healthy and Productive Lives*

John E. Baldacci, Governor

Brenda M. Harvey, Commissioner



Child and Family Services

*An Office of the
Department of Health and Human Services*

John E. Baldacci, Governor

Brenda M. Harvey, Commissioner

Department of Health and Human Services
Child and Family Services
2 Anthony Ave.
11 State House Station
Augusta, Maine 04333-0011
Tel: (207) 624-7900; Fax: (207) 287-5282
TTY: 1-800-606-0215

May 29, 2009

Yolanda Butler, Acting Director
Office of Community Services
Division of State Assistance
Attention: Community Services Block Grant Program
U.S. Department of Health and Human Services
Administration for Children and Families
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Butler

This letter of transmittal is being submitted with the State of Maine's Community Services Block Grant Recovery Act Plan covering FY 2009 and FY 2010. Any revision to the plan will be submitted forthwith.

The official to receive the CSBG Recovery Act Grant Award is:

Russell J. Begin, Deputy Commissioner of Finance
Department of Health & Human Services
221 State Street 11 State House Station
Augusta, ME 04333-0011
Tel: (207) 287-5758 Fax: (207) 287-3007

The contact person for the CSBG Program is:

Christine Merchant, State of Maine CSBG Coordinator
Office of Child & Family Services, Community Services Unit
Department of Health & Human Services
2 Anthony Ave. 11 State House Station
Augusta ME 04333
Tel: (207) 624-7934 Fax: (207) 287-6156

Please contact me with any questions or concerns you may have.

Sincerely,

Christine Merchant
Christine Merchant, Supervisor
Community Services Unit

**STATE OF MAINE
FY 2009-10 AMERICAN REINVESTMENT RECOVERY ACT
PLAN AND APPLICATION
COMMUNITY SERVICES BLOCK GRANT**

**I. FEDERAL FISCAL YEARS COVERED BY THIS CSBG RECOVERY ACT
STATE PLAN AND APPLICATION**

FFY 2009 through FFY 2010

II. LETTER OF TRANSMITTAL

III. EXECUTIVE SUMMARY

A. CSBG State Legislation

State of Maine statutory authority for the Community Services Block Grant program is provided in Maine Revised Statute, Title 22, Subtitle 4, Part 1-A, Chapter 1477, Sections 5321-5329.

Attachment B

B. Designation of Lead State Agency to Administer the CSBG Recovery Act Program

Appended as **Attachment A**, is a letter designating the Maine Department of Health & Human Services as the State agency authorized to accept funding under the Community Services Block Grant as well as plan and administer community service programs in the state. Furthermore the Department of Health & Human Services is responsible for monitoring the state poverty level, overseeing the state's community action agencies, and for coordinating and planning for statewide community services.

C. Public Inspection Requirement

(1) Public Inspection of State CSBG Recovery Act Plan:

Notice of availability of the FY 2009-10 State Community Services Block Grant Recovery Act Plan and Application is being placed in Maine's official daily newspaper stating that copies are available on the DHHS Website and at the Office of Child & Family Services, Community Service Unit for public review and comment. Copies are being sent to all interested parties of record and to others upon request.

IV. STATEMENT OF FEDERAL AND CSBG RECOVERY ACT ASSURANCES

- A. As a part of the plan required by Section 676 of the Community Services Block Grant Act, as amended, (The Act), the designee of the Chief Executive of the State hereby agrees to the Assurances in Section 676 of the Act, unless otherwise stated in the American Reinvestment and Recovery Act (“Recovery Act”) of 2009.

Programmatic Assurances

(1) an assurance that funds made available through the 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), 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 (including self-sufficiency 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 communities involved, which may include carrying out 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 family and individual needs; and

(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;

(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; and

(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 term “low income” shall be defined as families and households with an income up to 200 percent of the official poverty guidelines. This eligibility adjustment reflects an increase from 125 percent of the poverty guidelines as currently provided in Section 673(2) of the CSBG Act and applies to all CSBG services furnished during fiscal years 2009 and 2010.

(2) a description of 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;

(3) information provided by eligible entities in the State, containing—

(A) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income individuals and families in communities within the State;

(B) a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;

(C) a description of how funds made available through grants made under section 675C(a) will be coordinated with other public and private resources; and

(D) a description of how the local entity will use the funds 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 effective parenting;

(4) an assurance 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;

(5) an assurance that the State and the 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 to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998;

(6) 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;

(7) an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D;

(8) 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);

(9) an assurance 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;

(10) an assurance that 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;

(11) an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs;

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

(13) information describing how the State will carry out the assurances[676(b)(13)] (**This is the Narrative CSBG State Plan**).

Administrative Assurances

The State further agrees to the following administrative assurances, as required under the Community Services Block Grant Act:

- (1) **STATE APPLICATION AND PLAN**- To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the Community Services Block Grant program prepared in accordance with and containing the information described in Section 676 of the Act. [‘675A(b)] –
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the Community Services Block Grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. [‘675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the Community Services Block Grant program. [‘675C (a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. [‘675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675© regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and

- families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [’675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or ‘675B for the period covered by the State Plan. [’676(a)(2)(B)]
 - (7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State Community Services Block Grant program activities. [’676(a)(1)]
 - (8) To hold as least one legislative hearing every three years in conjunction with the development of the State Plan.[’676(a)(3)]
 - (9) To make available for the public inspection each plan or revised State Plan in such a manner as will facilitate review of and comment on the plan. [’676(e)(2)]
 - (10) To conduct the following reviews of eligible entities:
 - a. a full onsite review of each such entity at least once during each three-year period;
 - b. an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant program;]
 - c. follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - d. other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the Community Services Block Grant program) terminated for cause. [’678B(a)]
 - (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the Community Services Block Grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
 - a. Inform the entity of the deficiency to be corrected
 - b. require the entity to correct the deficiency
 - c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [’678(c)(a)]
 - (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
 - (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the

State is or may become entitled under the Community Services Block Grant program.
[678D(a)(3)]

- (14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [678E(a)(1)].
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.
- (17) To ensure that programs assisted by Community Services Block Grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [678F(b)]
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with Community program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678FC]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the Community Services Block Grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the Community Services Block Grant program. [679]

Other Administrative Certifications The State also certifies the following

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of Community Services Block Grant program funds
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee.. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

B. The State further agrees to the following, as required under the Recovery Act:

- (1) To submit a plan to the Secretary containing information and provisions that describe the programs for which assistance is sought under the Community Services Block Grant program prepared in accordance with and containing the information described in the Recovery Act.
- (2) To distribute not less than 99 percent of the Recovery Act allocations made available to the State by the Secretary to make grants to “eligible entities” as defined by Section 673 (1) of the CSBG Act for the stated purposes of the Recovery Act.
- (3) To make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding carryover of unobligated funds as stated in the Appropriations Act. (H.R. 3061)
- (4) To spend no more than 1 percent of the State allotment received under the Recovery Act for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs.
- (5) To fulfill supplemental reporting requirements for CSBG Recovery Act funds.
- (6) To provide information describing how the State will carry out activities and services supported by Recovery Act funds. (This is the Narrative State CSBG Recovery Act Plan)



Signature

Russell J. Begin, Deputy Commissioner for Finance
Maine Department of Health & Human Services

5/29/09

Date

V. THE NARRATIVE STATE PLAN

A. Administrative Structure

1. State Administrative Agency – Attachment C

- (a) Mission and responsibilities of the lead agency designated to administer the State’s CSBG Recovery Act program.
- (b) Goals and Objectives of the lead agency designated to administer the State’s CSBG Recovery Act program.

2. Eligible Entities

(a) List of Eligible Entities

- Aroostook County Action Program Presque Isle
- Community Concepts South Paris
- Kennebec Valley Community Action Waterville
- Midcoast Maine Community Action Bath
- Penquis Bangor
- People’s Regional Opportunity Program Portland
- Waldo Community Action Partners Belfast
- Washington Hancock Community Agency Millbridge
- Western Maine Community Action East Wilton
- York County Community Action Corp. Sanford

(b) Geographic Areas Served – Attachment D

3. Distribution and Allocation of Funds

(a) Planned Distribution of CSBG ARRA Funds to eligible entities

Community Action Agency	County(ies) Served	ARRA Allocation
Aroostook County Action Program	Aroostook County	\$ 505,566
Community Concepts	Androscoggin & Oxford Counties	\$ 617,683
Kennebec Valley Community Action Program	Kennebec & Somerset Counties	\$ 620,538
Midcoast Maine Community Action	Sagadahoc & Lincoln Counties	\$ 410,578
Penquis	Penobscot, Piscataquis & Knox Counties	\$ 753,937
People’s Regional Opportunity Program	Cumberland County	\$ 587,578
Waldo Community Action Partners	Waldo County	\$ 365,160
Washington Hancock Community Agency	Washington & Hancock Counties	\$ 490,513
Western Maine Community Action	Franklin County	\$ 348,290
York County Community Action Corp.	York County	\$ 490,773

B. Description of Criteria and Distribution Formula

Agency allocations are based on an existing formula that distributes 50% of available ARRA funds equally to each agency and prorates 50% of remaining funds based on the number of individuals with incomes less than 125% of poverty within each agency's geographic catchments area.

All agencies are required to request and receive approval for use of any carry-over funding. The request must identify the reason for the carry-over and specify the proposed use of the carry-over funds. Decisions on requests for use of carry-over funds will be made by the Director of the Office of Child and Family Services, or his/her designee.

C. Description of Distribution and Use of Restricted Funds

1 % of the funds made available to each State's allotment of CSBG ARRA Funds shall be used for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs.

\$52,430 represents 1% of Maine's allotment of \$5,243,045 CSBG ARRA Funds. This 1% will be directed towards the work of and duties included in The Governor's Executive Order of April 13, 2009 – An Order to Facilitate Community Partnerships and Recommended Efficiencies and Simplifications in the Delivery of Public Benefits to Help Maine Weather the Economic Downturn. **Attachment E**

D. State Community Services Program Implementation

(1) Program Overview: Describe the following using information provided to the State by eligible entities:

(a) The Service Delivery System of Benefit Enrollment Coordination Activities

A description of the service delivery system for benefit enrollment coordination activities for purposes of identifying and enrolling eligible individuals and families in Federal, State and local benefit programs. Include a description of the geographical area served, a listing of State agencies or sub-grantees providing the services and service areas.

The ten Community Action Programs in Maine are formally associated through their membership of the Maine Community Action Association comprised of each CAP's executive director. Although each CAP is somewhat different in its overall combination of programs, all CAPs have the same general mission to help alleviate poverty in their communities through the provisions of direct social services, acting as a local conduit of services for a wide variety of state and Federal agencies, and forming collaborations with local organizations to maximize favorable results on behalf of low-income individuals and families across Maine. Through the MCAA, CAPs regularly collaborate statewide on broad policies and state wide programs affecting low-income people, but as individual community action programs, they act independently as leaders and organizers to address the issues facing the poor.

CAPs typically serve the largest number of low-income individuals and families in their local county or counties service area through the Low Income Home Energy Assistance Program (LiHEAP). From the entry point of LiHEAP, CAP staff often assess a variety of additional needs facing the applicant and make appropriate referrals to other internal anti-poverty programs, to local offices of the State such as the Maine Department of Health and Human Services, and to a

wide array of local non-profits such as food pantries, substance abuse programs, job training programs, etc.

(b) Description of Recovery Act Projects

A description of Recovery Act projects for purposes of creating and sustaining economic growth and employment opportunities. Include a description of targeted individuals and families; services and activities; and how the services and activities are tailored to the specific needs of the community. **Attachment F.**

(c) The Service Delivery System for Recovery Act Projects

A description of the service delivery system for Recovery Act projects for purposes of providing a wide range of innovative services and activities. Include a description of the geographical area served, a listing of eligible entities and service areas.

With forty plus years of serving the low income people in their counties, Maine's Community Action Programs have a keen sense of the needs of low income people as well as the network of local, private, state, and Federal programs in place to help alleviate those needs. Community action programs across the state have employed a similar strategy to identify a wide range of innovative, yet locally appropriate, services and activities to address the needs.

CAPs benefit from input from the Maine Department of Health and Human Services, their peers at the Maine Community Action Association, and their senior staff as they strive to identify a wide range of innovative services, however the bulk of data leading to these decisions come from frequent community needs assessments and the subsequent strategic planning from their tripartite boards of directors.

All of Maine is suffering from high unemployment rates and each Community Action agency will be able to hire or maintain jobs that otherwise would be lost. New positions are creating the opportunity for CAPs to engage in projects for their communities that meet need and further the mission of their agencies. The flexibility of the additional CSBG ARRA funding allows agencies to further their commitment to communities and families through the development of programs that meet each of their communities' specific needs. The increased numbers of low-income Mainers due to this economic downturn, combined with ARRA funding gives new opportunity for agencies, individuals and families.

(d) Linkages

A description of how linkages will be developed by local entities to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations.

Statewide, Maine's ten community action programs have formed hundreds of partnerships with local, private, state, and federal organizations and agencies that share, in whole or part, their mission to alleviate poverty. These partnerships range from the informal and casual to the highly formal with clear agreements and Memorandums of Understanding.

Traditionally CAPs have developed an annual community needs assessment process, as required by CSBG, to remain apprised of gaps in services. Community partners take an active role, through surveys, forums, advisory committees, and board membership, of informing CAPs of gaps in service. As a contribution to the solution, these same partners provide information; make appropriate referrals, and often aid in case management.

(e) Coordination with Other Public and Private Resources

A description of how funds made available through grants to eligible entities will be coordinated with other public and private resources, to include how States and eligible entities will avoid duplication and/or supplanting.

All agency contracts are reviewed for their emphasis on community partnerships, both public and private and the depth of those partnerships include shared agreements and measured outcomes. All agency plans require Board of Director approval and as representatives from their communities, they understand the importance of not duplicating services and the requirement not to supplant state funded services.

(f) Innovative Community and Neighborhood-based Initiatives

A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the Recovery Act, which promotes food, housing, health services and employment-related services and activities.

All activity that Community Action Agencies are planning to undertake with the additional funding is an extension of service that includes services such as employment skills and job placement; the delivery of health services to low-income individuals, assuring safe and stable housing and gaining access to good nutrition. Innovative initiatives include: Foreclosure prevention and intervention through budget management and refinancing; community gardens; pre-1976 mobile home replacement; increased child-care vouchers for job retention; community organizing around major industry lay-offs and many others.

(2) Community Needs Assessments

Describe how the State will comply with the following assurance in ‘676(b)(11): The State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity, 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 service, which may be coordinated with community-needs assessments conducted for other programs.

Community Needs Assessments from eligible entities are due according to current CSBG FY09 contracts June 30, 2009. Interim narratives linking local Community Needs Assessments with eligible entity’s Draft Plans for 2009 CSBG ARRA Funds are included in **Attachments G & H.**

E. Fiscal Controls

(1) State Program Monitoring: Describe the lead agency’s plans for conducting the following reviews of eligible entities, as required under Section 678B(a) of the Act:

- (a) a full onsite review of each such entity at least once during each 3-year period, **Attachment I;**
- (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
- (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
- (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause.
- (e) Specify the date of the last audit conducted and the period covered by the audit for each eligible entity, **Attachment J.**

(2)Corrective Action, Termination and Reduction of Funding: Describe the State’s plan for complying with the requirement of Section 678C of the Act. (Section 678C of the Act requires states to comply with certain requirements in the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State, including performance objectives.) **Attachment K.**

(3)Tracking: Describe the State’s systems of fiscal controls, procedures, and plans for tracking separately expenditures from funds made available by the Recovery Act and in accordance with Section 1512 of the American Recovery and Reinvestment Act of 2009. **Attachment L.**

F. Reporting and Registration Requirements

In accordance with Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5, the designee of the chief executive of the State hereby agrees to the following reporting and registration requirements:

- (a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 (“Recovery Act”) and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.
- (b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.
- (c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.
- (d) The recipient shall report the information described in section 1512© using the reporting instructions and data elements that will be provided online at www.FederalReporting.gov and ensure that any information that is pre-filled is corrected or updated as needed.

VI. Appendices

- A. Documentation of and Public Hearings** (copies of public notices, letters, newspaper articles, etc.,)
- B. Additional Data or Information (as needed)**

ATTACHMENT A

**Letter dated June 18, 2009
by Governor John E. Baldacci**

**Designating Maine Department of Health
and Human Services
as the Lead State Agency
to Administer the CSBG Program and
CSBG ARRA Funds**



STATE OF MAINE
OFFICE OF THE GOVERNOR
1 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0001

JOHN ELIAS BALDACCI
GOVERNOR

June 18, 2009

Yolanda Butler, Acting Director
Office of Community Services
Division of State Assistance
Attention: Community Services Block Grant Program
U.S. Department of Health and Human Services
Administration for Children and Families
370 L'Enfant Promenade, S. W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Butler:

It is my pleasure to notify you that, effective federal fiscal year October 1, 2008, I have designated the Maine Department of Health and Human Services as the state-level administrative agency for all aspects of the Community Services Block Grant Program. I have also designated the Division of Public Service Management, Community Services Unit, housed in the Office of Child and Family Services, as the functional unit authorized to apply for and administer all Community Services Block Grant funds including the CSBG ARRA funds for FY 2009-2010.

Sincerely,

A handwritten signature in black ink that reads "John E. Baldacci".

John E. Baldacci
Governor



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ATTACHMENT B

Maine Statute

**Title 22: Health and Welfare
Subtitle 4: Human Services
Part 1-A: Administration
Chapter 1477: Community Services
Section 5321 – Section 5329**

Available on State of Maine web site:

<http://www.mainelegislature.org/legis/Statutes/22/title22ch1477sec0.html>

Maine Revised Statute Title 22, Chapter 1477: COMMUNITY SERVICES

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22 §5321. DEFINITIONS

As used in this chapter, unless the context otherwise indicates, the following terms have the following meanings. [1991, c. 780, Pt. DDD, §14 (NEW).]

1. Bureau.

[1995, c. 502, Pt. D, §11 (RP) .]

2. Community action agency. "Community action agency" means a private nonprofit agency that has previously been designated by and authorized to accept funds from the Federal Community Services Administration under the United States Economic Opportunity Act of 1964.

[1991, c. 780, Pt. DDD, §14 (NEW) .]

3. Director. "Director" means the director of the division.

[1995, c. 502, Pt. D, §12 (AMD) .]

3-A. Division. "Division" means the Division of Purchased and Support Services within the department.

[1995, c. 502, Pt. D, §13 (NEW) .]

4. Poverty level. "Poverty level" means the official poverty level issued by the Director of the United States Office of Management and Budget.

[1991, c. 780, Pt. DDD, §14 (NEW) .]

5. Service area. "Service area" means the geographical area within the jurisdiction of a community action agency.

[1991, c. 780, Pt. DDD, §14 (NEW) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §§D11-13 (AMD).

22 §5322. DIVISION RESPONSIBILITIES

The division shall carry out the responsibilities of State Government related to planning and financing community services and community action agencies and shall administer state and federal community services programs and other block grants that may be available, including, but not limited to, the Community Services Block Grant. [1995, c. 502, Pt. D, §14 (AMD).]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

22 §5323. POWERS AND DUTIES

1. Federal, state and other funds. Through plans and contracts, the division shall obtain, distribute and administer federal, state and other community services funds. Balances of funds appropriated to the division to carry out the purposes of this chapter may not lapse, but must be carried forward from year to year to be expended for the same purpose.

[1995, c. 502, Pt. D, §14 (AMD) .]

2. Monitoring of poverty level. The division shall monitor the poverty level of state citizens and carry out the following activities:

- A. Conduct an annual survey of poverty in Maine, reporting the results of this survey to the Governor, the Legislature and the public; [1991, c. 780, Pt. DDD, §14 (NEW).]
- B. Make recommendations annually to the Governor and the Legislature on ways and means to combat and reduce poverty in the State; [1991, c. 780, Pt. DDD, §14 (NEW).]
- C. Seek federal, state and private funds to combat poverty in the State; and [1991, c. 780, Pt. DDD, §14 (NEW).]
- D. Advise the Governor, the Legislature and local officials on the impact of state and local policies on poverty in the State. [1991, c. 780, Pt. DDD, §14 (NEW).]

[1995, c. 502, Pt. D, §14 (AMD) .]

3. Overseeing community action agencies. The division shall oversee community action agencies as follows.

- A. The division shall designate community action agencies every 7 years in accordance with the requirements of this chapter. [1995, c. 502, Pt. D, §14 (AMD).]
- B. The division shall establish audit requirements in accordance with the Human Services Community Agency Accounting Practices Act. [1995, c. 502, Pt. D, §14 (AMD).]
- C. The division shall evaluate community action agencies every 3 years. [1995, c. 502, Pt. D, §14 (AMD).]

[1995, c. 502, Pt. D, §14 (AMD) .]

4. Planning and coordination for state services. The division shall provide planning and coordination for state services to people with low income.

[1995, c. 502, Pt. D, §14 (AMD) .]

5. Technical assistance. The division shall provide technical assistance to community action agencies and other groups serving the interests of people with low income in this State.

[1995, c. 502, Pt. D, §14 (AMD) .]

6. Monitoring local program operators. The division shall monitor subgrantees to ensure conformance with appropriate rules.

[1995, c. 502, Pt. D, §14 (AMD) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

22 §5324. COMMUNITY ACTION AGENCIES

1. Designation. Community action agencies must be designated by the division to carry out the purposes of this chapter. In making these designations, the division shall solicit and consider comments from other state agencies or authorities that operate programs in which community action agencies participate. These designations are for 7 years.

[1995, c. 502, Pt. D, §14 (AMD) .]

2. Designation withdrawn. The division may withdraw its designation of a community action agency after an evaluation in which the agency has demonstrated substantial incompetency and a clear inability to carry out the purposes of this chapter, unless there is or has been financial malfeasance, which may be cause for immediate withdrawal of designation. In performing these evaluations, the division shall solicit and consider comments from other state agencies or authorities that operate programs in which the community action agency participates.

The division shall notify an agency of a pending withdrawal of designation. Upon notification, the agency has up to 6 months to take corrective action, at which time a designation withdrawal evaluation must be performed by the division. Failure to pass this evaluation means immediate loss of designation.

Upon the final order from the division that rescinds a community action agency's designation, the community action agency may file a petition for review of this final decision in the appropriate Superior Court within 30 days under the Maine Rules of Civil Procedure, Rule 80B.

[1995, c. 502, Pt. D, §14 (AMD) .]

3. Community action agencies. Community action agencies have the power and duty to:

A. Develop information regarding the causes and conditions of poverty in the service area; [1991, c. 780, Pt. DDD, §14 (NEW).]

B. Determine how much and how effectively assistance is being provided to deal with those causes and conditions; [1991, c. 780, Pt. DDD, §14 (NEW).]

C. Establish priorities among projects, activities and areas as needed for the best and most efficient use of available resources; [1991, c. 780, Pt. DDD, §14 (NEW).]

D. Develop, administer and operate programs to reduce poverty with particular emphasis on self-help approaches and programs to promote economic opportunities through affirmative action; [1991, c. 780, Pt. DDD, §14 (NEW).]

E. Initiate, sponsor and provide programs and services responsive to the needs of the poor that are not otherwise being met; [1991, c. 780, Pt. DDD, §14 (NEW).]

F. Promote interagency cooperation and coordination of all services and activities in the service area that are related to the purposes of this chapter; [1991, c. 780, Pt. DDD, §14 (NEW).]

G. Establish effective procedures by which the poor and other concerned area residents may influence the character of programs affecting their interests, provide for their regular participation in the implementation of those programs and provide technical and other support needed to enable low-income and neighborhood groups to secure on their own behalf available assistance from public and private sources; [1991, c. 780, Pt. DDD, §14 (NEW).]

H. Join with and encourage business, labor and other private groups and organizations to undertake, together with private officials and agencies, activities in support of the purposes of this chapter that will result in the increased use of private resources and capabilities in providing social and economic opportunities to low-income citizens; [1991, c. 780, Pt. DDD, §14 (NEW).]

I. Enter into contracts with federal, state and local public agencies and private agencies and organizations, businesses and individuals as necessary to carry out the purposes of this chapter; and [1991, c. 780, Pt. DDD, §14 (NEW).]

J. Receive funds from federal, state and local public and private sources as appropriate to carry out the purposes of this chapter. [1991, c. 780, Pt. DDD, §14 (NEW).]

[1991, c. 780, Pt. DDD, §14 (NEW) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

22 §5325. GOVERNING BOARD FOR COMMUNITY ACTION AGENCY

1. Board of directors; establishment. Each community action agency shall establish a governing board of directors, which must consist of not less than 15 nor more than 30 members. One third of the members must be representatives of low-income residents of the service area who are selected through a democratic process in accordance with guidelines established by the bureau. One third of the members must be elected public officials or their designees or officials of public agencies operating in the service area. One third of the members must be representatives of private sector organizations, including business and industry, as well as educational, civic, labor and religious organizations. All meetings of the board of directors must be in accordance with the freedom of access laws.

[1991, c. 780, Pt. DDD, §14 (NEW) .]

2. Responsibilities. A community action agency board of directors is responsible for the following:

A. Overall direction, oversight and development of policies of the agency; [1991, c. 780, Pt. DDD, §14 (NEW).]

B. Selection, evaluation and dismissal of the executive director of the community action agency; [1991, c. 780, Pt. DDD, §14 (NEW).]

C. Approval of all contracts; [1991, c. 780, Pt. DDD, §14 (NEW).]

D. Approval of all agency budgets; [1991, c. 780, Pt. DDD, §14 (NEW).]

E. Performance of an annual audit by an independent, qualified outside auditor. The audit must be submitted upon completion to the bureau; [1991, c. 780, Pt. DDD, §14 (NEW).]

F. Convening public meetings to provide low-income and other citizens of the service area the opportunity to comment upon policies and programs of the community action agencies; and [1991, c. 780, Pt. DDD, §14 (NEW).]

G. Evaluate agency programs and assess community and agency needs. [1991, c. 780, Pt. DDD, §14 (NEW).]

[1991, c. 780, Pt. DDD, §14 (NEW) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW).

22 §5326. PROGRAMS

All programs administered by community action agencies must conform with federal and state laws and regulations. Applicants for programs and assistance must be promptly notified of their rights and responsibilities when they qualify for or are denied services. [1991, c. 780, Pt. DDD, §14 (NEW) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW).

22 §5327. ALLOCATION OF COMMUNITY SERVICES BLOCK GRANT FUNDS

1. Distribution of Community Services Block Grant funds. In accordance with Title 5, section 1670, the division shall administer and distribute to community action agencies Community Services Block Grant funds received from the Federal Government. The division may expend up to but not more than 5% of the block grant per fiscal year to carry out its administrative functions under this chapter.

[1995, c. 502, Pt. D, §14 (AMD) .]

2. Community action agencies; priority. Of the amount passed through to local agencies, community action agencies must receive first priority in the allocation of Community Services Block Grant funds. These funds must be distributed according to a formula determined annually as follows.

A. Twenty percent of the amount passed through to local agencies must be divided equally among all designated agencies. [1991, c. 780, Pt. DDD, §14 (NEW).]

B. The balance of the funds must be distributed according to rules adopted by the division. [1995, c. 502, Pt. D, §14 (AMD).]

[1995, c. 502, Pt. D, §14 (AMD) .]

3. Block grant proposals. Proposals for Community Services Block Grant funds submitted to the Legislature by the division in accordance with Title 5, section 1670 must be developed and must:

A. Include a description of current allocation of Community Services Block Grant funds and how the plan proposes to change that allocation; [1991, c. 780, Pt. DDD, §14 (NEW).]

B. Retain the absolute minimum necessary for administrative costs; and [1991, c. 780, Pt. DDD, §14 (NEW).]

C. Provide for maximum flexibility within community action agencies for the use of Community Services Block Grant funds. [1991, c. 780, Pt. DDD, §14 (NEW).]

[1995, c. 502, Pt. D, §14 (AMD) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

22 §5328. CONFIDENTIALITY OF RECORDS

1. Confidentiality. Records containing the following information are confidential and may not be considered public records for the purpose of Title 1, section 402, subsection 3:

A. Information acquired by a state agency, municipality, district, private corporation, copartnership, association, fuel vendor, private contractor, individual or an employee or agent of any of those persons or entities, providing services related to authorized programs of the division or programs administered by community action agencies, when that information was provided by the applicant for those services or by a 3rd person; and [1995, c. 502, Pt. D, §14 (AMD).]

B. Statements of financial condition or information pertaining to financial condition submitted to any of the persons or entities set forth in paragraph A in connection with an application for services related to authorized programs of the division or programs administered by community action agencies. [1995, c. 502, Pt. D, §14 (AMD).]

[1995, c. 502, Pt. D, §14 (AMD) .]

2. Exceptions. Notwithstanding subsection 1, a person or agency directly involved in the administration or auditing of authorized programs of the division or programs administered by community action agencies and an agency of the State with a legitimate reason to know must be given access to those records described in subsection 1.

[1995, c. 502, Pt. D, §14 (AMD) .]

3. Waiver of protection. Nothing in this section may be construed to limit in any way the right of any person whose interest is protected by this section to waive in writing the benefits of protection.

[1991, c. 780, Pt. DDD, §14 (NEW) .]

4. Reports to State Government or Federal Government. Notwithstanding subsection 1, the division may make full and complete reports concerning its administration of authorized programs as may be required by the Federal Government, an agency or department of the Federal Government or the Legislature.

[1995, c. 502, Pt. D, §14 (AMD) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

22 §5329. RULES

The division shall adopt rules to carry out the requirements of this chapter. [1995, c. 502, Pt. D, §14 (AMD) .]

SECTION HISTORY

1991, c. 780, §DDD14 (NEW). 1995, c. 502, §D14 (AMD).

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ATTACHMENT C

Department of Health & Human Services

Mission & Responsibilities

Strategic Planning

DHHS Strategic Planning

The State of Maine and the United States are currently experiencing significant economic disruptions and how long and how deep this disruption will be is not predictable. What is predictable is that we will have more need than we can meet with current resources and service system delivery.

Governor John Baldacci's first inaugural proposal was to create a new agency by combining the resources of two Departments - Human Services and Behavioral and Developmental Services. As a result, the Department of Health and Human Services was born. Governor Baldacci's guiding direction was to create a system where access to services is easier, care is coordinated and costs are contained. DHHS is Maine's safety net for warmth, health access, and food and economic security during difficult, as well as prosperous, times.









The past four years have been a time of dynamic reshaping of Maine's human service delivery system to meet the Governor's vision while resources decline. This complex process will take years, requiring continuous attention to the interconnectedness of many diverse interests while simultaneously holding our vision of Maine people living safe, healthy and productive lives.

DHHS' supporting infrastructure needs to be easily accessible, well integrated and use best practices if we are to achieve the goal of a service system reflecting those same values. The current focus is on: expecting that individual programs deliver service outcomes; making decisions based on outcome data; energizing the workforce; engaging them in making the changes necessary to deliver the right service at the right time at the right cost; realigning our organizational resources to consolidate administration; directing diverse resources to focus specifically on priority initiatives; and heightening fiscal, program and regulatory accountability and alignment.

The current economic constraints put enormous stress on our resources and our ability to preserve Maine's safety net. Our 21st century challenge is to move beyond building "siloes" service systems. The 123rd Legislature gave the Department flexibility and support as a first step toward greater streamlining of services.

We will be working with clients, their families, providers and service partners and the Legislature to continue redesigning our system, focusing on the health and social service needs of Maine people.

Ongoing strategic improvements include:

-  ✓ Achieving budget initiative savings from Ch. 240 and Ch. 539: \$54 million in FY '08 and \$68.4 million in FY '09;
-  ✓ Realigning DHHS organizational resources to consolidate administration at all levels;
-  ✓ Implementing fiscal, program and regulatory alignment;
-  ✓ Implementing initiatives that reflect a safe, efficient and effective culture.
-  ✓ Recruiting, developing and retaining employees who are committed to ongoing education, knowledge development and DHHS values.
-  ✓ Designing and implementing multiple communication pathways.
-  ✓ Using data to adjust health and social service systems for improved health and quality of life;
-  ✓ Developing a comprehensive, collaborative, interagency-wide system capable of responding to increasing needs for early identification, assessment and treatment and long term support for persons with pervasive developmental disabilities, within available resources.

**DHHS strategies revolve around its clients
and are based on four key components.**

DHHS supporting infrastructure is easily accessible, well-integrated, and uses best practices.

Caring, responsive, and well-managed staff work in a safe, efficient, and effective culture.

Health and Human Services systems are easily accessible, well integrated and use best practices.

DHHS is a caring, responsive, and well-managed organization that communicates effectively.



ATTACHMENT D

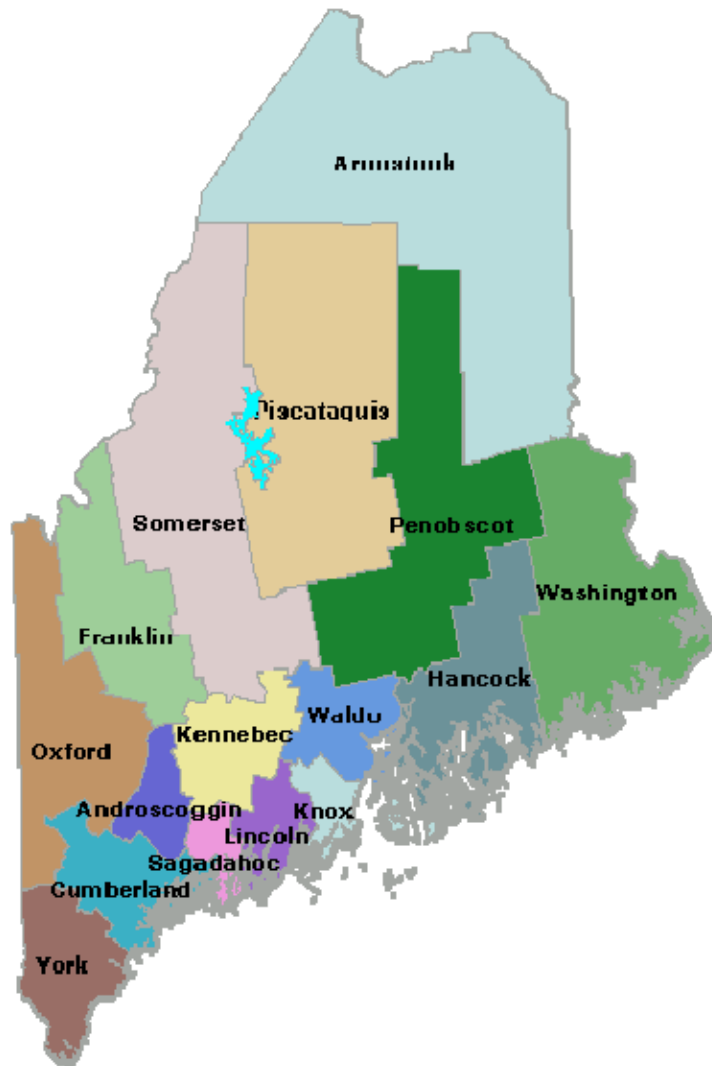
County Coverage Of Community Action Agencies State of Maine

MAINE COMMUNITY ACTION AGENCIES 2009 COUNTY COVERAGE

Community Action Agencies

COUNTIES

<p>Aroostook County Action Program, Midcoast Maine Community Action</p> <p>Community Concepts, Inc. Kennebec Valley Community Action Program Penquis</p> <p>People's Regional Opportunity Program Waldo Community Action Partners Washington Hancock Community Action Western Maine Community Action, York County Community Action Corp.</p>	<p>ACAP MMCA</p> <p>CCI KVCAP PENQUIS</p> <p>PROP WCAP WHCA WMCA YCCAC</p>	<p>Aroostook Sagadahoc & parts of Lincoln, Northern Cumberland, Knox & Waldo</p> <p>Androscoggin, Oxford & parts of Franklin Kennebec & Somerset</p> <p>Penobscot, Piscataquis, Knox & parts of Waldo & Lincoln</p> <p>Cumberland</p> <p>Waldo</p> <p>Washington & Hancock</p> <p>Franklin & parts of Androscoggin & Oxford</p> <p>York</p>
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ATTACHMENT E

Office of the Governor
Executive Order
April 13, 2009

An order to facilitate community partnerships and recommend efficiencies and simplification in the delivery of public benefits to help Maine weather the economic downturn



OFFICE OF
THE GOVERNOR

NO. _____ 29 FY 08/09
DATE _____ April 13, 2009

AN ORDER TO FACILITATE COMMUNITY PARTNERSHIPS AND RECOMMEND EFFICIENCIES AND SIMPLICIFICATIONS IN THE DELIVERY OF PUBLIC BENEFITS TO HELP MAINE WEATHER THE ECONOMIC DOWNTURN

WHEREAS, the current national economic forecast predicts a continued downward spiral; and

WHEREAS, working hard no longer assures that a family will be able to make ends meet; and

WHEREAS the combination of rising prices for basic needs and falling incomes has many families in an economic vise; and

WHEREAS, nearly one-third of Maine's population is living in or near poverty and this number will likely increase due to the prevailing economic environment; and

WHEREAS, Maine's front line public benefit workers are overburdened by growing caseloads; and

WHEREAS, upgrading existing application and eligibility procedures for public benefit programs would remove burdensome and outdated processes and increase federal dollars flowing into the state; and

WHEREAS, new technology exists that would eliminate duplication of effort, reduce unnecessary obstacles, and consolidate eligibility data between programs; and

WHEREAS, economic realities make it imperative to make the best use of new technologies and community partners; and

WHEREAS, one of the State of Maine's most important responsibilities and profound duties is to provide for the safety and security of all Maine people.

NOW THEREFORE, I, John E. Baldacci, Governor of the State of Maine, do hereby order the Commissioner of the Department of Health and Human Services to convene a work group to offer solutions that will increase Maine's share of available federal dollars by identifying and accessing untapped federal resources and streamlining and upgrading the procedures and

technology used to determine access to public benefits in the State of Maine, while assuring the integrity of those public benefit programs.

Purpose

In order to assist hard working families struggling in difficult economic times, the work group will convene a diverse group of individuals and organizations to identify and access federal dollars available to Maine to boost family resources and the State's economy. In addition, the work group will implement the necessary steps needed to update and coordinate community and statewide systems, including new technology to improve access, streamline administrative procedures and the delivery of services.

Membership

The work group shall be comprised of representatives from the following departments, agencies, consumer groups and community partners:

- The Commissioner of the DHHS or designee, who shall serve as Chair
- The Director of the Office of Integrated Access and Support or designee
- A representative from a municipal office responsible for the delivery of assistance to people in need and community health initiatives or designee
- A representative from an organization that represents the interests of seniors
- The Executive Director of the Disability Rights Center
- A representative of a statewide non-profit organization representing individuals with low income
- A representative from the Maine Community Action Association or designee

The work group may call on representatives from any government agency or other organization not otherwise represented on the work group to provide information or to participate fully in the work group when, in the work group's discretion, that representative has responsibilities or expertise in a particular area that would assist the work group in carrying out its duties.

The work group shall meet at times and places called by the Chair. Members of the work group shall serve without compensation.

Duties

Consistent with the purpose of this Executive Order, the work group shall:

- 1) Identify and implement additional opportunities to take advantage of federal resources available to help Maine people weather these difficult economic times and serve as economic stimulus in Maine.

- 2) Update, simplify and integrate eligibility and delivery systems, including technology, in order to streamline and expedite the application process and delivery of benefits as well as consolidate and improve coordination of existing programs.
- 3) Facilitate coordination among departments, agencies and community partners to create multiple points of entry to improve access to benefits and tax credits and eliminate redundancy in the eligibility determination and delivery systems for public benefits.

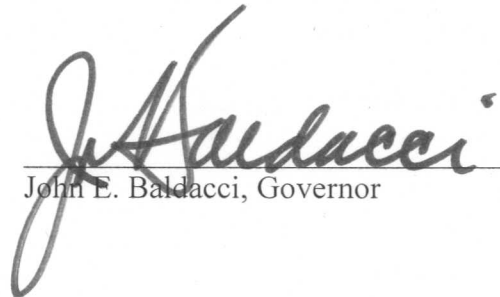
By June 1, 2009, the work group shall develop a timeframe by which the initiatives described in the above duties shall be implemented. By December 31, 2009, the work group shall provide a report to the Governor detailing the progress of its work, recommendations to the Governor, and any outstanding issues that the group will continue to examine.

Implementation Costs

The costs for implementing the duties included in this Executive Order shall be absorbed by the participating State agencies.

Effective Date

The effective date of this Executive Order is April 13, 2009.



John E. Baldacci, Governor

ATTACHMENT F

Community Action Agencies

Draft Plans for 2009 CSBG ARRA Funds



AROOSTOOK COUNTY ACTION PROGRAM

P.O. Box 1116
Presque Isle, ME 04769
Ph: 207-764-3721 or 1-800-432-7881
Fax: 207-768-3022

Memorandum

To: Christine Merchant
From: Connie Sandstrom
Date: May 5, 2009
Re: Draft Plan for 2009 CSBG ARRA Funds

Aroostook County Action Program, Inc.
2009 CSBG ARRA Allocation: \$505,566
Board of Directors Approval: Preliminary-April 23, 2009
Final-May 21, 2009

Draft Plan:

1. Case Management - \$232,566

Three case manager positions will be established with one each based in the northern, central, and southern regions of Aroostook County. Unemployment rates in Aroostook are very high. The national economic crisis, combined with an unusually high number of lumber mill closures and wide spread closures and reductions in force in local businesses have resulted in many dislocated workers who have never before been in a position of needing assistance. The case managers will help people identify needs and access appropriate services in the community to address their needs.

ROMA Goal#2:

The conditions in which low-income people live are improved

NPI 2.1 – Increase in, or safeguarding of, threatened opportunities and community resources or services for low income people in the community as a result of Community Action projects/ initiatives or advocacy with other public and private agencies.

ROMA Goal #6:

Low income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments

NPI 6.2 – The number of low income individuals or families served by Community Action who sought emergency assistance received services.

2. Infrastructure/Capacity Building - \$228,000

Resource Development. One new part time resource developer position will be created and will focus on resource development. \$53,000

Technology Development/Enhancement. ACAP will implement enhancements to its communication systems that will support increased connectivity. The agency will also initiate the process of developing a client data management system that will provide an integrated comprehensive central client data base. \$175,000

ROMA Goal #5:

Agencies increase their capacity to achieve results

NPI 5.1 – Agencies will increase the number of dollars mobilized by Community Action and increase their capacity to achieve results

3. Family Crisis Support Fund - \$25,000

This fund will be available to respond to emergency needs of families and individuals that require small amounts of money to address such needs as: monthly mortgage or rent payments to prevent foreclosure or eviction, adult dental emergencies, food, furnace repairs, child care that permits one search for a job, or automobile repairs.

ROMA Goal #6:

Low income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments

NPI 6.2 – The number of low income individuals or families served by Community Action who sought emergency assistance received services.

4. Oral Health Services - \$20,000

These additional funds will be used to compliment existing dental health funds and will help ACAP retain full-time status of a Community Education Specialist and a Registered Dental Hygienist, and to increase support staff hours. This will help avoid reduction of preventive dental services to targeted populations and ensure that all areas of Aroostook County, including 33 elementary schools, 13 WIC clinics, and 10 Head Start centers, are served.

ROMA Goal #2:

The conditions in which low income people live are improved

NPI 2.1 – Accessible and affordable health (dental) care services/facilities for low income people are created or saved from reduction or elimination.

TO: CHRISTINE MERCHANT

FROM: MIKE BURKE, INTERIM CEO

SUBJECT: DRAFT PLAN FOR CSBG ARRA FUNDS

DATE: MAY 5, 2009

BOARD APPROVAL DATE: MAY 12, 2009

CSBG ARRA ALLOCATION: \$617,683

1. Head Start Public School Partnerships \$50,000

We will fund a staff position to expand our highly successful Head Start and Public School Partnerships. We have one strong Public School Partnership in the Oxford Hills Area and are looking to form new partnerships in the Jay, Farmington and Rumford areas.

ROMA Goal 4. Partnerships among supporters and providers of service to low-income people are achieved.

2. Foreclosure Counseling \$80,000

Maine foreclosure rates have doubled in the past year and this funding will allow us to continue staffing an additional home ownership counselor during this economic downturn. We are approved HUD housing counselors and are having success working with lenders to renegotiate loans to help families stay in their homes.

ROMA Goal 2. The conditions in which low-income people live are improved.

3. Affordable Rental Housing \$69,750

This one time funding will be used to hire consultants to develop a long term business plan to move these projects toward financial sustainability. The funding will also help support staff time in the asset management area.

ROMA Goal 1. Low-income people become more self sufficient.

4. Leadership Development & Succession Planning \$50,000

This funding will allow us to restart our Leadership Institute to increase the capacity of our current and future leaders. With our aging workforce we will also develop a succession plan for board consideration.

ROMA Goal 5. Agencies increase their capacity to achieve results.

5. Energy Efficiency Development & Quality Control \$80,000

With the gear up of energy conservation services with Maine Housing Authority and Efficiency Maine there is a need to hire a staff position to develop energy technical services and act as a quality control position. This position was originally planned to be funded by a Technical Assistance Grant but Maine Housing backed out its support. This funding will help us gear up to assist the Governors initiative to weatherize Maine Homes.

ROMA Goal 2. The conditions in which low-income people lives are improved.

6. Customer Financial Literacy Education \$50,000

This funding will be used to create an education campaign to provide financial literacy education for our customers. We have seen an increasing numbers of people who are getting squeezed with sudden changes in consumer debt. We will be developing a program with our credit counselors to provide work out and long tern budgeting skills.

ROMA Goal 1. Low-income people become more self sufficient.

7. Family Support Case Management \$80,000

Our Family Support program has been on a roll-a-coaster ride due to a fluctuating state policy and continuous budget changes and this funding will allow us to stabilize staffing for a few months. We anticipate that a new program will be designed and put out to rfp and this will allow us to be competitive in the bidding. In these economic times “at risk” families need our help more than ever.

ROMA Goal 6. Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

8. Economic Development \$80,000

This will help stabilize future funding for our Western Maine Economic Development Council. This funding will support staffing and allow the program time to reach maturity and self sustainability. We will work to stabilize and create opportunities for employment in Oxford County.

ROMA Goal 2. The conditions in which low-income people live are improved.

9. Equipment Upgrades (Software / Hardware) \$37,933

This funding will support the growth of our customer services software as we move towards a “one stop shopping” model of providing intake services.

ROMA Goal 5. Agencies increase their capacity to achieve results.

10. Community Dental

\$40,000

CCI will contract with Rumford Community Hospital, Tri-County Mental Health Services, the River Valley Healthy Community Coalition and Community Dental (CD) to support the collaboration established with the opening of Community Dental's Rumford dental center in early 2008. This collaboration will provide an opportunity for low-income and uninsured individuals to receive comprehensive oral health care services and for their oral health care to be integrated with overall health care.

ROMA Goal 2. The conditions in which low-income people live are approved

**C A P**Supporting Individual Solutions to
Build Stronger CommunitiesKennebec Valley Community Action Program

TO: CHRISTINE MERCHANT
FR: PATRICIA KOSMA, CEO
RE: DRAFT PLAN FOR CSBG ARRA FUNDS
DA: MAY 22, 2009

Board of Directors Approval: Meeting scheduled for May 27, 2009
Kennebec Valley Community Action Program
CSBG ARRA Allocation: \$620,538

EARLY CARE & EDUCATION**\$183,364**

Educare Development (ROMA Goal 2)

- For the development and implementation of Educare Maine (to be located in Waterville, Maine), including management, public relations, resource development, program implementation, community partnership development, etc.

Head Start Transportation Stipends (ROMA Goal 1)

- 250 families will access this stipend to eliminate transportation as a frequently cited barrier to participating in Head Start services.

Alfond Youth Center After School Child Care (ROMA Goal 2)

- Assist with providing high quality after school care at the Alfond Youth Center in Waterville. This program serves 187 low income children per day (220 total). This project preserves these slots for low income families who need child care in order to maintain employment. This collaboration will foster a seamless and quality transition from preschool to after school care for children who utilize Head Start and/or Educare.

Skowhegan Before/After School Child Care (ROMA Goal 2)

- Assist with providing high quality before and after school child care for up to 20 children in grades K through 4 at Skowhegan Elementary School. These working families need child care in order to maintain employment.

HOME VISITATION/CASE MANAGEMENT**\$87,227**

Healthy Families/Home Visitation (ROMA Goal 6)

- Provide in-home visitation, education, information, referral, and case management to first time families. Two home visitor positions will be saved from reduction and/or elimination as well as retaining essential services for 50 at-risk families.

TRANSPORTATION SERVICES**\$47,137**

Kennebec and Somerset Transit/Move More Kids (ROMA Goal 2 & 6)

- Expansion of public transit with a focus on commuter services and access to Career Center facilities to enhance employment opportunities and reduce transportation as a barrier to employment. Additional services will be developed for access to after school activities for youth.

EMPLOYMENT SERVICES**\$105,952**



KenSom Transition Team Coordinator (ROMA Goal 1)

- Hire staff to coordinate the Transition Team in Somerset and Kennebec Counties; provide case management support to laid-off workers; and assist with coordinating and recruiting for Work Ready programs. Also supports the implementation of one Work Ready Program.

Greater Waterville Business & Career Resource Ctr. (ROMA Goal 2)

- Collaborate with Waterville Public Library to enhance employment resources for adults. In addition, the KenSom Transition Team Coordinator will provide employment support to Library staff.

ENERGY & HOUSING SERVICES

\$61,404

Homebuyer Case Management (ROMA Goal 6)

- Hire staff to provide education and case management during and after a home purchase for up to one year post-purchase; to work with new homeowners to educate on and assist with household/financial management as well as work in conjunction with the Home Inspection Program to incorporate energy efficient improvements and upgrades

RESOURCE DEVELOPMENT

\$115,454

Resource Development Director (ROMA Goals 4 & 5)

- Funds a portion of a Resource Development Director. This position will be responsible for identifying potential funding, building relationships with funders (private/public), conducting fundraising and public relation activities, and providing technical assistance to programs.

CSBG Administrative Assistant/Data Collection

- Funds a portion of staff to develop a more comprehensive system for collecting, tracking, monitoring, and reporting CSBG data and outcomes.

DENTAL

\$20,000

KVCAP will collaborate with the Kennebec Valley Dental Coalition, which has operated the Community Dental Center (CDC) in Waterville since 1999. The CDC's mission is to improve access to quality oral health care services targeted towards low income, uninsured, underinsured and MaineCare eligible populations throughout Central Maine.

cc: Mark Johnston, Chief Financial Officer, KVCAP
Suzanne Walsh, Community Services Director, KVCAP

Date: May 7, 2009 (Revision)
To: Christine Merchant
FROM: Jessica Tysen, Executive Director

Board of Trustees Approval Date: May 5, 2009
CSBG ARRA Allocation: \$410,578

1) Family Development Case Management Expansion \$101,553

- ❖ Description:
Expansion of Family Development Case Management services in three areas:
 1. Advocacy and support for families affected by Reentry (parent returning to family from incarceration)
 2. Family Development service continuity for families with children leaving Head Start
 3. Families CAN Parenting Classes for families affected by economic hardship
- ❖ Staff Additions
 1. One full-time Case Manager
 2. 25% of Operations Manager
 3. 2 part-time Social Work Interns
 4. One LCSW Clinical Consultant (120 hours)
- ❖ ROMA-Results Oriented Management and Accountability
Goal 2: The conditions in which low-income people live are improved
Indicator 2.d: Increase in access to community services and resources by low-income people.

2) Housing Counseling Program Expansion \$32,000

- ❖ Description:
Expansion of Housing Counseling services to coordinate:
 1. On Call Information, referral, and service advocacy
 2. Emergency/crisis assessment
 3. Distribution of emergency funds for housing emergencies (heat, rent, security deposit, temporary shelter, mortgage, utilities)
 4. Life skill development (budgeting, advocacy skills)
 5. Follow up contact and support
- ❖ Staff Additions
 1. One full-time Intake Specialist
- ❖ ROMA
Goal 6: Low Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems.
Indicator 6.2.B: Emergency vendor payments, including fuel and energy bills and rent/mortgage payments

3) WIC Services Expansion \$55,000

- ❖ Description:
Expansion of WIC services to provide additional coverage:
 1. Establish and maintain Outreach Clinic in Whitefield
 2. Establish and maintain Outreach Clinic in Topsham
- ❖ Staff Additions
 1. One full-time Nutrition Specialist or Nutrition Counselor
 2. One part-time Nutrition Specialist or Nutrition Counselor (staff retention)

- ❖ ROMA
 - Goal 6: Low Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems.
 - Indicator 6.3.A.2: Infant and child health and physical development are improved as a result of adequate nutrition

4) Housing and Energy Efficiency Enhancement \$95,775

- ❖ Description:
 - Resources will be used to provide staff support for MMCA’s affordable rental housing for homeless individuals and families. This will include tenant recruitment and eligibility certification, property management, and repairs.
- ❖ Staff Additions
 1. 60% of 2 Estimator Inspectors
 2. 25% of Housing Services Property Manager
- ❖ ROMA
 - Goal 2: The conditions in which low-income people live are improved
 - Indicator 2.1.C: Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy.

5) Community and Family Support \$100,000

- ❖ Description:
 - Resources and funding will be made available to families that address barriers to employment and career development:
 1. Child Care funding for parents seeking employment (Resource Development Center referrals)
 2. Funding for Transportation Support (car repair, insurance, license and registration renewal)
 3. Funding for Other Resources that support self-sufficiency
- ❖ Staff Additions
 1. 25% of Operations Manager
- ❖ ROMA
 - Goal 1: Low Income People Become More Self Sufficient
 - Indicator 1.2.E: Obtained care for child or other dependent in order to gain or maintain employment
 - Indicator 1.2.F: Obtained access to reliable transportation and/or driver’s license in order to gain or maintain employment

6) Infrastructure/Equipment Investment \$26,250

Item	Amount	Percent of Total
Staff Computer Replacements	\$10,000	2%
Housing & Energy Audit Equipment	\$11,250	3%
WIC Telephone System Replacement	\$5,000	1%
Total	\$26,250	7%

Summary

Project	Estimated Cost	Percent of Total
One: Family Development Case Management Expansion	\$101,553	25%
Two: Housing Counseling Program Expansion	\$32,000	8%
Three: WIC Services Expansion	\$55,000	13%
Four: Housing and Energy Efficiency Enhancement	\$95,775	23%
Five: Community and Family Support	\$100,000	24%
Infrastructure/Equipment	\$26,250	7%
Total	\$410,578	100%

ROMA GOAL 5

Agencies improve their Capacity to Achieve Results

Indicator: 5.1

Measure: Successful implementation of improved software resulting in a fully integrated human resources, benefits and payroll management system.

3. Partial support for two certified Loan Officers to provide foreclosure prevention counseling, financial crisis counseling, and technical assistance for small business start-ups and expansions. \$41,031

GOAL 1

Low-income People Become More Self-Sufficient

ROMA GOAL 3

Low-Income People Own a Stake in Their Community

Indicators 1.3, 3.2

Measure: The number of Home Owners that maintain ownership after the threat of foreclosure and the number of families facing financial crisis emerge with manageable budgets. The number of individuals who successfully complete business class, start or expand business.

4. One Development Coordinator to sustain/expand Penquis' success in diversifying its funding base and attracting new dollars to address a broad array of personal and community needs that impact low income people. \$109,393

GOAL 5

Agencies improve their Capacity to Achieve Results

Indicator: 5.1

Measure: Penquis will establish sustaining private revenues that will broaden the resource base and enhance the capacity to meet community needs of low-income individuals and families.

5. Two Regional Managers to be housed in the Rockland and Dover-Foxcroft offices. The Regional Managers develop enhanced community partnerships; assess community need; participate in community planning and program development; provide on-site monitoring of Penquis operations within that county and provide resource and referral to community professionals, individuals and families. They will also be responsible for continuing the local Transition Teams established in partnership with the congressional delegation staff to respond to job loss and provide resource development for laid off workers. These positions will be placed in corporate services and report to the Deputy Director. \$258,729

ROMA GOAL 4 and 2, The Conditions in which Low Income People Live are improved Partnerships among supporters and Providers of Services to Low-Income people are achieved.

Indicators 2.1 3.2, 4.1, 6.1

Measure: Increased linkages to resources for low-income individuals and families will lead to improved well-being as measured by a self-sufficiency scale.

Increased Presence in the community will assist staff and community board members to identify community needs and develop services which meet those needs. Increased partnerships and memorandums of understanding will result in improved services to low income individuals and families. Increased contact with low-income individuals will increase opportunities for participation in their communities.

6. Two Family and Community Support Specialist to be located in Northern Penobscot and the Bangor office and be responsive to community, individuals and family needs as they relate to improving the lives of low-income people and preventing a decline in their well-being. \$140,082

ROMA Goals 2 & 6

The conditions in which low-income people live are improved Low-income People, Especially Vulnerable Populations, Achieve Their Potential by strengthening Family and Other

Indicators: 2.1, 6.3

Measure: Increased linkages to resources for low-income individuals and families will lead to improved well-being as measured by a self-sufficiency scale.

In addition Penquis will use the \$ 91,350 contract with individuals to provide us their expertise and guidance:

7. Penquis will use \$10,000 to enhance our Information services with the purchase of a new telephone system that directly connects the Bangor, Dover-Foxcroft, Lincoln and Rockland offices. This is for equipment and consulting.

ROMA Goal 5

Agencies increase their capacity to achieve results

Indicator: 5.1

Measure: The completion of an enhanced telephone system will result in improved communication between agency staff and clients served.

8. Penquis will use \$76,350 to engage one Quality Improvement Manager Consultant to provide an objective and thorough assessment of program operations, customer satisfaction and contractual obligations in order to develop on-going systems that measure and improve the quality of Penquis services and assure compliance with new federal anti-fraud requirements.

9. Penquis will set aside \$5,000 for direct cash benefit to families who are experiencing distress for which Penquis staff can find no other relief/response.

ROMA Goal 5

Agencies increase their capacity to achieve results

Measure: Agency systems for program measurement will be improved and service improved for clients.

10. Penquis will purchase HP Proliant DL380 G5 Server \$19,748, HP 24 Port Switch Module \$2,122, and operating software \$6,129 to advance our capability to allow employees to work remotely from home and from satellite offices with secure connections. The purpose is to enhance program efficiency, prepare for absenteeism due to an epidemic or pandemic situation, protect confidentiality, and to prepare and respond to current and future office space shortages. This is for equipment and consulting.

ROMA Goal 6

Low-income People, especially vulnerable Populations, Achieve Their Potential by Strengthening Family and Other

Indicator: 6.2

Measure: Individuals and families facing unmet emergency need will be provided assistance to bridge their circumstance while planning for the future is done.



Memo

510 Cumberland Avenue, Portland, Maine 04101
207 553-5800 | wherepeoplecomefirst.org

Date: May 6, 2009, 2009

To: Christine Merchant

From: Suzanne McCormick

RE: Draft Plan for CSBG ARRA Funds

Board of Trustees Approval Date: April 29, 2009
Peoples Regional Opportunity Program
CSBG ARRA Allocation \$587,578

Draft Plan:

1) Children's Oral Health Program- \$38,000

PROP will collaborate with the City of Portland's Children's Oral Health Program (COHP) to support the case management services provided by the COHP that link families to dental care, assisting school nurses and school personnel in obtaining needed dental care for school children. The COHP is able to have children with urgent treatment needs (with pain and/or abscess) referred and seen almost immediately through the Just Take One (JTO) program or by Community Dental at its Portland center. Children with non-urgent needs are also seen. CSBG funds will be used to support this work and will preserve at least one full-time staff position, and potentially part of another through alleviating the need to reallocate funds and job responsibilities.

ROMA Goal #6:

Low-income people achieve their potential by strengthening family and other supportive systems –

Measure 6C: Number of households in crisis whose emergency needs are ameliorated.

Measure 6I: Number of households indicating improved family functioning since participating in the services or activities of the agency.

ROMA Goal #4:

Partnerships among supporters and providers of services to low-income people are achieved -

Measure 4D: Other outcome measure(s) specific to the partnerships created by local agencies.

2) Case Management - \$200,000

Three full-time case managers will serve as an internal resource for agency staff and clients needing additional support. Outreach will focus on engaging families that are receiving WIC and LIHEAP services in supplemental services of the agency and in the community. Two case managers will serve the Portland-based service center and one will concentrate on Windham and the Lakes Region.

ROMA Goal #2:

The conditions in which low-income people live are improved –



Memo

510 Cumberland Avenue, Portland, Maine 04101
207 553-5800 | wherepeoplecomefirst.org

Measure 2D: Increase in access to community services and resources by low-income people.

ROMA Goals #6:

Low-income people achieve their potential by strengthening family and other supportive systems –

Measure 6C: Number of households in crisis whose emergency needs are ameliorated.

Measure CH: Number of households moving from cultural isolation to involvement in their cultural community

3) Client Information Management Infrastructure - \$235,578

A comprehensive client information management system will be identified, developed and implemented for use by all agency programs resulting in an unduplicated count of agency clients, demographic data, accurate counts of agency and program outputs and basic outcome results.

ROMA Goal #5:

Agencies increase their capacity to achieve results -

Measure 5D: Number of programs which have become more effective as a result of research and data (their own as well as others)

4) Child Mental Health Program Expansion - \$75,000

The existing agency Child Mental Health Program, operating out of Child and Family Services, will be supported in a targeted expansion of services. Funds will allow for personnel support during start-up phase of expansion with the intention that the position will become self-sustaining. 45-60 additional children will be engaged in critical mental health services.

ROMA Goal #6:

Low-income people achieve their potential by strengthening family and other supportive systems –

Measure 6C: Number of households in crisis whose emergency needs are ameliorated.

Measure 6I: Number of children whose mental health needs are identified and met.

5) Temporary Childcare Scholarships - \$39,000

Four (4) childcare slots will be held for families who have a temporary or emergency need for childcare while looking for employment. Currently many families do not qualify for subsidized slots because they are not working. However, without childcare, they are unable to look for employment. These slots will offer childcare solutions until they are able to move into a regular slot.

ROMA Goal #1:

Low-income people become more self-sufficient.

Measure 1B: Number of participants maintaining employment for a full twelve months.

ROMA Goal #6:

Low-income people achieve their potential by strengthening family and other supportive systems –

Measure 6C: Number of households in crisis whose emergency needs are ameliorated.



PO Box 130, 9 Field Street, Belfast, ME 04915-0130
Phone: 207.338.6809 FAX: 207.338.6812 Website: www.waldocap.org

Joyce C. Scott
Executive Director

Date: May 6, 2009

To: Christine Merchant

From: Joyce Scott

RE: Draft Plan for CSBG ARRA Funds

Board of Directors Approval Date Pending: May 7, 2009

Waldo Community Action Partners

CSBG ARRA Allocation \$365,160

Draft Plan:

1) Dental Services - \$43,000

Full time Dental Coordinator for one year with additional \$5,000 for direct services.

ROMA – Results Oriented Management & Accountability Goal 2: Conditions in which low-income people live are improved

2) Transportation Enhancements - \$31,588

- 3) WCAP runs the only public transportation program in the county and presently one of the greatest difficulties we have is capacity. Currently we support the taxi companies in the neighborhood of \$12,932.83 per month. If we are able to purchase two vehicles we can hire two more full time drivers to meet the need that we currently have for Medicaid transportation. Medicaid requires the client not be refused even if we have no available vehicles. We must then find other avenues. Taxi is the most expensive mode of transport for the tax payer to support and yet without vehicles we cannot expand to meet the need. A round trip provides WCAP with an agency and a base rate to provide the service that is not available to us when we refer to a cab company. Any services that we set up with Taxis have no reimbursement to the agency for this service. We feel the need would support jobs for the two more drivers.

We are requesting funding to update our very obsolete transportation dispatch system that, while it continues to work, it is likely costing us a full time employee who could be better used to enhance quality of services. The system has been functioning well over twenty years.

ROMA Goal 2: Conditions in which low income people live are improved



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Phone: 207.338.6809 FAX: 207.338.6812 Website: www.waldocap.org

Joyce C. Scott
Executive Director

4) Comprehensive Management of Volunteers - \$55,000

A Volunteer Coordinator to assist in development of a comprehensive recruitment and management program for Volunteerism from the Board Members to the Head Start parents and the volunteer driving systems in the Transportation programs.

ROMA Goal 3: Low-Income people own a stake in their community.

5) Client Resource Development and Coalition Building - \$57,000

A Community Coordinator to develop stronger resource connections with the Community in partnerships, collaborations, and possible mergers with smaller non-profits as well as management of existing school and Home Start collaborations. A Speaker's Bureau to strengthen the community resources in the areas of budgeting, credit counseling, parenting, nutrition, Health, etc. We presently have over ninety agreements and we feel strongly that more attention would net many opportunities that could be explored and developed for the families within the county.

ROMA Goal 2: Conditions in which low income people live are improved

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved

6) Capacity Building - \$143,572

We are lacking critical equipment that will keep us both efficient and effective. We are also in great need of secession planning and capacity building. The Board of Directors has taken on the process of Pathways to Excellence in order to inform the development of a five year plan for the organization that will consider the retirement and replacement of an Executive Director as well as to assure clarity and purpose of mission. A planner/developer position to assist with this planning process as well as to develop systems to integrate the new funding streams in the program areas.

In keeping with the need to strengthen our capacity in case management for our young Head Start families, we need lap top computers for the Family Advocates and Teachers and for the Outreach staff in the agency to use for the balance of our population served by Home Visits and case management services.

We have added dollars to support Education for Clients for available services by further development of our Web Site, our annual reporting capacity, and the development of an agency video.

ROMA Goal 5: Agencies increase their capacity to achieve results

7) Strengthening Family Support Systems - \$35,000

A receptionist position for the Outreach office to assist with the increased demand for services due to the economic downturns.

Waldo Community Action Partners



PO Box 130, 9 Field Street, Belfast, ME 04915-0130
Phone: 207.338.6809 FAX: 207.338.6812 Website: www.waldocap.org

Joyce C. Scott
Executive Director

The creative curriculum outcomes software has not been available to us in our present budget but it augments the six Pre-K classrooms that we operate in conjunction with three of the county School Districts and would provide much needed efficiency in providing this valuable information.

Head Start tracking software system (PROMIS) is utilized and the program has been unable to train the people to use it for lack of resources. We have included funding for this option.

ROMA Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other support systems.



Memorandum

To: Christine Merchant
From: Tim King, executive Director
Date: June 25, 2009
RE: WHCA Plan for 2009 ARRA Funds

CSBG ARRA Allocation for WHCA: \$490,513
Board of Directors Approval Date: June 30, 2009

Project Title and Description

Cost

Senior Safe Project \$28,375
 WHCA has a small program that does minor repairs to homes of low-income senior citizens in order that they may continue to live in their homes. Existing programs are insufficient to address these projects. WHCA raises some of the funds for this project through local fund-raising. These funds will allow us to do about 15-25 more homes.
Goal 2: The conditions in which low income people live are improved
 Measure 2.1.D – Community Improvement and Revitalization – Increase in, and safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies as measured by (D) safe and affordable housing units within the community preserved or improved through construction, weatherization, rehabilitation achieved by Community Action activity or advocacy.
Goal 6: Low income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.
 Measure 6.1.A: The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services - Senior Citizens.

Home Repair Partnership (NHNeighbors/Seacoast Mission) \$85,125
 WHCA will hire a person to be a Rehab Tech Specialist to assist local volunteer groups that do modest repairs to lower-income homes in the two-county area. Local faith-based groups work with summer group work camps to undertake lesser repairs to the homes of lower-income families, doing everything from painting, to roof replacements, to wheel-chair ramps. The program has pretty good results each year but is hampered by a couple of challenges. There is no single person with building construction experience to provide the significant time needed to coordinate the project. Even though the group work camps raise some money to pay for building materials, additional money is needed to pay for a variety of costs (volunteer mileage, skilled labor, materials, tools, waste disposal).

People helping people





Goal 2: The conditions in which low-income people live are improved
Measure 2.1 D – Community Improvement and Revitalization – Increase in, and safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies as measured by safe and affordable housing units within the community preserved or improved through construction, weatherization, rehabilitation achieved by Community Action activity or advocacy.

Washington County Dental Collaborative \$25,000
WHCA will support a growing collaboration between the Washington County Children’s Program (WCCP) in Machias and Downeast Health Services (DEHS) in Ellsworth to enhance the delivery of dental services to uninsured children and MaineCare members in Washington and Hancock Counties. CSBG funding will enhance the ability of both agencies to build on their existing relationship, and support the delivery and coordination of existing oral health activities in both counties, particularly for low-income and MaineCare eligible children. The capacity for referrals for children identified with unmet dental needs is seen as a key benefit of this collaboration. DEHS expects to increase portable hygiene services by at least three days per month, providing preventive oral health services to an estimated additional 30 children. WCCP will be able to preserve the two full-time dental hygienist positions (as well as their support staff) who provide the services of the WCCP’s Oral Health Program, and alleviate the need to reallocate funds and job responsibilities.

Goal 2: The conditions in which low-income people live are improved
Measure 2.2 C – Community Improvement and Revitalization - The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by (C) increase in the availability or preservation of community services to improve public health and safety.

Family Assistance Advocate \$56,750
Many lower-income families are confronted with a variety of problems and do not know where to go for help. They often have difficulty working through the “system.” The Family Assistance Advocate would be the initial contact person to help families connect with services. This position would function much like a “case worker.”

Goal 2: The conditions in which low-income people live are improved
Measure 2.C.: Increase in the availability or preservation in community services to improve public health and safety.

Family Crisis Support Funds \$28,375
Many low-income families are confronted with a variety of financial crises that a small amount of money (\$100-\$1000) could address. This could be such things as a mortgage payment to forestall foreclosure, payment of a month’s rent, a food voucher, furnace



repair, 100 gallons of fuel, etc. Setting up a pool of funds to be used for emergencies during this economic crisis would be valuable.

Goal 6: Low income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Measure 6.2: Emergency Services A-I – The number of low-income individuals and families served by Community Action who sought emergency services.

Low Income Advocacy Project

\$10,138

Utilize a new or existing staff person to recruit and train lower-income clients to advocate for themselves. Costs would be 1) some staff time, 2) mileage for staff and clients, 3) meal costs, 4) training.

Goal 3: Low-income people own a stake in their community

Measure 3.2.D: Community empowerment through maximum feasible community participation – The number of low-income people mobilized as a direct result of Community Action initiative to engage in activities to support and promote their own well-being and that of their community as measured by (D) the number of low-income people engaged in non-governance community activities or groups created by Community Action.

Customer Service Representative

\$20,000

Provide initial intake services and appropriate referrals for general calls to the agency and for walk in customers.

Goal 5: Agencies increase their capacity to achieve results.

Financial Literacy

\$20,000

The WHCA Needs Assessment and other research have demonstrated the lack of financial literacy among low-income families. This project will provide financial literacy training to youth and adults in conjunction with other agency programs.

Goal 1: Low-income people become more self-sufficient – 3. Economic Asset Enhancement and Utilization

Senior Services

\$56,750

The number of older adults continues to increase in Down East Maine because of aging baby-boomers, retirees, and individuals living longer. Like other areas of the country most of these individuals desire to "age in place." Therefore the demand for home-based services for the elderly is becoming an increasing area of demand and need. Rural areas of the state confront many service deficits. The Senior Services Specialist will identify sub-county regional service needs and work with community-based groups to develop local assets to address the need.

Goal 2: The conditions in which low-income people live are improved.



Measure 2.1: Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Actions projects/initiatives or advocacy with other public and private agencies.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Measure 6.1.A: The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services - Senior Citizens.

Technical and Development Assistance to create an Adult Day Service in Washington County \$28,375

Conduct research and provide resource development and technical assistance to identify a location in Washington County and plan for implementation for an Adult Care Services program based on the Hancock County Friendship Cottage model.

Goal 2: The conditions in which low-income people live are improved.

Measure 2.1: Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Actions projects/initiatives or advocacy with other public and private agencies.

Community Outreach and Information and Referral \$10,000

Expand community outreach and increase information and referral of existing Community Action programs and additional services as a result of ARRA resources.

Goal 5: Agencies increase their capacity to achieve results.

Business Loan Officer \$56,750

The Downeast Business Alliance (DBA) of WHCA has a number of small loan pools for micro-enterprises and smaller businesses.

DBA needs a full time business loan officer to focus energy on properly disbursing Agency JobStart and EDM loan pools which currently stand at about \$225,000.

Goal 1: Low-income people become more self-sufficient

Measure 1.1: The number and percentage of low-income participants in Community Action employment initiatives who get a job or become self-employed as measured by (A) unemployed and obtained a job.

Goal 2: The conditions in which low-income people live are improved

Measure 2.2 D – Community Quality of Life and Assets – The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by (D) an increase in the availability or preservation of commercial services in low-income neighborhoods.

Measure 2.4: Employment Growth from ARRA Funds – The total number of jobs created or saved at least in part by ARRA funds, in the community. A. Jobs created at least in part by ARRA funds; B. Jobs saved at least in part by ARRA funds.



Goal 3: Low-income people own a stake in their community

Measure 3.2 B – The number of low-income people mobilized as a direct result of Community Action initiative to engage in activities that support and promote their own well-being and that of their community as measured by (B) the number of low income people acquiring businesses in their community as a result of Community Action assistance.

Technical and Development Assistance to Food/Farm Businesses \$28,375

In recent years value-added food production businesses and small farms have sought assistance from WHCA to improve the business aspects of their operations so they can grow their micro-enterprises and create and sustain jobs for themselves and others. WHCA will help them identify ways they can expand their businesses to retain and create jobs.

Goal 2: The conditions in which low-income people live are improved.

Measure 2.1.A. Increase in, or safe guarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Actions projects/initiatives or advocacy with other public and private agencies, as measured by (A) Accessible “living wage” jobs created or saved from reduction or elimination in the community.

Measure 2.2.D. The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by an increase in the availability or preservation of commercial services within low-income neighborhoods.

Measure 2.4: Employment Growth from ARRA Funds – The total number of jobs created or saved at least in part by ARRA funds, in the community. A. Jobs created at least in part by ARRA funds; B. Jobs saved at least in part by ARRA funds.

Transportations Services Training \$36,500

Training will include Passenger Assistance for new drivers; safety and security training for drivers; child care safety seat installation and inspection; blood borne pathogen for drivers; certified dispatchers training; financial updates for management (A122, MAAP); Maine State Vehicle Inspection training; defensive driver training for new drivers; customer service; and training to dealing with people with mental illness.

Goal 5: Agencies increase their capacity to achieve results



Western Maine Community Action

P.O. Box 200, East Wilton, Maine 04234
(207) 645-3764 / 1-800-645-9636 Fax (207) 645-9604

www.wmca.org

Date: May 1, 2009
To: Christine Merchant
From: Fenwick L. Fowler
RE: **Draft Plan for WMCA CSBG ARRA funds**

Board of Directors Approval Date: May 19, 2009
Western Maine Community Action
CSBG ARRA Allocation \$348,290

Draft Plan:

WMCA has a unique opportunity to help this region recover from the economic downturn. We are the experts in energy conservation, employment and training, and have strong programming in health. We are known to be a valuable resource to our communities and to be sensitive to their varying needs. We need to take full advantage of the resources provided by ARRA with sustainability in mind. We need to understand our new customer--customers that never have been in our system before. What is it that they currently need, will need in the future, and how can we best serve them so they are as independent as possible? The areas of focus this year will be on **resource development, data management, case management, community outreach and internal reorganization**. These areas will need an investment of dollars and a commitment from the Board to pursue.

1. Resource Development \$80,036

Additional Staff: 1 full time Development Director - CSBG portion 75%

WMCA needs to hire a Development Director that will initially focus on ARRA resource development and then spread into private grant writing and fundraising. This effort will take at least two years to be successful. The position should be well paid and advertised statewide to select the best candidate. The position will be supportive of developing WMCA as a brand and creating opportunities for the Board, Program Managers and the Executive Director in selling the Brand. Now is the time to make this investment.

ROMA Goal #5: Agencies increase their capacity to achieve results.

Measure 5.1 Broadening the Resource Base

A. Community Services Block Grant (ARRA)

2. Data Management \$58,743

Additional Staff: 1 part time IT Specialist – CSBG portion 20%

WMCA and all social services struggle with being able to coordinate data from different programs. A customer in WIC should be a customer in LIHEAP, and may be a good candidate for service through our Career Centers. We need to focus on a system that shares data to help us seamlessly refer a customer through our areas of programming and help them become independent as quickly as possible. This takes a considerable amount of work at the local level and special skills to research and compare client data bases, and an investment in computer software and hardware for integration.

ROMA Goal #5: Agencies increase their capacity to achieve results.

Measure 5.1 Broadening the Resource Base

D. Number of programs which have become more effective as a result of research and data

A United Way Agency / Equal Opportunity Employer

It is our mission to advocate for, strengthen, and coordinate all resources – private, local, state and federal — that will assist us in promoting the self sufficiency and independence of people.

3. Case Management \$197,301

Additional Staff: 4 full time Case Managers – CSBG portion 100%

WMCA needs to focus on creating an integrated case management system that supports all programs and promotes the seamless referrals to services by our customers. The Case Managers of the future will be located in call centers where they respond to incoming calls of families in need and make outgoing calls to follow up with families on their plan for independence. This integrated system would be available to assist WMCA to respond to crisis calls from LIHEAP customers during the cold snaps, Career Center Staff during big layoffs or temporary shutdowns, or make outgoing calls to WIC customers who have missed an appointment and need to be rescheduled. The integration and implementation of data technologies, the development of a staff who understands all programs, and developing skills for staff to market services to customers who may not know they need the service or that it exists. Senior Management will be developing a model and plans on how this can work at WMCA with new ARRA resources.

ROMA Goal #2: The conditions in which low-income people live are improved—
Measure 2d. Increase in access to community services and resources by low-income people.

4. Housing and Energy Program \$12,210

Additional Staff: 1 full time Program Manager Housing – CSBG portion 20%

Energy conservation services are expanding fivefold in the next year. We are planning now how we deliver services that are sustainable and affordable over the long term. Temporarily I am supervising two housing and energy conservation staff, have expanded that staff and moved them to the Church street location. This team of two is currently training five new staff to support the weatherization of over 200 homes in the next year. We are now focused on building staff capacity and community capacity to get the immediate job done. WMCA will hire a new Housing and Energy manager this summer. The new manager will be responsible to supervise the program's evolution and expand our programming to include a strong emphasis on integrating energy, housing and community development resources in our future work

ROMA Goal #2: The conditions in which low-income people live are improved—
Measure 2d. Increase in access to community services and resources by low-income people.



**TO: Christine Merchant, Supervisor, Community Services Unit
Office of Child & Family Services/DHHS**

DATE: May 12, 2009

**DRAFT PLAN FOR CSBG ARRA FUNDS
York County Community Action Corporation
Board of Directors Approval Date: April 16, 2009
CSBG ARRA Allocation: \$ 490,773**

(1) York County Community Health Care- Second Nurse Practitioner: \$ 162,988

YCCAC will employ a Family Nurse Practitioner in our Health Center . The FNP will provide primary care services to patients who would otherwise lack access to medical services. The Health Center targets its services primarily to patients who are, or recently have been, homeless and to patients who reside in publicly funded housing. Patients who are uninsured receive services on a sliding fee basis. The FNP will provide services to approximately 1,050 patients during the project period. Of these, we expect 30% will be uninsured, many of them due to layoffs related to the economic downturn. Increasing access to primary health care for low income patients will pay dividends in both the short and long term. Uninsured and underinsured patients frequently defer essential care until the underlying health problems can no longer be ignored. Often, deferred medical care ultimately results in more costly inpatient care, which burdens the health care delivery system and traps the patient with medical bills that they may not be able to pay, even after rejoining the job market. In addition to helping 1,050 low income patients who will receive care, the project will create a job for a mid-level practitioner. This includes \$ 10,880 for licensing fees and technical support.

ROMA GOAL # 1: Low-Income People Become More Self-Sufficient

Measure 1.2.G – Obtained health care services for themselves or a family member in order to support family stability needed to gain or retain employment.

**ROMA Goal # 2: The Conditions in Which Low-Income People Live are Improved
Measure 2.1. D – Accessible and affordable health care services/facilities for low-income people created or saved from reduction or elimination.**

(2) Housing and Foreclosure Counselor: \$ 28,288

A part-time staff person will be hired to conduct housing counseling client intakes and to provide client and staff support by conducting clerical and other administrative duties. Our service delivery area has three of the top ten municipality foreclosure rates, Sanford being number one. Housing staff have been inundated with requests for assistance, and have extensive waiting lists for return calls. This is a HUD approved counseling program and therefore must meet all applicable HUD guidelines. It should be noted that a review of client data from our housing foreclosure counseling program over the past four years indicates that all but one individual out of one thousand had incomes less than 200 percent of poverty.

**ROMA GOAL # 1: Low Income People Become More Self-Sufficient
Measure 1.2.H – Obtained safe and affordable housing in order to achieve greater family stability in support of gaining or retaining employment.**

**ROMA Goal # 2 The Conditions in Which Low-Income People Live are Improved
Measure 2.1. C Number of safe and affordable housing units preserved or improved through construction, weatherization or rehabilitation.**

(3) Access to Justice: \$ 30,340

This program helps self-represented litigants prepare for court, and educates them about the judicial system and legal/court-related issues pertaining to family law. Community action agencies are a natural partner in the effort to assure access to justice for those in poverty, as we are already known as sources of information, referral and advocacy within our communities, and connect individuals to a comprehensive network of resources to assist them toward self-sufficiency. This will fund the portion of the position not covered by the Maine Civil Legal Services Fund.

**ROMA Goal # 6 Low-Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems
Measure 6.2.F Legal Assistance**

(4) The CASH Campaign: \$ 47,923

This would provide funding for the CASH Campaign Coordinator. This program is the focal point of YCCAC's shift toward asset-building as an effective poverty-fighting strategy. Its purpose is to build a community-based partnership that connects low-income individuals with asset-building opportunities. The program has several components: the Earned Income Tax Credit Outreach Initiative, the Family Development Account Program; and the York County Saves Initiative.

ROMA Goal #1 Low-Income People Become More Self-Sufficient
Measure 1.3. A Enhancement
Measure 1 B Utilization

(5)Housing Retention and Family Stability Project : \$ 35,000

These funds will be administered through the Community Outreach, in partnership with the Housing Department and will be used to provide either of the following to households in need of shelter or in danger of becoming homeless through eviction or foreclosure: Payment of security deposits, rent or mortgage arrearage, and forward rent payments; Payment of other expenses necessary to prevent eviction or to establish a person in a rental. Outreach staff are skilled in connecting individuals and families with appropriate community resources and in acting as client advocates.

ROMA Goal # 6 Low-income people achieve their potential by strengthening family and other supportive systems
Measure 6.2. B & C -Emergency payments to Vendors, including Fuel and Energy Bills and Rent/Mortgage payments; Temporary Shelter

(6)Emergency Financial Assistance Program: \$ 40,616

This fund (\$ 35,000) will be distributed among the three outreach offices in Sanford, Biddeford and Kittery and will provide a basic safety net for families experiencing economic distress, with the goal of improving household stability and/or building economic self-sufficiency. These funds would be used for non-housing emergencies such as automobile repair or utility disconnects. Outreach staff at the same time can connect these individuals and families with other resources and services as needed. This includes 6 hours per week of clerical support staffing for both the EFA and the Housing Retention and Family Stability Project.

ROMA Goal # 6 Low-income people achieve their potential by strengthening family and other supportive systems
Measure 6.2. A-I

(7)The Pharmacy Project: \$ 15,000

One of the most difficult challenges that low income people, even those who are fortunate enough to have health insurance, face is paying for prescription medications. One of the most important resources available to low income people needing to take prescribed medication is the Prescription Assistance Program, through which eligible patients have access to deeply reduced or free medications.

Applying for participation in the Prescription Assistance Program is a cumbersome process. Applications need to be completed with a trained individual. For the past three years, hundreds of patients in York County, including those treated at York County Community Health Care, have had access to an intake worker whose position is funded by Goodall Hospital. During 2006, 32 patients received 125 reduced or free prescription fills, worth \$ 36,719 through Goodall's program. In 2007, 68 patients received 394 free or reduced cost prescription fills, worth \$ 126,869. In 2008, 108 patients filled 725 prescriptions, receiving benefits worth \$ 232,489. This upward trend in need continues at an ever-accelerating rate.

The value of this program to YCCAC clients cannot be overstated. But the unreimbursed cost of the position has placed a burden on Goodall Hospital at a time when general patient demands are increasing and revenues are decreasing.

In order to maintain the benefit to the clients of this critical program and to retain a job that is threatened, YCCAC's Board has voted to provide \$ 15,000 to Goodall Hospital, a non-profit, tax exempt community partner, to partially defray the cost of the Prescription Assistance Program Coordinator position.

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ROMA Goal 2: The Conditions in Which Low-Income People Live are Improved
Measure 2.1. D- Accessible and affordable health care services/facilities for low-income people created or saved from reduction or elimination.

(8)York County Food Rescue Program: \$ 10,000

The funds will be earmarked for the purchase of foods not readily available through the USDA commodity food program or from other food recovery sources, for example, meats and fresh produce. These foods are then made available to the York

County network of food pantries and meals kitchens. York County Food Rescue helps alleviate hunger by enhancing the recovery of donated food in and around York County and distributed over 500,000 pounds of food annually to the 43 area pantries, a major supplement to a food supply that has been dwindling at a time when the need is rapidly increasing.

ROMA Goal 6: Low-income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems
Measure 6.2. A. Food – The overall weight of food distributed

(9) Lafayette Neighborhood Revitalization Project: \$ 20,000

The funds will be used to hire a part-time Youth Outreach Co-ordinator whose responsibility will be to develop community service opportunities for at-risk youth in the Lafayette/Carpentier Park Neighborhood, facilitate a youth council, and support youth in community enrichment and neighborhood revitalization, for example the Carpentier Park and community garden. This will be a subcontract with Strategies for a Stronger Sanford, a neighborhood organization.

ROMA Goal 2: The Conditions in Which Low-Income People Live Are Improved
Measure 2.2. B Increase in the availability or preservation of community facilities
Measure 2.2.C Increase in the availability or preservation of community services to improve public health or safety
Measure 2.2.E Increase or preservation of neighborhood quality-of-life resources

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YCCAC will collaborate with Community Dental, a Portland-based private non-profit organization, in its efforts to establish a new dental center in Biddeford in cooperation with Southern Maine Medical Center, the Biddeford Free Clinic, and the University of New England. CSBG funds will be used to assist Community Dental in certain development activities necessary for the new dental center to begin operations, including but not necessarily limited to project management, technology expenses related to the consolidation of patient records, conversion and transition to electronic dental records, and the purchase of consumable supplies. By assisting in this stage of development, the CSBG funds will help assure the dental center's readiness to keep to its planned schedule to open in the early fall of 2009, and will aid in the recruitment and retention of dental professionals. When fully staffed, the center is expected to employ 4 new full-time employees, beyond the number currently employed at the two existing centers.

**ROMA GOAL 2: The Conditions in Which Low-Income People Live Are Improved
Measure 2.1.D Number of accessible and affordable health care services/facilities
for low-income people created or safeguarded from reduction or elimination**

Indirect: \$ 50,618

This figure is based upon our HHS approved rate of 11.5%.

NOTE: We are requesting funds for items 8 (food) and 10 (dental) in one sum rather than on a monthly basis. We will be sending out the monies to Community Dental and to York County Food Rescue and York County Shelters Inc. Please note as well that we anticipate that the emergency financial assistance funds will go out within a six month period.



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ATTACHMENT G

Community Action Agencies

Community Needs Assessments

COMMUNITY SERVICES BLOCK GRANT
Community Needs Assessment
 Program Year October 2008 – September 2009
 CSBG ARRA Plan – 2009-2010

In 2008, Aroostook County Action Program (ACAP) reported that a comprehensive county-wide, community needs assessment process was initiated in late summer 2007. A needs assessment survey was developed and entered into Survey Monkey with a direct link to ACAP’s website. Responses to the survey were collected during months of November and December 2007 and a report was issued in early 2008. That report served as a community assessment for 2008 and continues to be a primary indicator of need as well as a guide to the agency with respect to program planning and service delivery.

In addition to that information, ACAP relies upon data in the latest Poverty in Maine 2006 Report and Poverty Update reports as indicators of poverty in the state and, more specifically, in Aroostook County. These reports present a profile of poverty based on the most current reliable data available from state and federal sources, and they include trend highlights. In Aroostook County, the poverty rate is increasing and the number of households receiving food stamps; the number of households receiving fuel assistance; the monthly unemployment rate; and the number of school-age children eligible for free and reduced school lunch have all increased. The April 2009 Poverty in Maine Update reported the following:

	Aroostook County	Maine
Individual 2007 Poverty Rate	17.4%	12.2%
Households Receiving Food Stamps 07/08	22.7%	17.1%
Households Receiving LIHEAP 07/08	19.8%	9.3%
Students Eligible for Free/Reduced Lunches 08	49.9%	39.1%

While trends in Aroostook mirror those in the state, it is evident that all measures of poverty are higher in Aroostook County compared to state-wide data. Poverty in Maine Reports may be accessed at <http://www.umaine.edu/mcsc/>.

Additional resources used by ACAP to identify community needs include unemployment data and Rapid Response Brief reports. I have attached documents that reflect the most recent data available. Most notable in the Rapid Response report is the increase in numbers of dislocated workers over the past several years and the significant increase in YTD 2009.

All resources described above constitute the basis for both the 08/09 CSBG program and the CSBG Stimulus Program administered by ACAP. More specifically, with respect to the ARRA plan, ACAP plans to initiate a more comprehensive case

management program to address the increased number of dislocated and unemployed individuals. There are more individuals who need multiple services. Many of these individuals have never been in a situation of need before and thus do not know how to access them. The case managers will accept referrals and will also employ a more aggressive community outreach approach.

In addition, the 2008 Community Needs Assessment report identified a number of gaps in service including in the area of dental health. This finding justifies ACAP's proposal to allocate ARRA funds to its oral health program which includes oral health education and dental screening and preventive services.

ARRA funds will also be used to enhance the infrastructure of ACAP. Recognizing that in the existing economy, more individuals need more comprehensive and integrated services, ACAP will implement a database program that will result in central data input and unduplicated outcome reports. Enhanced case management will certainly be facilitated by this action.

Attachments:

2008 Community Assessment Report
Unemployment History
Rapid Response Report

Community Concepts, Inc. – CSBG ARRA Community Needs Assessment 2009

Community Concepts, Inc. is a community-based not-for-profit organization serving people and communities throughout Western and Central Maine. The volunteer Board of Director represents private, public and consumer sections of the population.

Community Concepts achieves its mission through a variety of program activities which focus on the areas of children services, family services, community services, housing services, transportation services and economic development services.

Community Concepts, Inc. Mission Statement is: “The mission of Community Concepts, Inc. is to collaborate, coordinate and to focus resources to help people in need build opportunities for a better tomorrow.”

Community Concepts, Inc. has used several documents and data sources to determine the current needs of the communities and households served and present a plan for the stimulus funds which will help link or resolve some of the needs being seen throughout our catchment area. The primary documents being used are the 2009 Head Start Needs Assessment along with the current poverty reports issued by the Margaret Smith Chase Policy Center. Along with these tools are the activities of the current legislature both State and Federal along with the data collected by our receptionist and phone systems which reflect the increase in requests for services on several levels within our agency. Over the past year, the base increase in phone contacts to our agency indicate consumers are seeking services on many levels and for many constituents it may be the first time they have had to navigate the systems in Maine to find resources.

In order to increase opportunities for our consumers, Community Concepts, Inc. recognizes its need to increase collaboration and networking with other for profit and non profit providers within and outside of Maine. One area where this collaboration can be extremely beneficial is with our Head Start program where collaboration with local school districts offers an opportunity for expanded educational opportunities for 3 and 4 year olds.

A primary need being heard throughout our agency systems is affordable housing, safe housing and having the ability to protect families from foreclosure. With this in mind, CCI has several sections of our stimulus package focused on increasing the ability of families to find and maintain housing along with providing educational materials to instruct our consumers on how to navigate the systems. CCI will increase its capacity to provide foreclosure counseling. CCI will also be working to sustain current units supported by agency programs to increase housing unit availability. Another key component to this is providing educational materials to our consumers in the form of brochures, presentations and special newspaper releases aimed at educating our catchment area on the resources offered not only by CCI but other community partners.

Key to keeping families intact is supports from our Family Services department to help families struggling with issues such as mental health, child abuse and drug abuse issues. During times of financial stress, our families struggle to maintain safe and healthy home environments. Funding for this department will help continue to sustain these critical family supports.

CCI is aware of the loss of employment opportunities in Oxford County and is working with the legislature, both state and federal, to help existing companies stay in business and research opportunities for new employers to move into areas with an available work force. This is a new arena for CCI but is critical to sustaining the economic environment in some of our most threatened communities.

As CCI continues to meet and receive phone calls from consumers, it is expanding its phone capacities to handle the volume of incoming calls. CCI operates its reception system with minimal automation so the public speaks directly with staff on every call seeking services. CCI has seasoned reception staff that are knowledgeable and aware of the services internal and external to our agency. The increase in contacts with our agency indicates an internal need to have better tracking capacities for these initial contacts and stimulus funds will allow us to expand our internal systems to support this data collection.

CCI will expand its capacity to provide weatherization opportunities for its consumers to assure more people have access to increasing the energy efficiency and carbon foot print of their residences by working with Maine Housing and Efficiency Maine. This expansion also supports the Governors initiative to weatherize Maine Homes over the next ten years.

Community Concepts, Inc. is also supporting through stimulus dollars the state wide need for improved dental health for our constituents by partnering with the local Community Dental clinics.

**KENNEBEC VALLEY COMMUNITY ACTION PROGRAM
(KENNEBEC AND SOMERSET COUNTIES)
COMMUNITY NEEDS ASSESSMENT
2009**

Poverty. In the past six years, the poverty rates for Maine's children ages 0-5 went from under 14% to over 23%, surpassing the national average. In KVCAP's service area, the numbers are much higher – with estimates well above 50%. The economic gap between urban and rural families continues to widen. A single parent in Maine must earn 254% of the federal poverty level on average just to meet their basic needs. More than one half of low-income families pay more than one-third of income just for housing.

Of the children currently enrolled in KVCAP Head Start programs, 94% have an annual household income at or below federal poverty level (FPL). The remaining 6% have incomes between 101-135% of FPL.

One-half of the school-aged population in Somerset County is eligible for free and reduced school lunch in 2006, which is considerably higher than the State as a whole. Somerset County ranks third highest in Maine. Children living in KVCAP's rural service area are more likely to experience lags in physical and mental development, which diminishes their chances for educational success and future contributions to the workforce and community.

Somerset County has the highest monthly average of households in the state using food stamps at 23.9%; Kennebec County is 17.3%; statewide is 15.7%. As the food stamp program continues to decline, more Maine families go hungry. Food stamps are worth about 98 cents per meal on average in Maine. Because they don't keep up with the cost of living, the amount of food families can purchase is declining.

ARRA Workplan: All

Rural service area and impact of children and families. Sixty percent (60%) of Maine's population lives in very rural communities (26.5% nationally). KVCAP's service area is one of the most rural in Maine, with Somerset County having an average person per square mile of 13. This county has poverty rates 50% higher than the state average. The budget constraints discussed above will make it even harder for low income in KVCAP's service area to access quality early care and education services, afford quality health care, send their children to college, buy fuel to get to work and heat their homes. The increase in cost of living is outpacing their paychecks as community services dwindle. The impact of service cuts will be equally as devastating.

Maine has the nation's second highest proportional population of rural counties. Rural families in our service area experience:

- ✓ Three and 4 year olds from low-income families who did not receive quality early care and education services were 5 times more likely to become chronic lawbreakers by age 27 than children who did receive quality services.
- ✓ Children from rural areas are more likely than non-rural children to enter kindergarten without key early literacy skills and they are 60% more likely to need special education services than those from non-rural areas.

- ✓ Unemployment rates in rural Maine range from 50% higher to nearly double the state average.
- ✓ Higher rates of poverty than urban families. Five of Maine's most rural counties record 16% of Maine's population but have 25% of the low-income population in Maine.
- ✓ Rural low-income households are three times more likely than non-poor rural communities to be without a car. With public transportation scarce in rural Maine counties, it is very difficult for many poor rural households to access work and outside services, such as high-quality early care and education services.

Recent studies provide evidence that living in a rural area poses additional risks to child well-being. While rural families are disproportionately poor despite a strong work ethic, their problems are exacerbated by the isolation, lack of jobs, lack of transportation and lack of support services for families. Access to quality social and health care services is difficult for rural families. Due to houses and/or communities being far apart, rural families must travel significant distances to work, buy groceries and access social/medical services.

Rural communities also pose challenges in providing quality early care and education services. Center-based care is not a viable solution as economy of scale is not probable because of parent travel time and transportation issues. Nationally, family, friends, and community providers are less likely to have college educations or knowledge of developmentally appropriate practices when caring for young children, yet family, friend and neighbor care (FFN) is a widely used form of care for young children in rural Maine. According to the Banks Street School, FFN care represents up to half of the childcare arrangements for children under the age of five whose parents are working. Although FFN care is used by families at all income levels, it is more commonly used by families with incomes less than 200% of federal poverty levels and for infant/toddler care.

Lack of funding, lengthy distances and the high cost of transportation make quality early care and education services inaccessible to many rural children. In order to build promising futures for the vulnerable rural children, we must improve parent circumstances. Decreasing the cost of working (childcare, transportation, etc.) will help rural families provide basic necessities and provide young children with early care and education services so they enter public school ready to learn. New programs and partnerships must be formed that promote systematic ways of increasing access to quality care opportunities in rural communities, professional development activities for early care and education providers, as well as networking/mentoring activities.

ARRA Workplan: All

Unemployment Rates. Maine's unemployment rate is 4.8%; while Somerset County's rate is 7.9% - the second highest in Maine. Kennebec County's rate is approximately 5%. KVCAP's service area has the highest unemployment rate of any region in Maine.

Currently, 17 % of parents with children enrolled in KVCAP's Head Start program report unemployment. An additional 12% are attending high school or post secondary education.

- ARRA Workplan:**
- Educare**
 - Head Start Transportation**
 - Transportation Services**
 - KenSom Transition Team Coordinator**
 - AYC After School Child Care**
 - Skowhegan Before/After School Child Care**

Jobs/Income and Disparities. The largest major industry in northern Kennebec County is health care and social assistance – 19% of all employment; public administration with 16%; and retail trade at 15%. In Somerset County, the largest major industry sector is manufacturing at 20%; health care and social assistance at 15% and retail trade at 13%. Livable wage jobs in Maine do not meet demand. Somerset County residents are known as proud people who do not want to rely on welfare. However, only 37% of jobs pay a livable wage for a single parent with one child; for two parents with one earner and one child, only 30% of jobs pay a livable wage, and for a single parent with two children, only 16% of jobs pay a livable wage.

A single wage earner with 2 children requires an annual income of \$37,622 just to meet basic needs. In Somerset County, this equates to \$18.09 per hour. The Maine Department of Labor reports that the average hourly wage in Somerset County is \$14.10. In Kennebec \$37,691 (\$18.12 per hour). Again, the Maine Department of Labor reports an average hourly wage in Kennebec County to be \$15.48. The gaps between poverty level and the annual livable wage estimate is \$25,000 in both counties.

Poverty and unemployment run high in Somerset County as well as some towns in Northern Kennebec. For example, approximately 53% of students in Waterville's elementary and junior high schools are eligible for free or reduced lunches (Maine Department of Education). According to the 2006 Poverty Report, Somerset County residents were considerably higher than the state average in participation rates for food stamps in 2005, tied for highest in the state. Somerset is second highest for unemployment and is the second poorest county in Maine. Although Kennebec County's unemployment rate is not high compared to the state average, it should be noted that many of the manufacturing jobs in this area that paid good wages and included benefits have been lost over the past few years. New jobs coming to the county are often part-time positions in retail and service industries, with lower wages and few or no benefits. The Maine unemployment rate and Kennebec County's rate has risen approximately 3.3 points since last year, while Somerset's has risen 3.9 points. The Town of Pittsfield was hit hard this past year and a half, with the closing of a shoe shop and the planned reduction of a third of the workforce of the GE plant, the largest employer in the town.

**ARRA Workplan: Educare
 Head Start Transportation
 Transportation Services
 KenSom Transition Team Coordinator**

Health Status/Insurance

Low incomes and no insurance benefits contribute to limited access to health care for many individuals in our catchment area. KVCAP Family Planning clearly provides an alternative for these individuals. During the first six months of FY09, only 18% of clients paid through private insurance. 13% of clients were in the no-pay, donation only category, while 36% of clients were partially subsidized. MaineCare was the payment source for 32% of clients. KVCAP Family Planning serves all individuals seeking services, regardless of income and/or insurance coverage. Unlike many private health care providers, KVCAP Family Planning welcomes MaineCare clients, a fact that is appreciated by this population. In addition, the KVCAP Community Outreach priority communities tend to have high-risk populations that can be targeted for education about resources and access to reproductive health care.

The high poverty rate, limited jobs and lower levels of educational attainment in Somerset County contribute to a lack of aspirations in many of its young people. These circumstances can influence youth to engage in risky, unhealthy behaviors. The smoking and drinking rates for Somerset youth are higher than the state average (2006 MYDAUS data). It is no surprise that the teen pregnancy rate of 48.1 per 1,000 in Somerset County ranks second highest in the state (highest is Androscoggin County with a rate of 48.4 per 1,000). Kennebec County's teen pregnancy rate of 36.8 is close to the state rate of 36.5, although higher pockets exist in some towns in the county. The city of Waterville's rate is higher, when adjusted for the two colleges in town (2002-2006 aggregate data, Maine Office of Data, Research and Vital Statistics).

**ARRA Workplan: Educare
Head Start Transportation
Transportation Services
Home Visitation Case Management**

Homeless. According to the Mid-Maine Homeless Shelter (MMHS) demand has been increasing for the last few years and they have seen a dramatic increase in the number of homeless families. MMHS and KVCAP have implemented strategies to increase their understanding of each other's services, and the resources available to assist families with young children. Using existing resources, KVCAP is working with MMHS to identify families who need child care and to implement supports to assess their child's developmental status and provide educational activities and opportunities. By introducing a quick response to KVCAP services, parents gain comfort in knowing that their children's physiological and safety needs are being responded to. Timely and comprehensive services for both adults and children reduce the amount of time that families need to remain in temporary shelter. Once housing is secured, children continue to receive services from KVCAP, including ongoing child care and family service supports.

Currently, KVCAP Child & Family Services serves 16 homeless children and expects the number to rise as housing foreclosures and living cost rise, particularly heat and electricity.

**ARRA Workplan: Homebuyer Case Management
Home Visitation Case Management
Resource Development**

Domestic Assault Rates. Reported domestic assaults in Maine were at the rate of 414.4 per 100,000 persons. Kennebec County ranked second highest at 588.5; Somerset County ranked 5th at 492.4. Program data reveals that 2.7% of families enrolled report domestic violence events in the lives, yet is known that there are many unreported incidents. Staff report that often families are reluctant to discuss issues around domestic violence.

ARRA Workplan: Home Visitation Case Management

Crime Rates. The crime rate among youth is high in Somerset County, sparking community discussions and forums about how to address the violence and crime issues. Arrest of children in Maine is 54.5 per 1000 persons; Somerset County is higher at 57.1 per 1000 and Kennebec County is 55.1% per 1000.

**ARRA Workplan: Educare
AYC After School Child Care
Skowhegan Before/After School Child Care**

Obesity. Since 1990, obesity rates have risen 75%. Maine has the highest rate of adult obesity in all of New England. Sixty-one percent (61%) of Maine's population, 36% of kindergarten and 33% of low income children between the ages of 2 and 5 years of age is overweight or obese. Thirty-four percent (34%) of children enrolled in KVCAP's Head Start program are considered overweight or obese.

ARRA Workplan: Educare
AYC After School Child Care
Skowhegan Before/After School Child Care
Home Visitation Case Management

Child Maltreatment. Substantiated child abuse and neglect is 11.7 per 1000 children between the ages of 0-17. In Maine there are 5,613 case assessments completed by Child Protective Services; 3561 of these were without findings of maltreatment; 2052 were with finding of maltreatment. Of those, 151 were from Somerset County and 176 in Kennebec County. It is suspected that incidents of child maltreatment are significantly higher than reported. The State of Maine acknowledges that it "screens out" many more suspected child maltreatment reports than in the past and that follow-up is conducted on a very limited basis, if at all.

ARRA Workplan: Educare
AYC After School Child Care
Skowhegan Before/After School Child Care
Home Visitation Case Management

Dental Care. There is a shortage of dentists in Maine, and the situation is particularly acute in rural areas such as Somerset County. Almost 23% of children in Maine between the ages of 0-17 did not receive dental care (2003). There is approximately one dentist for every 2,165 patients, compared to 1,656 nationally. This problem is particularly pronounced in Maine's rural, poorer areas where citizens often end up on months-long waiting lists and have to travel hours for care. Pain caused by decaying teeth is one of the top 10 emergency room diagnoses in Maine, according to the Maine Health Data Organization.

ARRA Workplan: Dental

Transportation. Maine's roadways are in considerably worse condition than the rest of the nation. A strong transportation is critical to Maine's economic development. Rural transportation systems are either non-existent or very limited in scope in Somerset and northern Kennebec Counties. Many low-income residents do not know how to drive, lack a driver's license, or simply don't have the money to purchase and maintain a car. The lack of transportation options limited the ability of many rural residents to find and keep jobs. It also limits their access to job training and other needed social services. With more people commuting from rural areas to jobs in service centers, more household income must be expended for transportation due to rising gas prices and less time for civic participation, which increases isolation.

ARRA Workplan: Head Start Transportation
Transportation Services
KenSom Transition Team Coordinator

Affordable/safe housing. Affordable housing continues to be problematic. In most of Maine's employment centers, high housing costs are forcing people to commute long distances, because they cannot afford to live in the communities in which they work. This, compounded with the rural and transportation issues in Maine, put low-income families at a severe disadvantage when seeking shelter, employment and needed social services.

Approximately one-half of the homes in Maine were built prior to 1950 when lead was commonly used in paint to make shiny and last longer. Maine's data system shows that elevated lead levels in children is the number one environmental health hazard to children in terms of risk, prevalence and consequences. Data from 1994-1999 shows that one in nine Maine children who were screened were found to have elevated levels. Making high-risk housing stock lead safe is essential to reducing public health risks.

ARRA Workplan: Homebuyer Case Management

Childcare services. Maine ranks in the top ten nationally in the percent of employed women with children with 65.4% of Maine families having "all parents" in the workforce. On average, children spend 9 hours per day in childcare. Children who experience high quality childcare thrive and develop optimally as opposed to those in lower quality settings. High quality care helps prepare our children for success in school. Studies show that quality early care and education enhances a child's cognitive performance, language ability and pre-math and social skills. Well paid, education childcare providers are the backbone of quality childcare.

Childcare is the 4th largest industry in Maine. Qualified and stable childcare workforce depends upon adequate salaries and benefits to workers as well as an attractive work atmosphere. Education and on-going training for the workforce is crucial to the quality of childcare. Maine is implementing a quality rating system to help parents make well education choices about childcare.

- ARRA Workplan:**
- Educare**
 - Head Start Transportation**
 - Home Visitation Case Management**
 - Resource Development**
 - AYC After School Child Care**
 - Skowhegan Before/After School Child Care**

Kennebec County Overview

- Population growth in Kennebec County from 2000 to 2005 (3.3%) was slightly below the state rate (3.7%). The county is one of five in Maine to reverse from being a net outmigration county in the 90s to a net immigration county in 2000-2004.
- Kennebec County's individual poverty rate in 2003 was close to the state rate, both for the population as a whole and for those under 18.
- Median household income in Kennebec County in 2003 was close to the state. It was slightly above the 200% poverty level for a 4-person household.
- The 2004 'livable wage' estimate for a four-person household (2 parents, both wage earners, and 2 children) in Kennebec County was more than twice as high as the poverty level for a four-person household.
- The proportion of per-capita personal income in 2004 from net earnings was the same in Kennebec County as in the state as a whole, while the proportion from transfer payments was higher.
- Kennebec County's monthly average unemployment rate for 2005 was almost the same as the state rate.
- Kennebec County residents were about the same as the state average in participation rates for food stamps in FY05.
- The proportion of the school-age population eligible for free and reduced school lunch in FY06 was comparable to the state as a whole.
- The proportion of households receiving LIHEAP benefits in Kennebec County in FY05 was comparable to the statewide level. Compared to LIHEAP recipients statewide, a higher proportion in Kennebec County received Medicaid, food stamps, or Supplemental Security Income (SSI), and a somewhat smaller proportion were age 65 or above.
- A slightly lower proportion of the Kennebec County population has college degrees (associate or bachelor's) than in the state as a whole.

Kennebec County Trend Highlights

- Over the most recent four-year period for which county-level data are available, the poverty rate trend in Kennebec County mirrors that of the state as a whole. The estimated percentage of individuals below poverty increased each year from 2000 to 2002, with a slight decrease in 2003.
- Over the four-year period from FY02 to FY05, the number of Kennebec County households receiving food stamps increased each year; the number in FY05 was 52.7% greater than in FY02, which was somewhat greater than the statewide increase of 49% in this time period.
- The number of Kennebec County households receiving LIHEAP benefits declined somewhat from FY02 to FY04, but increased in FY05.
- From 2002-2005, Kennebec County's monthly average unemployment rate mirrored that of the state as a whole, reaching a peak in 2003.
- The percentage of school-age children eligible for free and reduced school lunch in Kennebec County increased from FY03 to FY06, showing a generally similar pattern of increase as the state as a whole.

Somerset County Overview

- Population growth in Somerset County from 2000 to 2005 (1.5%) was lower than the state average (3.7%). Somerset is among the four counties with the highest estimated proportion of the population under the age of 18.
- Somerset County's individual poverty rate in 2003 was considerably above the state rate, both for the population as a whole and for those under 18. The county had the second highest poverty rate among Maine's counties.
- Median household income in Somerset County in 2003 was 18% lower than the State. It was 15% below the 200% poverty level for a 4-person household.
- The 2004 'livable wage' estimate for a four-person household (2 parents, both wage earners, and 2 children) in Somerset County was more than twice as high as the poverty level for a four-person household.
- The proportion of per-capita personal income in 2004 from net earnings was slightly lower in Somerset County than in the state as a whole, and the proportion from transfer payments was considerably higher.
- Somerset County's monthly average unemployment rate for 2005 was considerably higher than the state average, and was the second highest among Maine's counties.
- Somerset County residents were considerably higher than the state average in participation rates for food stamps in FY05. The county was tied with Washington County for the highest level of food stamp participation rates for individuals, and was the second highest for households.
- Almost half of the school-age population in Somerset County was eligible for free and reduced school lunch in FY06, considerably higher than the State. Somerset ranked 3rd highest among Maine counties in the proportion eligible for this benefit.
- The proportion of households receiving LIHEAP benefits in FY05 was considerably higher than in the state as a whole. Compared to households statewide, a higher proportion in Somerset County had members over 65, and a higher proportion received food stamps, Medicaid, and Supplemental Security Income (SSI).
- A considerably smaller proportion of the Somerset County population has college degrees (associate or bachelor's) than in the state as a whole, and a considerably greater proportion has less than a high school education. Somerset has the lowest proportion of people with a bachelor's degree among Maine's counties.

Somerset County Trend Highlights

- Over the most recent four-year period for which county-level data are available, the poverty rate trend in Somerset County generally mirrors that of the state as a whole. The estimated percentage of individuals below poverty increased each year from 2000 to 2002, with a decrease in 2003. The poverty rate in 2003 was almost a percentage point higher than in 2000.
- Over the 4-year period from FY02 to FY05, the number of Somerset County households receiving food stamps increased each year; the number in FY05 was 43.7% greater than in FY02.
- The number of Somerset County households receiving LIHEAP benefits remained fairly stable from FY02 to FY05, ranging from a high of 2,998 households in FY05 to a low of 2,874 in FY04.
- From 2002 to 2005, Somerset County's monthly unemployment rate reached a peak in 2003, declined substantially in 2004 and remained the same in 2005.
- The percentage of school-age children eligible for free and reduced school lunch in Somerset County increased from FY03 to FY06,

Key Population Data Comparison (County & State)

	<i>Kennebec</i>	<i>Somerset</i>	<i>Maine</i>
Population 2000	117,114	50,888	1,274,923
Race - White	97.5%	98%	96.9%
Estimated Population growth from 2000 to 2005	3.3%	1.5%	3.7%
Female population	60,368	25,966	654,614
Ages 10-19	14.9%	14.8%	14.2%
20-34	17.4%	16.9%	17.9%
35-44	16.7%	16.4%	16.7%
45-54	15.2%	15%	15.1%
55-64%	9.7%	10.4%	9.7%
65+	14.2%	14.4%	14.3%
Birth rates/1000 (2004)	51.3	53.8	52.2
Teen Birth rates/1000 (2004)	36.6	47.2	24.3
Unemployment rate estimate <i>February, 2009</i>	8.6%	12.5%	9.1%
Poverty rate 2005	13%	16.9%	12.3%
Median Income 2003	\$38,458	\$32,079	\$39,212

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COMMUNITY NEEDS ASSESSMENT
OCTOBER 1, 2008-SEPTEMBER 30, 2009

I. INTRODUCTION

The 2008-2009 CSBG Community Needs Assessment for Midcoast Maine Community Action (MMCA) will provide community information in two ways. The first includes demographic information that identifies vulnerabilities which place communities at risk, such as unemployment, single parent status, and poverty status. These vulnerable community members are especially in need of the services we provide. The second includes information about service need from MMCA programs and local providers. The performance measures identified for CSBG and CSBG ARRA funding address these needs, particularly in the areas of housing, heating assistance, access to childcare and transportation, employment, and other essential services.

II. COMMUNITY CHARACTERISTICS & VULNERABILITIES

A. Maine Poverty Rate

The state of Maine has seen a steady rise in the percentage of people living in poverty. Poverty status is determined by the measure of personal income combined with other factors such as number of dependents as compared with a national average of income. In April of 2009, the Maine Community Action Association (with assistance from the Margaret Chase Smith Policy Center) issued the Poverty in Maine Update Newsletter. Information noted in the newsletter came from state and federal sources. The percentage in poverty by county is noted below.

County	% in Poverty	County	% in Poverty
Androscoggin	14.1	Oxford	14.5
Aroostook	17.4	Penobscot	13.5
Cumberland	9.7	Piscataquis	16.5
Franklin	16.0	Sagadahoc	9.2
Hancock	9.9	Somerset	17.2
Kennebec	13.0	Waldo	14.5
Knox	10.6	Washington	20.1
Lincoln	10.8	York	8.2

Poverty percentages for the mid-coast area served by MMCA range from 9.2 in Sagadahoc County to 14.5 in Waldo County.

B. Unemployment Rate

The Maine Department of Labor reports that the federal government has extended unemployment benefits for eligible applicants by 13 weeks. They have done this to address the increase in unemployment experienced across the country during the past several months. The unemployment rate in Maine has increased by 3.2 percent since December of 2007:

- The unemployment rate in Maine in December of 2007 was 4.9%
- The unemployment rate in Maine in November of 2008 was 6.3%

- The unemployment rate in Maine in December of 2008 was 7%
- The unemployment rate in Maine in February of 2009 was 7.8%
- The unemployment rate in Maine in March of 2009 was 8.1%

C. Community Demographics

There are also community demographics which can affect an individual or family’s ability to meet their basic needs. The Maine DHHS Center for Disease Control and Prevention published the Maine DHHS District Health Profile in December of 2007, with the following profiles:

Demographic	Midcoast	Maine
Population	11.5%	
Single Parent Households w/children under 18	9.0%	9.2%
Householders over 65 living alone	11.0%	10.7%
Householders w/disabilities	23.0%	23.8%
Householders w/less than High School Education	13.0%	14.6%
Children in Special Education	15.1%	14.8%

These demographics indicate that a significant percentage of the people living in mid-coast Maine have vulnerabilities that can affect their ability to meet basic needs.

D. Meeting Basic Needs

The National Center for Children in Poverty (NCCP) published an article in March of 2009 entitled Budgeting for Basic Needs. They established a cost of living basic needs budget for rural and moderate cost cities comparable to the mid-coast area of Maine.

Item	Rural		Moderate Cost City	
	2 Parent Family	Single Parent	2 Parent Family	Single Parent
Rent/Utilities	\$479	\$479	\$732	\$732
Food	\$656	\$474	\$656	\$474
Child Care	\$712	\$712	\$974	\$974
Health Insurance Premiums	\$247	\$247	\$203	\$203
Medical (Out of pocket)	\$61	\$38	\$61	\$38
Transportation	\$607	\$452	\$482	\$339
Other Necessities	\$307	\$257	\$375	\$326
Payroll Taxes	\$237	\$196	\$299	\$262
Income Taxes (with credits)	\$209	\$296	\$121	\$77
Total (Monthly)	\$3,097	\$2,560	\$3,903	\$3,424
Annual Income Needed	\$37,162	\$30,714	\$46,836	\$41,090
Hourly Wage Needed	\$9	\$15	\$11	\$20
% of Poverty Level	175%	175%	221%	233%

The chart indicates that child care is the greatest expense, followed by food and housing. These expenses do not include the high cost of fuel oil, where many mid-coast community members own their homes and must heat them, or are required to pay for their heating costs in rental units. The Maine Center for Economic Policy estimates that wage earners with dependent children must be paid more than \$15.00 per hour to meet basic needs in the mid-coast area.

II. MIDCOAST AREA SERVICE NEEDS

A. Low Income Home Energy Assistance Program (LIHEAP)

LIHEAP is one of the core programs of Community Action agencies in the state. LIHEAP enrollment in a given year is a fair indicator of need, with income eligibility guidelines and the reality of high fuel costs. The MCAA Poverty in Maine Update Newsletter identified an 11.5% increase in the number of LIHEAP applicants across the state between 2007 and 2008. LIHEAP applicant data for the area served by MMCA in the 2007-2008 program year includes:

	# Households	Average income	% Over 65	% Single Persons
Cumberland	4241	\$14,322	36.4%	49.9%
Lincoln	1165	\$13,838	35.3%	46.2%
Sagadahoc	873	\$14,381	32.0%	45.6%

Applicant numbers for 2008-2009 are expected to be higher than last year due to changes in eligibility guidelines from 150% to 200% of poverty. Many working families who were previously not income eligible for the program were assisted this year.

B. Community Partner Program Activity

Our local community partners have also reported increases in the need for and use of their resources. This is again an indication that vulnerable community members are seeking assistance to meet their basic needs, including:

- Mid Coast Hunger Prevention Program (MCHPP) reported that in the first 9 months of 2008 they had already served 94% of the number of clients served during all of 2007
- Warm Thy Neighbor reported a 30% increase in requests for fuel assistance in the past 18 months
- Tedford Housing reported a significant increase in the number of families seeking shelter in the past year-families are turned away every month for lack of shelter space
- \$50,985 distributed to 177 households for fuel emergencies from various funds (Keep ME Warm, United Way, Corporal Works) in 2007-2008
- \$35,491 distributed to 142 households for fuel emergencies by the City of Bath in 2008-2009

C. MMCA Program Activity

There are a number of programs administered by MMCA that have also been very active in the past year:

Housing Counseling Program

- Nearly 2000 referrals for housing, utility, food, and other resources in 2007-2008
- Distribution of \$41,000 in emergency housing funds to 249 households in 2007-2008
- 500 requests for emergency funds that were not available
- 21% of households served reported poverty/welfare status
- 20% of households served reported homelessness
- 24% of households served reported unemployment or underemployment

Family Development (Case Management) Program

- 21% of participating families were female head of household
- 81% of participating families had 1-3 dependent children in the home
- 53% of participating families had children under the age of 5 in the home
- 60% of participating families had monthly income at or below \$1000
- 50% reported source of income from employment and/or TANF

Women, Infants, & Children Nutrition Program (WIC)

- Operated 12 clinics in five counties of the mid-coast area
- 2150 households enrolled in program for 2007-2008
- 421 new referrals to program (35/month)
- 163 re-enrolls and 53 transfers to program

Temporary Emergency Food Assistance Program (TEFAP)

The TEFAP program distributes surplus USDA foods to fifteen soup kitchens and food pantries throughout the mid-coast region of Maine. Participating pantries submit reports of the number of households and individuals who receive pantry food, and the number of individuals who receive soup kitchen meals. The table below identifies activity for the year.

# Served	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Households	1253	1630	1290	1218	1049	1055	1069	1157	1163	1137	1194	1063
Individuals	1932	3672	3840	3502	3052	5774	3030	3263	3279	3165	3292	2798
Meals	5080	5425	4940	4704	4817	5618	4683	4686	4925	5098	5324	5071

The average number of households served per month was 1189 and the average number of individuals served per month was 3,383. There were 60,371 meals served throughout the year. All pantries report a significant increase in demand from previous years.

III MMCA RESPONSE TO COMMUNITY NEEDS

We have illustrated three things in this assessment. The first is that there are community members in our service area with unique vulnerabilities that can affect their ability to meet basic needs. Second, downward economic trends have made it more difficult for community members to meet basic needs. This is evidenced by increased unemployment, increases in the percentage of people living in poverty, and the growing disparity between what people earn and what is required to maintain a basic needs budget. Third, vulnerable community members are seeking services and resources in growing numbers, both within MMCA programs and with other providers.

The impact that these realities have is best described by Luisa Deprez, Professor of Sociology at USM, in her article [A New Look at Poverty in Maine](#). She noted that 1 in 8 Maine people lives below the poverty level, and 1 in 3 do not have sufficient income to meet basic needs. Professor Deprez described the Maine Voices Project of 2007, in which Western Maine Community Action and the Maine Association of Interdependent Neighborhoods facilitated a number of forums around the state, asking for feedback from Maine people about what poverty means. These community members most often cited the following:

- Travel and transportation costs have doubled since 2001, a particular hardship for people in rural and semi-rural areas who had to drive a distance for employment
- Home heating oil costs have nearly tripled since 2001
- Community members report increasing difficulty in paying mortgages and rent
- There is a scarcity of employment
- Food costs have increased 11% in the past year
- Child care costs are escalating

MMCA is attempting to address community needs by using CSBG funding to support essential programs people rely on and by establishing performance targets that measure our efforts to respond to the community. We are doing this with our annual CSBG funding and with the special ARRA CSBG funding we will receive in the coming months.

A. Annual CSBG Funding

MMCA uses CSBG funding to support core programs in three departments of the agency. CSBG funds in the Child and Family Services Department support Families CAN, the Child Abuse and Neglect Council for Sagadahoc County. Families CAN offers parenting support, workshops, and training toward improved parenting skills. In the Community Services Department, CSBG funds support the Family Development Program, providing comprehensive case management services to families and seniors. This includes support for employment, transportation, child care, health services, and asset development. CSBG also supports home energy assistance, emergency services, WIC, the Family Development Account (FDA) Program, and the Finance and Asset Building Initiative (FAB).

In the Housing Department CSBG funding will support the Maine American Dream Initiative (MADI), a low interest loan program for home ownership, Weatherization and rehabilitation Services for home improvement, and the Home Replacement program for homes that are sub-standard or unsafe.

We have thirty Performance Targets related to the programs that receive CSBG funding, as well as targets for Workforce Development programs that are not directly funded by CSBG. Our performance targets measure goal progress with housing, heating assistance, employment, child care, transportation, emergency services, and a number of other issues identified through the community needs assessment process.

B. American Recovery and Reinvestment Act of 2009 (ARRA)

We will be receiving ARRA CSBG funding for the period from July 1st, 2009 through September 30th, 2010. We have identified five projects for the use of these funds, projects which we believe will have impact on the community needs we have identified, including the areas of employment and economic development.

Family Development Case Management Expansion

We will be expanding Family Development Case Management services to include families affected by Reentry (parent returning to family from incarceration), service continuity for families with children leaving Head Start, and Parenting Classes for families affected by economic hardship. The project will be evaluated under ROMA Goal Two (The conditions in which low-income people live are improved), Indicator 2.d (Increase in access to community services and resources by low-income people). The project will fund one Case Management position, part of an Operations Manager, one LCSW Consultant, and provide training for two Social Work Interns. We expect to see program participants gain employment and improve their economic circumstances.

Housing Counseling Program Expansion

We will be expanding Housing Counseling services to coordinate information and referral, emergency funding for housing crises, and life skill development for participants. The project will be evaluated under Goal 6 (Low Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems), Indicator 6.2.B (Emergency vendor payments, including fuel and energy bills and rent/mortgage payments). The project will fund one Intake Specialist position and provide training for two Social Work Interns. We expect to see project participants stabilize housing and learn life skills that improve their economic circumstances.

WIC Services Expansion

We will be expanding WIC services to include outreach clinics in Whitefield and Topsham. The project will be evaluated under ROMA Goal 6 (Low Income People, Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems),

Indicator 6.3.A.2 (Infant and child health and physical development are improved as a result of adequate nutrition). The project will fund one Nutrition Specialist or Nutrition Counselor and one part-time Nutrition Specialist or Nutrition Counselor (staff retention). We expect that this will make the program more accessible to families in need of these services.

Housing and Energy Efficiency Enhancement

Resources will be used to provide staff support for MMCA's affordable rental housing for homeless individuals and families. This will include tenant recruitment and eligibility certification, property management, and repairs. The project will be evaluated under ROMA Goal 2 (The conditions in which low-income people live are improved), Indicator 2.1.C (Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy). The project will fund 60% of two Estimator Inspectors and 25% of the Housing Services Property Manager_(staff retention). We expect that this will make affordable housing more available to participants.

Community and Family Support

Resources and funding will be made available to families that address barriers to employment and career development. The project will be evaluated under Goal 1: (Low Income People Become More Self Sufficient), Indicator 1.2.E (Obtained care for child or other dependent in order to gain or maintain employment), and Indicator 1.2.F (Obtained access to reliable transportation and/or driver's license in order to gain or maintain employment). The project will fund 25% of an Operations Manager (staff retention). We expect that this will provide the following resources to project participants seeking employment:

- Child Care funding for parents seeking employment (Resource Development Center referrals)
- Funding for Transportation Support (car repair, insurance, license and registration renewal)
- Funding for Other Resources that support self-sufficiency





Memo

510 Cumberland Avenue, Portland, Maine 04101
207 553-5800 | wherepeoplecomefirst.org

Date: May 19, 2009

To: Christine Merchant

From: Suzanne McCormick

RE: Addendum to 2009 Community Needs Assessment Process

**Peoples Regional Opportunity Program
CSBG ARRA Allocation \$587,578**

Draft Plan:

1) Children's Oral Health Program- \$38,000

Link to PROP Community Assessment:

In surveys collected from over 200 residents of Cumberland County, dental care was identified as the primary health care need by the vast majority of respondents.

2) Case Management - \$200,000

Link to PROP Community Assessment:

While PROP's 2009 Community Assessment is still in process, focus groups held with staff and clients, and reported local data, including United Way research, indicate that low-income clients are experiencing a significant increase in the severity, intensity and acuity of their family need. Families report that they have multiple problems and needs, when, in previous years, they had one or two. Staff from this agency, and others, report that providing a referral to a family is no longer enough to ensure that they will successfully access the needed service. Instead, families require practical case management; someone who comprehensively assesses the needs and coordinates the community response.

3) Client Information Management Infrastructure - \$235,578

Link to PROP Community Assessment:

While PROP is just beginning to engage in the Pathways to Excellence process, internal reviews of our data management infrastructure continually reveal a pressing need. The agency does not currently have a unified, central method, process or tool for collecting client-level demographic, process or outcome data. As a result, the agency is unable to provide a reliable, unduplicated count for funding agencies. A Technology Needs Assessment conducted in 2008 revealed that data management is a major concern for staff and leadership of this agency. Investment in this infrastructure will provide more time for staff to engage with community partners and clients; clean, reliable data; and improve the agency's ability to provide comprehensive community action services through integrated case management and referral.



Memo

510 Cumberland Avenue, Portland, Maine 04101
207 553-5800 | wherepeoplecomefirst.org

4) Child Mental Health Program Expansion - \$75,000

Link to PROP Community Assessment:

Child and Family Services staff report an increase in the number of youth enrolled in services that need mental health services. Local agencies are struggling to keep up with the increase in demand and the reduction in staff. Client focus groups, conducted as part of the 2009 Community Assessment, confirm that clients are unable to secure adequate, appropriate mental health and developmental services for their children.

5) Temporary Childcare Scholarships - \$39,000

Link to PROP Community Assessment:

Child and Family Services staff report in management meetings, in qualitative interviews conducted as part of the needs assessment, and informally, that many families lose childcare for health reasons or for temporary loss of benefits. These families find themselves in significantly worse condition without benefits and without childcare, and, as a result, unable to find or locate work.



**ARRA
Needs Assessment**

American Recovery and Reinvestment Act funding will address two critical needs regarding job creation and institution capacity building.

JOB CREATION

Penquis’ service area of Piscataquis, Penobscot, and Knox counties, Maine, is struggling. The effects of the current economic climate are highly visible:

	Piscataquis	Penobscot	Knox	Maine	U.S.
Poverty, 2007 ¹	16.5%	13.5%	10.6%	12.2%	13.0%
Median household income ¹	\$32,989	\$41,348	\$44,619	\$45,832	\$50,740
Per capita personal income (2007) ²	\$27,373	\$29,324	\$33,974	\$32,095	\$36,714
Livable wage required to meet basic needs, single person, 2006 ³	\$10.28/hr	\$9.86/hr	\$10.70/hr	\$10.20/hr	-
School children receiving subsidized school lunch ⁴	53.7%	42.3%	38.9%	39.0%	-
Unemployment (March 2009) ²	13.5%	8.8%	9.6%	8.9%	9.0%
¹ Small Area Income and Poverty Estimates, Census 2000 ¹ ² Maine Department of Labor, Center for Workforce Research and Information ³ Livable Wages and Family Support, Maine Center for Economic Policy ⁴ Maine Kids Count 2009 Data Book ³					

Over the past 15 years, Maine has lost a significant number of manufacturing jobs. Manufacturing employment has fallen steadily from 1990 to 2007. In 1990 manufacturing was 17.4% of Maine’s total employment and by 2007 it was 9.6% of total employment.¹ From 2000-2007, manufacturing had a loss of 544 jobs, or 31.1 percent of employment in the sector in the northeast region (Penobscot, Piscataquis and Hancock Counties). 2004-2014 projections show a negative job growth of 12.3% in the region’s manufacturing industry.²

Hardest hit has been rural areas such as Piscataquis County. Piscataquis County was classified as “manufacturing dependent” in the 1990s to reflect its dominant economic trait; manufacturing employment contributed approximately 26% of jobs in 1999, well over the statewide average of 12%.³ From 2000 to 2007, the county lost 490 manufacturing jobs, which were replaced by 475

¹ Maine Economic Growth Council and Maine Development Foundation, *Measures of Growth 2009*, <http://www.mdf.org/megc/measures/megc2009.pdf>.

²Maine Department of Labor, <http://www.maine.gov/labor/lmis/county-economic-profiles/Piscataquis.xls#IndustryEmp!A1>

³ Allen, Thomas G., *An Overview of the Demographic and Economic Conditions in Maine: A background for workforce and tax policy consideration*, University of Maine, Margaret Chase Smith Policy Center, May 20, 2002.

lower-paying jobs in the service sector, a trend that is expected to continue.⁴ Piscataquis County has consistently been classified as a “labor surplus area”, because its unemployment rate during the previous two calendar years was 6% or more.⁵

The higher paying manufacturing jobs are being replaced by lower paying jobs. A study of laid off mill workers found that the average unemployment period was 38 weeks, but many people found only temporary work and ended up working several jobs. One woman, who trained to become a certified nurse assistant, reported that now she is working four jobs.⁶ A survey of 100 workers found a roughly 31 percent decrease in pay between the manufacturing jobs and the service jobs they later worked.⁷

Largest Major Industry Sectors, 2008	
Piscataquis County	Health Care & Social Assistance, 25% Manufacturing, 21% Retail Trade, 15%
Penobscot County	Health Care & Social Assistance, 20% Retail Trade, 16% Education Services, 11%
Knox County	Retail Trade, 16% Health Care & Social Assistance, 15% Accommodation and Food Services, 13%

According to Food and Medicine Director Jack McKay, the loss to the Eastern Maine economy totals millions of dollars. He estimates the decrease in income per worker is 17 thousand dollars. “And if you magnify that by the 2,080 workers who lost their jobs in the pulp and paper industry, that's \$37 million at minimum that's been pulled out of our local economy on an annual basis.”⁸

Mainers often hold more than one job to make ends meet. In 2007, 8.1% of all Maine workers were multiple job holders. This rate was over 1.5 times the national rate of 5.2% for that same time period. Maine’s multiple job holding rate has been higher than the U.S. rate since 1995. The Maine Department of Labor has suggested two reasons why Maine’s rate is higher than the national rate: high degree of seasonal work and growth in retail trade and other services where parttime work is prevalent. High multiple job holding rate is an indicator of stagnant wage growth.⁹ “The lack of wage growth for the bottom tier of workers indicates that many working families have not shared in even the modest gains in the economy and are struggling to get by.”¹⁰ The Maine Center for Economic Policy suggests that over 50% of the workforce is not earning enough in wages to make ends meet.

⁴ Bowley, Diana, Piscataquis County’s poverty runs deep: employment falls behind the rest of Maine, Bangor Daily News, May 19, 2009.

⁵ U.S. Department of Labor, Employment and Training Administration, <http://www.doleta.gov/Programs/lsa.cfm>.

⁶ Ravana, Anne, Report Tracks Displaced Workers, MPBN, Maine Things Considered, March 31, 2009.

⁷ Ibid.

⁸ Ibid.

⁹ Maine Economic Growth Council and Maine Development Foundation, *Measures of Growth 2009*, <http://www.mdf.org/megc/measures/megc2009.pdf>.

¹⁰ Cervone, Edmund, State of Working Maine 2007, Choices: Ideas for Shared Prosperity, Maine Center for Economic Policy, September 4, 2007, Vol. XII, No. 2.

Need: to create jobs that pay a livable wage.

BUILDING CAPACITY

Increased poverty and unemployment rates have increased the demand for services, particularly in areas of basic need. As of March 2009, Penquis had taken more than 1,000 applications for heating assistance than at the same time the previous year, and had a surge of individuals needing services related to housing. There were 800 people on the waiting list for Weatherization, 150 for Home Repair, and nearly 100 needing improvements to their heating system. There has also been a notable increase in transportation services. Penquis is on average providing or arranging approximately 10,000 *more* trips (serving approximately 400 more people) per month than last year. Fifty percent of this increase is attributable to the economic decline; the other half is the result of recent state mandates governing MR (mental retardation) transportation.

"The expected economic downturn will pose serious challenges for clients that rely on the services of nonprofits, particularly those in low-income communities. With fewer dollars flowing into the sector, nonprofits face the possibility of being forced to cut services at a time of increased need. Philanthropists, government, and nonprofit organizations will need to work together much more closely to ensure ongoing services for at-risk populations," said Clara Miller, president and CEO, Nonprofit Finance Fund.¹¹

With funding sources providing reduced or flat funding, it is important for Penquis to continue to focus on efficacy and efficiency in both service delivery and management, and to increase sustainability through innovative partnerships and coordination of community resources.

Need: Invest in resources needed to respond to the immediate increase in need and to foster long-term sustainability

¹¹ Mitchell, Patrick, As the Nonprofit Sector Faces Recession, Nonprofit Finance Fund Outlines 5 Recommendations to Prepare for Economic Downturn, Reuters, <http://www.reuters.com/article/pressRelease/idUS188348+13-Feb-2008+PRN20080213>.

WCAP ARRA Funding Narrative relative to the Community Needs Assessment findings

Dental Services in Waldo County

The Waldo County Community Needs Assessment clearly indicates a need for Dental Services. As of the 2008 Assessment there were seven dentists in the County and ten hygienists and the Waldo County was ranked as first lowest in the state of Maine and considered Dentally underserved. We continue to struggle to support the Dental Coordinator and pay for services of a hygienist to support the need for service and referral. Presently only one dentist is actively working with us, none are taking new Medicaid patients.

Page 31

Presently we have a \$5000. Direct service grant and an application for another. We completed a \$25,000.00 grant for the salary of the Coordinator with the JTG Foundation.

ARRA Funding of \$43,000. Requested for Salary of Coordinator and up to \$5000.00 of the \$43,000.00 for direct services. This secures a full time job.

Transportation Capacity

WCAP has the only public transportation service in the county in addition to two taxi services.

The assessment findings indicated a 45% increase in ridership and a grave concern about the costs of maintaining and operating vehicles with the increases in the prices of gasoline. Waldo county has an aging population and at least 80% of the riders are medical appointments for people who are not well enough to transport themselves or not old enough to transport themselves. P.19-20

AARA Funding of \$31,588. Requested to update dispatch software, training and purchase two vehicles allowing WCAP to hire two more drivers. This is improve the capacity, efficiency and save the taxpayer dollars since our system is less expensive than the current use of taxis. It creates two- part time jobs.

Comprehensive Management of Volunteers-Client Resource Development and Coalition Building

The Needs Assessment findings included a recommendation to develop a stronger volunteer system to support child services within the county by using foster grandparents and retired persons. In addition is there is a recognized need for information and education to be better available to prospective clients.

The community forums concluded that many people are unaware of what is available and how to access it. Health areas such as nutrition, obesity, and diabetes are particular areas of concern and identified as those with a need for consumer education. Parenting education was identified as a need. Page 58

ARRA Funding of \$112,000.00 to hire a Volunteer Coordinator and a Community Coordinator to develop coalitions, speakers bureaus for client education, and develop volunteer systems to address the particular needs of the children. Creates two full time jobs.

Capacity Building

In the Community Needs Assessment and repeated throughout the document were concerns about the need to have client access that is seamless and efficient and that needed information about services be available through many differing options. Materials and supplies and technological services are lacking in WCAP in order to address many of these needs.

The human capacity is also lacking in that we lost three key personnel in administration over the past year due to relocations and illnesses.

ARRA Funding of \$143,572.00 to hire a Planner Developer, Lap Top Computers for new staff and Family Advocates, Teachers, and Outreach staff to assist with the development of case management services and provide the tools to develop brochures, reports, and web sites, and an agency video to be used at community events and meetings. This is the creation of one full time job.

Strengthening Family Support Systems

The Assessment speaks to the numbers of children that come to kindergarten unprepared to learn as well as the numbers of working families that have issues with child care and transition of children from a part day pre-k or Head Start program to a child care provider. Waldo County is also experiencing an increasing number of children with special needs. Mental Health services are not well covered in this county. Long waiting lists and limited care is the norm. Coupled with domestic violence issues, young and untrained parents who are desperate to work and still not making ends meet, few jobs that pay living wages, and an economy that is weak at best with energy costs that have gone through the roof we have an increased need for multiple services.. p 62-65,

ARRA Funding of \$35,000.00 to hire an outreach receptionist to assist with the referral to appropriate services. In addition the Head Start Program is in need of software and training to support the outcomes reporting that is vital to the success of the partnerships we have developed with three school districts in the county and several child care providers. These efforts have pooled resources and offered parents full day services with expanded services in the area of health and nutrition and have stepped up the literacy and social emotional development for more children to come to school healthier and ready to learn. This is the creation of one full time job.

WHCA CSBG AARA Addendum to FY 2009 Community Needs Assessment

Project Title and Description

Senior Safe Project

WHCA has a small program that does minor repairs to homes of low-income senior citizens in order that they may continue to live in their homes. Existing programs are insufficient to address these projects. WHCA raises some of the funds for this project through local fund-raising. These funds will allow us to do about 15-25 more homes.

One of the focus groups in our Needs Assessment identified assistance to the elderly and disabled as an area of need. While home repair was not an item measured in the Needs Assessment survey, many survey respondents mentioned the need for assistance with small home repair in their comments and the community forum participants noted it as well.

Home Repair Partnership (NHNeighbors/Seacoast Mission)

WHCA will hire a person to be a Rehab Tech Specialist to assist local volunteer groups that do modest repairs to lower-income homes in the two-county area. Local faith-based groups work with summer group work camps to undertake lesser repairs to the homes of lower-income families, doing everything from painting, to roof replacements, to wheel-chair ramps. The program has pretty good results each year but is hampered by a couple of challenges. There is no single person with building construction experience to provide the significant time needed to coordinate the project. Even though the group work camps raise some money to pay for building materials, additional money is needed to pay for a variety of costs (volunteer mileage, skilled labor, materials, tools, waste disposal).

Ann Acheson noted in her summary of the Needs Assessment community forums that the housing stock is old and inefficient in the region and there are not enough programs to update and weatherize old housing stock. While home repair was not an item measured in the Needs Assessment survey, many survey respondents mentioned the need for assistance with small home repair in their comments and the community forum participants noted it as well.

Washington County Dental Collaborative

WHCA will support a growing collaboration between the Washington County Children's Program (WCCP) in Machias and Downeast Health Services (DEHS) in Ellsworth to enhance the delivery of dental services to uninsured children and MaineCare members in Washington and Hancock Counties. CSBG funding will enhance the ability of both agencies to build on their existing relationship, and support the delivery and coordination of existing oral health activities in both counties, particularly for low-income and MaineCare eligible children. The capacity for referrals for children identified with unmet dental needs is seen as a key benefit of this collaboration. DEHS expects to increase

portable hygiene services by at least three days per month, providing preventive oral health services to an estimated additional 30 children. WCCP will be able to preserve the two full-time dental hygienist positions (as well as their support staff) who provide the services of the WCCP's Oral Health Program, and alleviate the need to reallocate funds and job responsibilities.

Access to a dentist was reported as a serious to moderate problem for 25 percent of Needs Assessment survey respondents. Community forum participants said dental care in the area was inadequate, especially for adults.

Family Assistance Advocate

Many lower-income families are confronted with a variety of problems and do not know where to go for help. They often have difficulty working through the "system." The Family Assistance Advocate would be the initial contact person to help families connect with services. This position would function much like a "case worker."

In WHCA's Needs Assessment project, focus groups said lower-income people need advocates to help them navigate the social service world. Ann Acheson of the Margaret Chase Smith Policy Center who facilitated the community forums noted in her report that "Lower-income people are so busy with basic survival (adequate shelter, food, transportation) that they don't have time to lift themselves out of their situation." WHCA's Board made advocacy a priority in its FY2009 Strategic Plan.

Family Crisis Support Funds

Many low-income families are confronted with a variety of financial crises that a small amount of money (\$100-\$1000) could address. This could be such things as a mortgage payment to forestall foreclosure, payment of a month's rent, a food voucher, furnace repair, 100 gallons of fuel, etc. Setting up a pool of funds to be used for emergencies during this economic crisis would be valuable.

In our Needs Assessment survey of 290 low-income people, 69 percent of respondents said they did not have enough money to pay their monthly bills. Those who identified having enough money for basic needs as a serious to moderate problem filled the top four needs categories for all respondents. As one respondent put it, "Nothing can help us unless you can find a way to put more money in our pockets."

Low Income Advocacy Project

Utilize a new or existing staff person to recruit and train lower-income clients to advocate for themselves. Costs would be 1) some staff time, 2) mileage for staff and clients, 3) meal costs, 4) training.

In the Needs Assessment, participants were asked to make suggestions for ways to better help low-income people and many said there is a need for policy advocacy around low-income and poverty issues. WHCA's Board made this a priority in its Strategic Plan, with goals to increase their own role as advocates and to establish a program to recruit and train lower-income clients to be self-advocates

Customer Service Representative

Provide initial intake services and appropriate referrals for general calls to the agency and for walk in customers.

It was noted in our Needs Assessment report that although clients and other organizations recognized that WHCA was doing a good job in providing a wide array services, there is still a lack of awareness about the services that WHCA and other local organizations provide.

Financial Literacy

The WHCA Needs Assessment and other research have demonstrated the lack of financial literacy among low-income families. This project will provide financial literacy training to youth and adults in conjunction with other agency programs.

The need to provide programs to support financial literacy to help low-income families create and manage a household budget and obtain credit was identified as a high priority of the WHCA Needs Assessment and identified as one of the nine "categories of need".

Senior Services

The number of older adults continues to increase in Down East Maine because of aging baby-boomers, retirees, and individuals living longer. Like other areas of the country most of these individuals desire to "age in place." Therefore the demand for home-based services for the elderly is becoming an increasing area of demand and need. Rural areas of the state confront many service deficits. The Senior Services Specialist will identify sub-county regional service needs and work with community-based groups to develop local assets to address the need.

It was specifically noted in the WHCA Needs Assessment that the elderly are often not able to sustain their homes, need help around the house and help with maintenance, repairs, and chores but can't afford it. They may not be aware of existing programs, and may be too proud to ask for help. The Senior Services program is intended to alleviate this problem.

Technical and Development Assistance to create an Adult Day Service in Washington County

Conduct research and provide resource development and technical assistance to identify a location in Washington County and plan for implementation for an Adult Care Services program based on the Hancock County Friendship Cottage model.

The WHCA Needs Assessment identified that the care for the elderly is not being adequately met, particularly due to lack of availability and high cost. Also social opportunities for elders are limited. WHCA has a successful adult day service in Hancock County and it is a priority of the WHCA Board of Directors to provide a similar service to Washington County elders and their families.

Community Outreach and Information and Referral

Expand community outreach and increase information and referral of existing Community Action programs and additional services as a result of ARRA resources.

It was noted in our Needs Assessment report that although clients and other organizations recognized that WHCA was doing a good job in providing a wide array services, there is still a lack of awareness about the services that WHCA and other local organizations. WHCA plans to address this concern.

Business Loan Officer

The Downeast Business Alliance (DBA) of WHCA has a number of small loan pools for micro-enterprises and smaller businesses.

DBA needs a full time business loan officer to focus energy on properly disbursing Agency JobStart and EDM loan pools which currently stand at about \$225,000.

WHCA needs to build its capacity in order to efficiently get these funds into the hands of small business owners and entrepreneurs, who in turn can become more self-sufficient and create jobs. The current credit crunch makes this a high priority to sustain and grow new businesses. The board has made economic development a priority in its Strategic Plan with a goal to continue to support microenterprise and assist in the creation of new microenterprises. In our Needs Assessment, lack of employment in the region was cited as a concern at the community forums. Ann Acheson noted in her summary that “people are ‘patching together’ seasonal jobs to make ends meet,” but they prefer their “independence” to working with a single employer. This makes microenterprise a natural choice in an area where more than 30 percent of the population makes its living from small business.

Technical and Development Assistance to Food/Farm Businesses

In recent years value-added food production businesses and small farms have sought assistance from WHCA to improve the business aspects of their operations so they can grow their micro-enterprises and create and sustain jobs for themselves and others. WHCA will help them identify ways they can expand their businesses to retain and create jobs.

Although the food/farm sector was not specifically referenced in the WHCA Needs Assessment Report, enough money to pay bills, the need for stable jobs, the need for non-seasonal jobs, and living wage jobs were referenced on multiple occasions. The Down East Business Alliance division of WHCA recently completed an extensive study of various opportunities to support the growth of food/farm businesses. This project will help WHCA add direct value to the industry and thereby aid in sustaining existing jobs and create new jobs in the food/farm sector.

Transportations Services Training

Training will include Passenger Assistance for new drivers; safety and security training for drivers; child care safety seat installation and inspection; blood borne pathogen for drivers; certified dispatchers training; financial updates for management (A122, MAAP);

Maine State Vehicle Inspection training; defensive driver training for new drivers; customer service; and training to dealing with people with mental illness.

There were many references throughout the WHCA Needs Assessment report to the need for transportation to medical appointments, shopping, and work. As WHCA continues to serve and expand upon the transportation needs of Washington and Hancock County's low-income, elderly, and disabled citizens, it is important that transportation staff capacity be continually improved.

York County Community Action Corporation

MEMO

TO: Christine Merchant

FROM: Deborah Downs

RE: Community Needs Assessment Link to CSBG Draft Plan for ARRA Funds

DATE: May 20, 2009

As noted previously, we have relied primarily upon the Head Start 2008 Community Needs Assessment and the 2009 Update, as well as the 2006 *Poverty in Maine* Report and the 2009 Update, as we ensure that our plan addresses current and pressing needs, tailored to our specific communities. The following is a brief summary linking the YCCAC Draft Plan for CSBG ARRA funded projects with our community needs assessment:

Health and Dental Care - Available health care was one of five challenges cited by surveyed York County residents, along with the cost of utilities, affordable housing, employment, and food. Data from our health center confirms the need for prescription assistance as well as the need for expanded dental care in York County. Three projects will address these needs: (1) The hiring of a Family Nurse Practitioner in our Health Center, who will provide services to approximately 1,050 patients during the project period; (2) The Pharmacy Project, a partnership with a local hospital-managed Prescription Assistance Program, which will retain a threatened job and provide an invaluable benefit to many of our clients; and (3) Dental Services, which will provide assistance to another community partner, Community Dental, in its efforts to establish a new dental center in Biddeford.

Housing, Foreclosure, Layoff - In February 2009, York County had the most new foreclosures in the State of Maine, with 106. Our service delivery area has three of the top ten municipality foreclosure rates, Sanford being number one. Moreover, York County has experienced a number of major lay-offs in the past six months, notably R. R. Donnelley & Sons (374 employees), Wood Structures (168 employees) and West Point Home (121 employees). The *Poverty in Maine* report notes an upturn in Food Stamp use, a “sensitive and immediate indicator of short-term patterns of economic distress.” Four projects will address these needs: (1) Housing and Foreclosure Counselor, which will provide additional staffing to conduct housing counseling client intakes as well as clerical support; (2) Housing Retention and Family Stability Project, a fund which will assist households in need of shelter or in danger of becoming homeless through foreclosure or eviction; (3) an Emergency Financial Assistance Program, which will provide a basic

safety net for families experiencing economic distress; and (4) York County Food Rescue, a countywide community organization which distributes USDA commodity and recovered foods to 43 area food pantries, *all of whom* have indicated an increase in the number of households requesting help, some as much as 12-20 new families a week.

Neighborhood Revitalization and At-Risk Youth: York County Community Action's Sanford office is located in the midst of a depressed neighborhood, a focal point of town and agency activity. The schools in York County with the highest drop-out rate in 2006-07 were Sanford, Biddeford, and Old Orchard Beach. The Lafayette Neighborhood Revitalization Project, which will fund a part-time Youth Outreach Coordinator through a community partner, Strategies for a Stronger Sanford, will address both the pressing need for positive opportunities for neighborhood youth *and* the revitalization of a neighborhood park and field house as a community-building strategy.

ATTACHMENT H

“Poverty in Maine Update”

April, 2009

**Maine Community Action Association
Margaret Chase Smith Policy Center**

**Available from the Margaret Chase Smith Policy Center Website
at <http://www.umaine.edu/mcsc/>**



POVERTY IN MAINE UPDATE

Volume 2, Issue 1

April, 2009

IN THIS ISSUE:

Poverty is Persistent

Benefits

Food Stamps

Low Income Home Energy Assistance Program (LIHEAP)

Free and Reduced Lunch Program

Dear Readers,

We are pleased to present the first of two *Poverty in Maine Update* newsletters for 2009, produced by the Margaret Chase Smith Policy Center, University of Maine, with the support of the state's ten Community Action agencies. Our newsletters aim to present a picture of poverty in Maine, based on the most current and reliable data available from state and federal sources. This issue focuses on the latest trends in poverty rates and in major benefits programs serving the state's most vulnerable populations.

In reviewing the analysis here, readers should recognize that the impact of the current national recession is adding critical stress on Maine families that is not yet fully measured by the numbers in this newsletter. We anticipate that the recession will add significantly to the sober-

ing picture presented here. As we go to publication there is reason to be very worried about the future for Maine's low and middle income families. There are tens of thousands of Mainers who will struggle to maintain enough income to sustain themselves, especially if layoffs continue and fuel prices rise during the next winter.

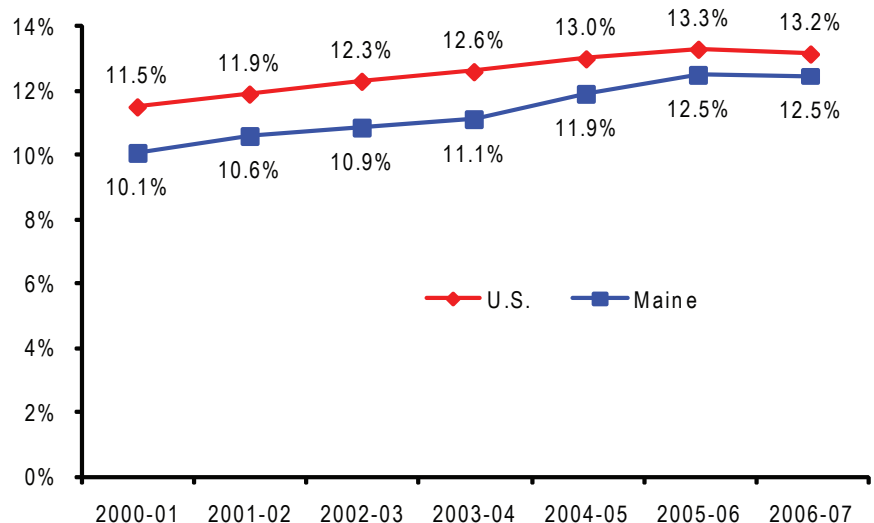
We hope you find this newsletter useful in understanding the issues and scope of poverty and economic distress in the state. We also hope that state leaders will use this information to design policies and programs that are most responsive to the needs of Maine's most vulnerable citizens.

Executive Director,
Maine Community Action Association

POVERTY IS PERSISTENT

The individual poverty rate in Maine remained at an elevated level through 2007. The state's two-year average individual poverty rate of 12.5 percent in 2006-07 was the same as in 2005-2006. It remains higher than its recent low of 10.1 percent in 2000-2001. By contrast, the two-year average poverty rate declined in the U.S. in the 2006-2007 period compared with 2005-2006.

Figure 1: Maine and U.S. Individual Poverty Rate Estimates, Two-year Averages*



* Because of possible fluctuations due to sampling error in poverty estimates, the Census Bureau recommends reporting changes in state poverty rates over time as two-year averages.

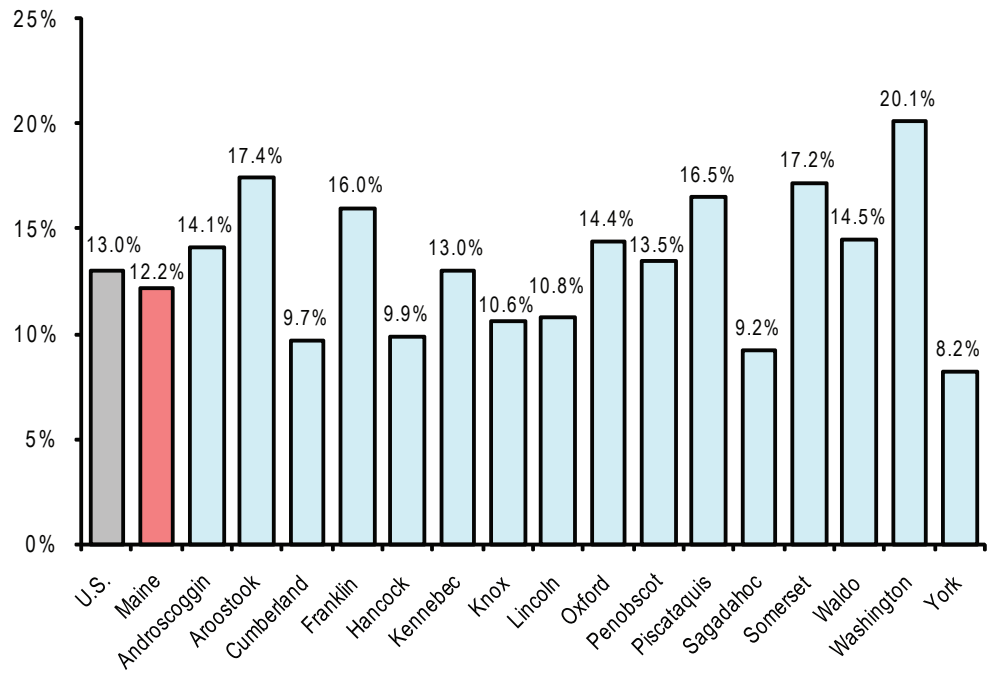
Margaret Chase Smith Policy Center
University of Maine

Maine Community Action Association

The poverty rate is considered a “lagging” indicator, in that it tends to rise after the “official” end of recessions. Poverty in 2008-09 is likely to show an increase both nationally and in Maine, reflecting the impact of the severe national and global economic downturn.

Regional poverty disparities continued in 2007. Washington County passed the dubious milestone of having a poverty rate of over 20 percent, more than double that of York County, with 8.2 percent, the lowest in the state. Somerset and Aroostook counties both had 2007 poverty rates of over 17 percent.

Figure 2: Individual Poverty Rates, 2007: U.S., Maine and Maine Counties



BENEFITS

2007 HHS Poverty Guidelines

Persons in Family or Household	Guideline
1	\$10,210
2	13,690
3	17,170
4	20,650
For each additional person, add	\$3,480

Poverty guidelines, issued annually by the U.S. Department of Health and Human Services, are used in determining eligibility for many federally-funded programs, including food stamps, the free and reduced school lunch program, the Low Income Home Energy Assistance Program (LIHEAP), Head Start, parts of Medicaid, and many other programs. Some programs use a percentage multiple in determining eligibility, and

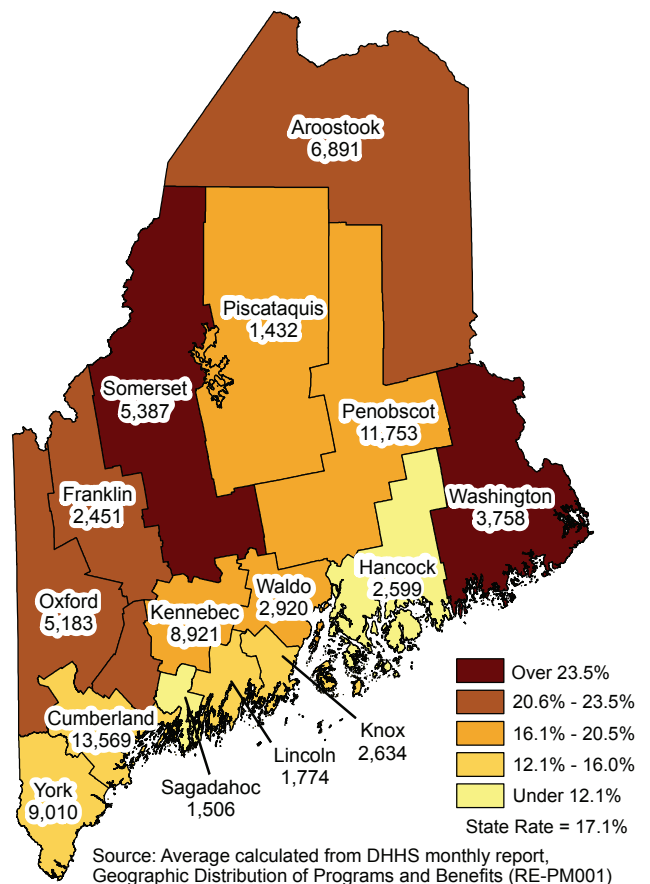
many have other provisions besides income (e.g., level of allowable assets, allowable deductions from income).

LIHEAP eligibility: In FY 2007-08, household income 150 percent of the federal poverty guidelines, 170 percent for households with members age 60 and over or age two and under.

National School Lunch Program Eligibility: Free lunch--household income 130 percent of federal poverty guideline; reduced price lunch--185 percent of federal poverty guideline. (For schools offering breakfast, the same guidelines apply.)

Food Stamps [Supplemental Nutrition Assistance Program] eligibility: Household gross monthly income at 130 percent of poverty guideline, and net monthly income (after allowable deductions) at 100 percent of poverty guideline. However, there are also levels of allowable assets, and allowances made based on age, disability, and source of income.

Figure 3: Households Receiving Food Stamps, Monthly Average by County, FY 2007-08



Source: Average calculated from DHHS monthly report, Geographic Distribution of Programs and Benefits (RE-PM001)

Food Stamps [Supplemental Nutrition Assistance Program]

The USDA's food stamp program (recently renamed "Supplemental Nutrition Assistance Program," or SNAP) is one of the most wide-reaching, low-income benefit programs in Maine. In FY 2007-08, a monthly average of 88,863 households in the state received food stamps, or 17.1 percent of Maine households.

Washington and Somerset counties had the highest rate of food stamp use, with a monthly average of over 26 percent of households receiving food stamps, while Sagadahoc County had the lowest rate, 10.7 percent. In Androscoggin, Aroostook, Franklin, Oxford and Penobscot counties, more than 20 percent of households received food stamps. Cumberland and Penobscot counties had the largest absolute numbers of households receiving food stamps, and sparsely-populated Piscataquis County had the fewest (Figure 3 and Table 1).

Table 1: Monthly Average Number of Households and Individuals Receiving Food Stamps and Program Participation Rates, FY 2007-08

	Households*	FS Cases		Population*	FS Individuals	
		Number	Percent		Number	Percent
Androscoggin	42,028	9,053	21.5%	100,164	18,786	18.8%
Aroostook	30,356	6,891	22.7%	71,993	13,087	18.2%
Cumberland	107,989	13,569	12.6%	257,982	26,247	10.2%
Franklin	11,806	2,451	20.8%	28,268	4,856	17.2%
Hancock	21,864	2,599	11.9%	50,394	5,301	10.5%
Kennebec	47,683	8,921	18.7%	113,534	17,649	15.5%
Knox	16,608	2,634	15.9%	38,292	5,320	13.9%
Lincoln	14,158	1,774	12.5%	33,269	3,826	11.5%
Oxford	22,314	5,183	23.2%	53,734	10,615	19.8%
Penobscot	58,096	11,753	20.2%	138,605	22,726	16.4%
Piscataquis	7,278	1,432	19.7%	17,011	3,052	17.9%
Sagadahoc	14,117	1,506	10.7%	34,909	3,298	9.4%
Somerset	20,496	5,387	26.3%	49,980	10,984	22.0%
Waldo	14,726	2,920	19.8%	35,704	6,176	17.3%
Washington	14,118	3,758	26.6%	32,985	7,207	21.8%
York	74,563	9,010	12.1%	184,069	18,520	10.1%
STATE**	518,200	88,863	17.1%	1,240,893	177,695	14.3%

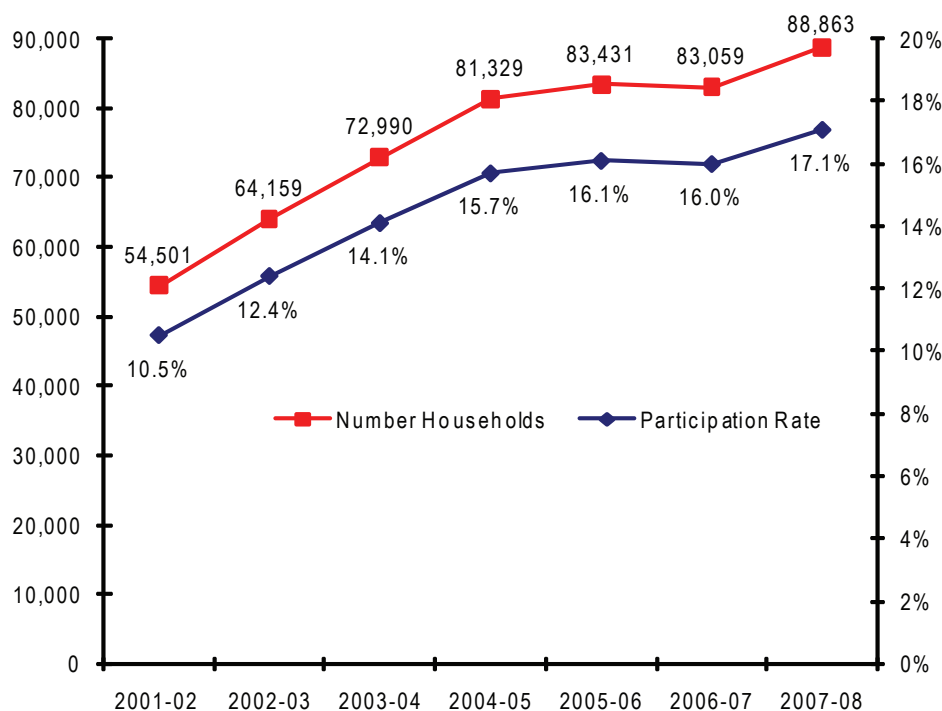
* Household and population numbers are from the 2000 US Census

**State food stamp figures include a few households with unknown or NH addresses

In FY 2007-08, a monthly average of 177,695 individuals received food stamps, or 14.3 percent of the state's population (Table 1). Somerset County had the highest percentage of individuals receiving food stamps (22.0 percent), followed by

Washington (21.8 percent), Oxford (19.8 percent), Androscoggin (18.8 percent) and Aroostook (18.2 percent) counties. Cumberland County had the largest number of individuals receiving food stamps (26,247).

Figure 4: Monthly Average Number of Households Receiving Food Stamps and Program Participation Rates, by Year, FY 2002 – FY 2008



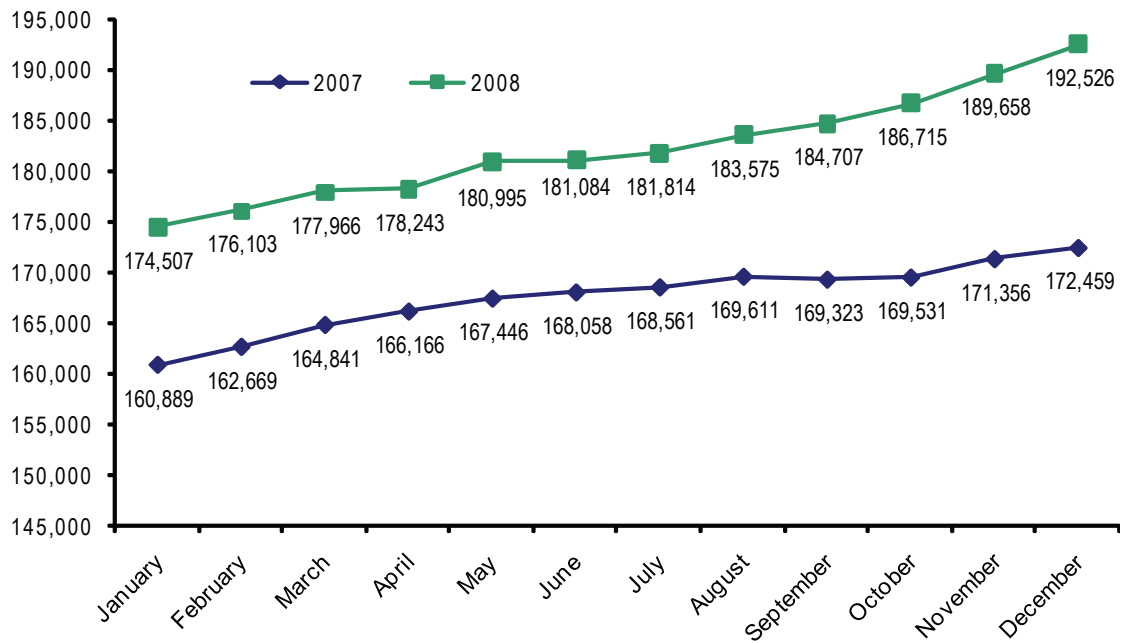
Trends in Food Stamp Use

After leveling off in the previous two fiscal years, the number of households receiving food stamps showed a dramatic upturn, from a monthly average of 83,059 (16 percent of the state's households) in FY 2006-07 to 88,863 (17.1 percent of the state's households) in FY 2007-08 (Figure 4).

In earlier years (2001-2006) increases in food stamp use can be explained more by changes in the administration of the program, such as increased outreach efforts to enroll those eligible, and the switch from paper to a debit card system, rather than by increases in the level of need.

However, the current increase in food stamp program participation is likely closely related to increased levels of need related to the economic downturn and possibly to last year's spike in fuel prices. Because food stamps is such a broad-based safety net program, it can be seen as a sensitive and immediate indicator of short-term patterns of economic distress.

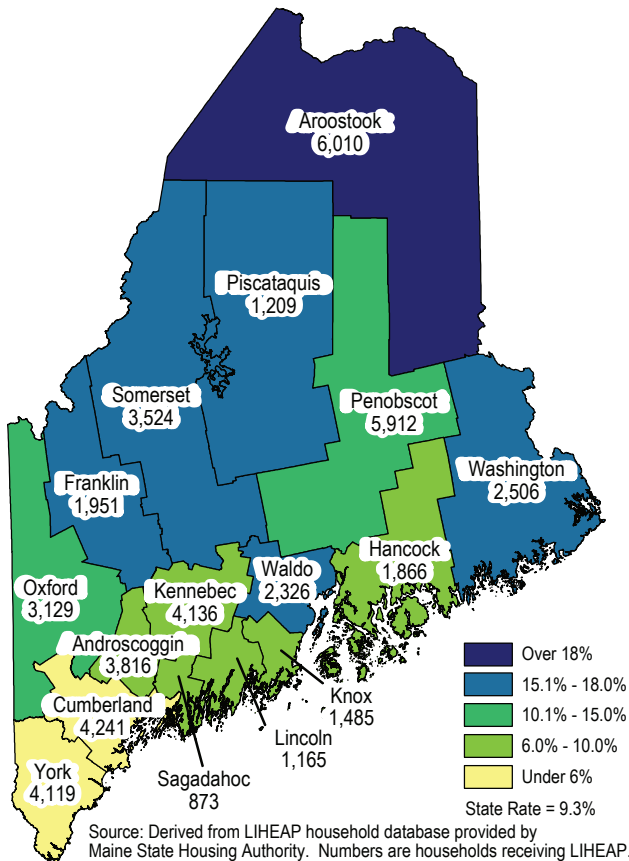
Figure 5: Number of Individuals Receiving Food Stamps, by Month, 2007 and 2008



Looking at month-by-month comparisons between 2007 and 2008

in the number of individuals receiving food stamps further illustrates the major upswing in the use of food stamps statewide (Figure 5). For example, comparing December 2008 with December 2007, there was an increase of over 20,000 in the number of people receiving food stamps (an 11.5 percent increase), from 172,469 in December 2007 to 192,526 in Decem-

Figure 6: Households Receiving LIHEAP, by County, FY 2007-08



Low Income Home Energy Assistance Program (LIHEAP)

The sharp surge in fuel prices in the FY 2007-08 heating season, along with colder than normal winter temperatures, caused hardship for many Mainers, especially the state's lower income population. Community Action Agencies (CAPs) saw a major rise in applications for fuel assistance, including an increase in applications from families whose incomes were over the LIHEAP qualifying limit and who were therefore not eligible for benefits. Communities, businesses, non-profit agencies, and coalitions of organizations attempted to bridge the gap between existing resources and levels of need by setting up temporary emergency fuel assistance programs. These programs helped to provide additional resources for those whose LIHEAP benefits were exhausted and for some families whose incomes exceeded the LIHEAP qualifying level but who were in severe distress because of the unforeseen increase in fuel prices.

The "fuel crisis" of 2008 highlights the fact that there are a substantial (but uncounted) number of working families in the state who are not included in poverty statistics, but who are in danger of suffering hardship with any upward spike in prices for basic needs such as food or fuel.

For the 2008-09 heating season (beginning October 1, 2008), the federal government passed a temporary change in eligibility requirements allowing additional Maine households to receive

LIHEAP benefits (household income 200 percent of federal poverty guidelines, or 230 percent for households with members over 60 or under two). There was also an increased funding level. These changes, combined with the sharp drop

in oil prices, should enable the LIHEAP program to provide more benefits to an expanded number of households during the current fiscal year.

In 2007-08, 48,278 Maine households received LIHEAP benefits, or 9.3 percent of all households in the state (Table 3). The number of individuals in these households came to 100,569 (Table 2). LIHEAP household participation rates ranged from just under four percent in Cumberland County to almost 20 percent in Aroostook County (Figure 6 and Table 3). Aroostook County also had the largest number of households receiving

Table 2: Characteristics of LIHEAP Recipients, FY 2007-08

	Total Households	Total Individuals	Average Household Income	Applicant Age 65 or Over		Single Person Households	
				Number	Percent	Number	Percent
Androscoggin	3,816	7,881	\$14,037	1,354	35.5%	1,832	48.0%
Aroostook	6,010	12,111	\$14,521	2,374	39.5%	2,779	46.2%
Cumberland	4,241	8,593	\$14,322	1,542	36.4%	2,115	49.9%
Franklin	1,951	4,095	\$14,085	643	33.0%	885	45.4%
Hancock	1,866	3,795	\$12,987	684	36.7%	889	47.6%
Kennebec	4,136	8,661	\$14,198	1,326	32.1%	1,947	47.1%
Knox	1,485	3,085	\$13,911	528	35.6%	679	45.7%
Lincoln	1,165	2,434	\$13,838	411	35.3%	538	46.2%
Oxford	3,129	6,667	\$13,783	1,000	32.0%	1,412	45.1%
Penobscot	5,912	12,539	\$13,863	1,820	30.8%	2,633	44.5%
Piscataquis	1,209	2,484	\$13,582	421	34.8%	540	44.7%
Sagadahoc	873	1,871	\$14,381	279	32.0%	398	45.6%
Somerset	3,524	7,543	\$13,790	1,203	34.1%	1,534	43.5%
Waldo	2,326	5,018	\$13,537	751	32.3%	1,042	44.8%
Washington	2,506	5,139	\$12,888	945	37.7%	1,136	45.3%
York	4,119	8,624	\$15,043	1,495	36.3%	1,960	47.6%
Unk. & NH	10	29		0	0.0%	2	20.0%
STATE	48,278	100,569	\$14,030	16,776	34.7%	22,321	46.2%

LIHEAP, 6,010. Over one-third of households statewide receiving LIHEAP were elderly (65 or over). Aroostook County, with one of the oldest populations in the state, had the highest proportion of elderly receiving LIHEAP (39.5 percent), while Penobscot had the lowest (30.8 percent). Close to half (46.2 percent) of households statewide receiving LIHEAP were single-person households (Table 2).

Table 3: Food Stamp and LIHEAP Household Participation Rates, FY 2007-08

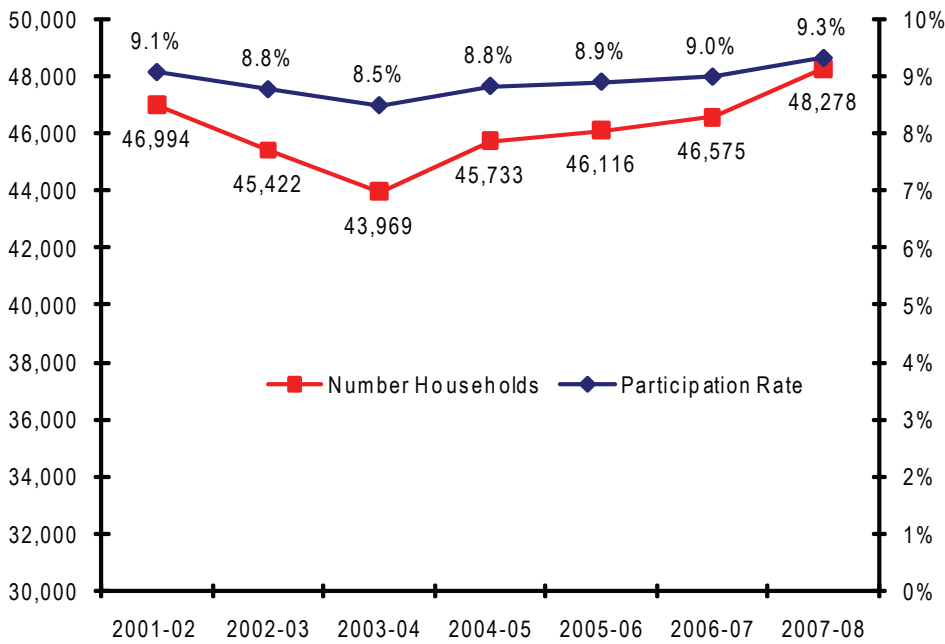
	Households (2000 Census)	Monthly Avg. Food Stamp Cases		Households Receiving LIHEAP	
		Number	Percent	Number	Percent
Androscoggin	42,028	9,053	21.5%	3,816	9.1%
Aroostook	30,356	6,891	22.7%	6,010	19.8%
Cumberland	107,989	13,569	12.6%	4,241	3.9%
Franklin	11,806	2,451	20.8%	1,951	16.5%
Hancock	21,864	2,599	11.9%	1,866	8.5%
Kennebec	47,683	8,921	18.7%	4,136	8.7%
Knox	16,608	2,634	15.9%	1,485	8.9%
Lincoln	14,158	1,774	12.5%	1,165	8.2%
Oxford	22,314	5,183	23.2%	3,129	14.0%
Penobscot	58,096	11,753	20.2%	5,912	10.2%
Piscataquis	7,278	1,432	19.7%	1,209	16.6%
Sagadahoc	14,117	1,506	10.7%	873	6.2%
Somerset	20,496	5,387	26.3%	3,524	17.2%
Waldo	14,726	2,920	19.8%	2,326	15.8%
Washington	14,118	3,758	26.6%	2,506	17.8%
York	74,563	9,010	12.1%	4,119	5.5%
STATE*	518,200	88,863	17.1%	48,278	9.3%

*State figures include a few households with missing or NH addresses

The number of households receiving LIHEAP benefits is considerably less than the number receiving food stamps (Table 3). Differences in eligibility for the two programs may account for some of the discrepancy. For example, food stamps may be issued to some members of the households discounting the income of others, while income from all household members is used in determining eligibility for LIHEAP. Moreover, those who live in subsidized housing where heat is included in the rent are not eligible for LIHEAP benefits, but are likely to be receiving foodstamps.

The discrepancy between the number of households receiving LIHEAP and those receiving food stamps also underscores the differences between open-ended programs such as food stamps ("entitlements") and those such as LIHEAP with annual funding limits allocated to each state. The level of a household's LIHEAP benefit, and how much fuel cost the benefit will cover, can fluctuate from year to year depending on the number of eligible applicants, the price of fuel, and the level of funds appropriated in a given year.

Figure 7: Households Receiving LIHEAP and Program Participation Rates, FY 2002 - FY 2008



LIHEAP Trends

Over the period from FY 2002 through FY 2007, the number of households receiving LIHEAP benefits remained relatively stable, with a slight dip in 2002-2004 (Figure 7). However in FY 2007-08, there was an increase in the number of households to the highest point in the last seven years. Although fewer households receive LIHEAP than receive food stamps, this pattern of increased use parallels recent increases seen in the food stamp and free and reduced school lunch programs, and all are very likely related to the state and national economic downturn.

Free and Reduced School Lunch Program

The National School Lunch Program for students in grades K-12 is administered through the state's Department of Education which operates the program through agreements with local schools. Participation is open to private as well as public schools.

Income-eligibility requirements are somewhat different for the lunch program than for food stamps, resulting in a higher participation rate for the lunch program than for food stamps. In the current school year (2008-09), 75,364 students are eligible for free or reduced lunch, or 39.1 percent of enrolled students (Figure 8).

More than half of students in Oxford, Piscataquis, Somerset, Waldo, and Washington counties are eligible for free or reduced lunch. In Cumberland, Sagadahoc and York counties, less than a third are eligible.

Figure 8: Enrolled Students Eligible for Free or Reduced School Lunch, October 1, 2008

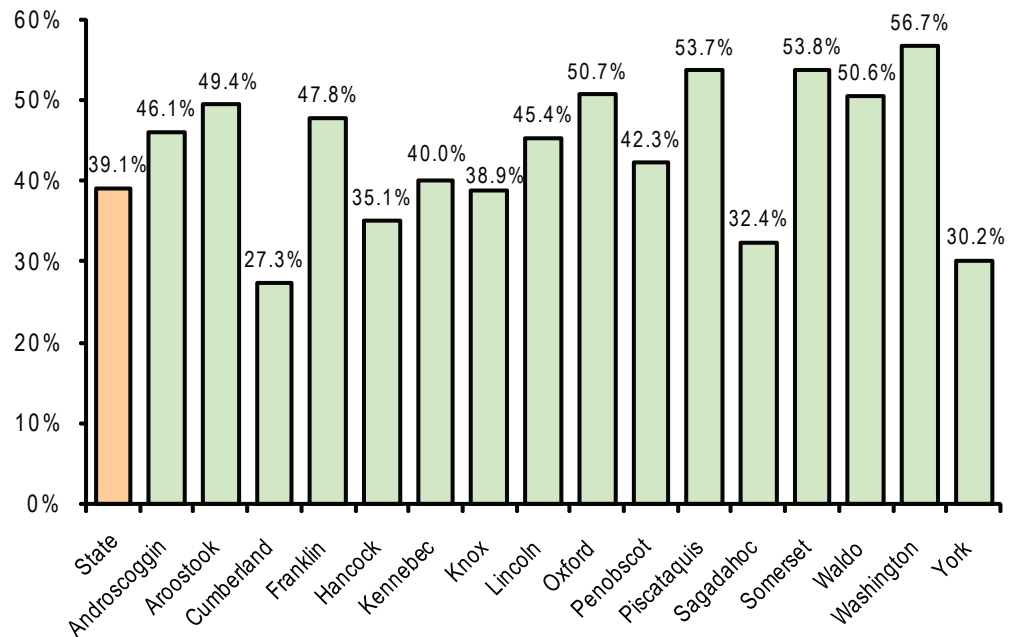
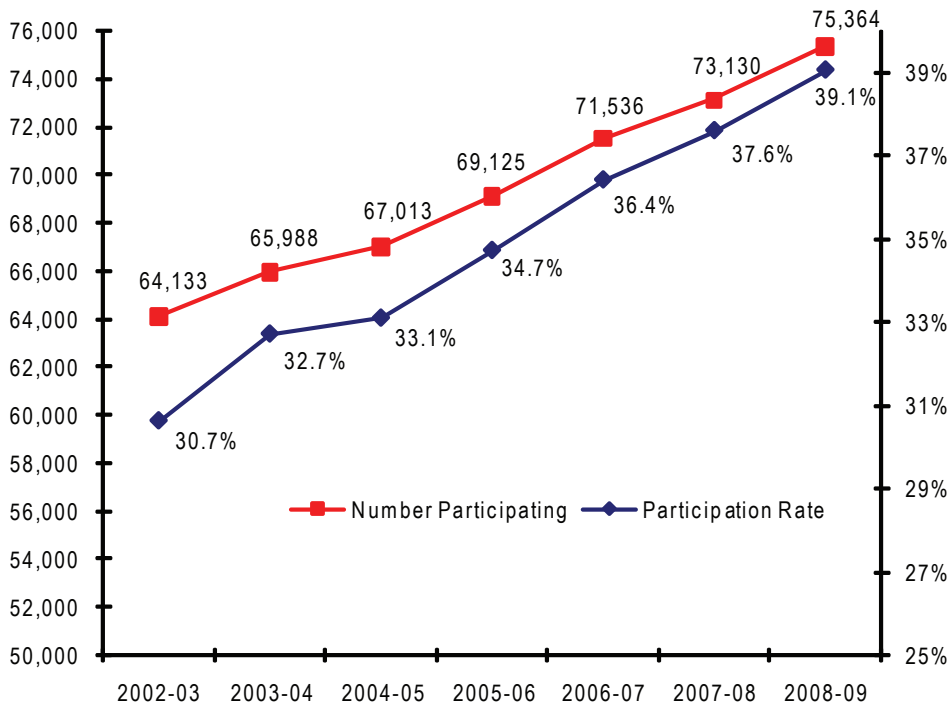


Table 4 shows breakdowns by county for free and reduced lunch. The percentage of students eligible for free and reduced lunch is important as a poverty indicator. However, the percentage of eligible students also has practical implications. A higher eligibility level entitles schools and school districts to obtain additional federal funds and to participate in programs aimed at disadvantaged students.

Table 4: Free and Reduced Lunch School Eligibility, October 1, 2008

	Total Enrolled	Free Lunch		Reduced Lunch Eligible		Total Eligible	
		Number	Percent	Number	Percent	Number	Percent
Androscoggin	15,145	5,768	38.1%	1,215	8.0%	6,983	46.1%
Aroostook	11,124	4,340	39.0%	1,159	10.4%	5,499	49.4%
Cumberland	41,251	9,243	22.4%	2,025	4.9%	11,268	27.3%
Franklin	4,239	1,653	39.0%	373	8.8%	2,026	47.8%
Hancock	6,771	1,815	26.8%	558	8.2%	2,373	35.1%
Kennebec	18,660	5,982	32.1%	1,483	8.0%	7,465	40.0%
Knox	4,769	1,509	31.6%	346	7.3%	1,855	38.9%
Lincoln	4,059	1,438	35.4%	403	9.9%	1,841	45.4%
Oxford	9,966	4,130	41.4%	920	9.2%	5,050	50.7%
Penobscot	21,955	7,565	34.5%	1,715	7.8%	9,280	42.3%
Piscataquis	2,774	1,186	42.8%	303	10.9%	1,489	53.7%
Sagadahoc	5,413	1,372	25.4%	382	7.1%	1,754	32.4%
Somerset	8,307	3,586	43.2%	880	10.6%	4,466	53.8%
Waldo	5,357	2,190	40.9%	518	9.7%	2,708	50.6%
Washington	4,869	2,247	46.2%	513	10.5%	2,760	56.7%
York	28,336	6,629	23.4%	1,918	6.8%	8,547	30.2%
STATE	192,995	60,653	31.4%	14,711	7.6%	75,364	39.1%

Figure 9: Enrolled Students Eligible for Free or Reduced Lunch and Program Participation Rates, FY 2003 – FY 2009



School Lunch Program Trends

The number of eligible students and the program participation rate has increased each year for the past seven years, generally paralleling the pattern of increases seen in the food stamps program. The rate of increase in school lunch eligibility was sharper this year than in the previous year, a trend seen also in food stamp enrollment. This is perhaps not surprising, since students whose families are receiving either food stamps or TANF (Temporary Assistance to Needy Families) are automatically eligible for free school lunch; the parent or caregiver need only check off that the student is a food stamps or TANF recipient when they return the application form to the school in the fall.

Correction Corner

The February 2008 *Poverty in Maine Update* newsletter indicated the number of students eligible for the lunch program in FY 2008 as 66,162, with a participation rate of 37.8 percent. Updated figures from the Department of Education indicate that the number was 73,130 and the participation rate 37.6 percent. The trend line shown here in Figure 9 reflects these updated and corrected numbers. The online version of the February 2008 newsletter has been updated with the correct figures. It is available at the Margaret Chase Smith Policy Center Website, <http://mcspolicycenter.umaine.edu>

Sources

Poverty rates information is from the U.S. Census Bureau, Small Area Income and Poverty Estimates Program, December 2008. "State and County Estimates." <http://www.census.gov/hhes/www/saipe/county.html>

Food stamp information is computed from the Maine DHHS monthly report, Geographic Distribution of Programs and Benefits (RE-PM001). <http://www.maine.gov/dhhs/OIAS/reports/reports.html>

LIHEAP information is derived from annual household databases provided to the Margaret Chase Smith Policy Center by Maine Housing.

School Lunch Program information is computed from an annual report of the Maine State Department of Education. http://portalx.bisoex.state.me.us/pls/doi_sfsr/eddev.ed534.ed534_parameters

Any and all figures presented here are the responsibility of the Margaret Chase Smith Policy Center and not of the provider sources.



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ATTACHMENT I

Community Action Agencies State of Maine Monitoring Plan

2007 Site Review Schedule

State of Maine
Department of Health and Family Services
Office of Child and Family Services

Community Service Block Grant Programs

*The process, questions and documents comprising the 2007 monitoring visits of
Maine's Community Services Block Grant programs*

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Introduction and Description of the CSBG Review Process

The federal Community Services Block Grant program requires states to conduct formal site reviews of each funded Community Action agency at least once every three years. Between April 2007 and December 2007, all ten of Maine's CSBG-funded CAAs will receive such a monitoring visit.

This packet summarizes the review process. It contains: 1) a listing of all scheduled review dates and locations; 2) a checklist of documents needed, separated by those needed in advance and those to be reviewed on-site; 3) a sample two-day schedule showing what activities will take place and when; and 3) the questions we will be exploring and the people with whom we'd like to speak (Sections I-VII of this document, pp.9-20). We understand that we may need to adapt the schedule to individual agency circumstances. (Some agencies, for example, have a board meeting scheduled during our visit; we'll rearrange the schedule to make the most sense for your agency and your volunteer board members.)

While we intend to explore the substance of the questions in Sections I-VI, note that Section VII (Fiscal Management) is quite lengthy and in-depth. *We do not intend to cover every element in that section*, but the list represents the universe of questions from which we will select elements to explore.

Maine's Supervisor, Community Services Unit, is the lead reviewer and may be accompanied by a fiscal auditor. An additional staff member from the Office of Child and Family Services may also participate to expedite the visits. *All work related to these reviews will be approached and conducted with the utmost respect for agencies, staff and volunteers, with as much openness as possible, and the development of any necessary plan of action(s) related to findings will reflect a joint problem-solving approach.*

As you review the sample two-day schedule (page 5), note that monitoring visits will begin with a very brief entrance conference, followed by a series of scheduled interviews with staff and board, the questions for which are contained in this packet (pages 9-14). Note that the fiscal portion of the review will be occurring simultaneously with the programmatic and agency management portions over the two-day period; this is necessary to adhere to a compressed schedule. For all interviews, we have specified the persons (by role or title) whose attendance we feel is necessary, but the agency executive director/CEO should feel free to add invite staff and/or board members whose knowledge and expertise would be beneficial. The executive director/CEO is welcome to attend the session on Board Governance (Section V). *Please designate an individual to serve as the coordinator for the entire visit, and who will be responsible for ensuring that arrangements are made for meetings, that the appropriate people are invited, and work space is available for the review team.*

Most monitoring visits for this year are scheduled for two days on-site; however each visit will require preparation both on the part of the reviewers and the agencies. Included in this packet is a list of documents that are essential to the review (pages 6-8); it indicates which must be sent in advance and which will be reviewed on-site. *Please send the advance documents a minimum of two weeks prior to the scheduled review date.* If a document appears on the requested list but your agency does not have such a document, please note that when you transmit the material requested. Also note that the list contains several documents that you will need to generate; these are simply lists that your agency may not have on hand in this format.

As we proceed with on-site document and file review, you'll need to have the appropriate staff available in respective subject areas to pull information and answer questions about file contents.

Based on scheduling, some agency visits will incorporate an agency's board meeting, though a focused CSBG discussion session with board members will be necessary whether it occurs as part of a regular board meeting or as a separate activity.

Within 30 days following the visit, the state CSBG coordinator will issue a brief report that will contain findings and if necessary, any required follow up. The primary goal of our monitoring visits is to meet the federal requirements for review, but we hope the time invested will also provide value to your agency. As we undertake reviews, we plan to revise the process so that it is as efficient and useful as possible. Your comments and observations are most welcome.

Please direct your comments and all requested documents to:

Christine Merchant, Supervisor, Community Services Unit:
DHHS OCFS 221 State St. Augusta, ME 04333
Christine.merchant@maine.gov
(207) 287-3690 phone (207) 287-5282 (fax).

Thank you.

Scheduled CSBG Monitoring Visits in Maine 2007

Agency	2007 Visit:
Kennebec Valley Community Action Program , (serving Kennebec & Somerset Counties), Waterville	April 30 – May 1
Coastal Economic Development Corporation (serving Knox, Lincoln, Sagadahoc and northeastern Cumberland Counties), Bath	June 6 & 7
Penquis Community Action Program, Inc. (serving Penobscot, Piscataquis, and Knox Counties), Bangor	July 2 & 3
Community Concepts Incorporated (serving Androscoggin and Oxford Counties), S. Paris	July 18 & 19
Washington Hancock Community Agency (serving Washington & Hancock Counties), Millbridge	August 23 & 24
Waldo Community Action Partners (serving Waldo County), Belfast	November 9
York County Community Action Council (serving York County), Sanford	December 2
Aroostook County Action Program, Inc. (serving Aroostook County), Presque Isle	December 10-11
People’s Regional Opportunity Program (serving Cumberland County), Portland	December 27
Western Maine Community Action Program (serving Franklin County), E. Wilton	December 31

Two-Day Visit Schedule (General)

This is a sample schedule for agency reviews. It will be adapted as necessary to accommodate the needs of the agency and availability of reviewers.

Day One

	Program and Management Track	Fiscal Track*
8:45AM	Entrance Conference <i>(Introductions, review of schedule, Q&A, select date and schedule phone conference)</i>	
9:00 – 10:45	I. Programs and Services (p.7) <i>Executive Director, Program Director(s), Agency Planner and board members</i>	VII. Fiscal Management , sections 1-6 <i>Meet with fiscal director for walk-through of general ledger (1 hour) followed by review of general ledger expenses</i>
10:45 – 11:00	Break	
11:00AM – 12:30PM	II. Human Resources (p.8) <i>Program Director(s), Human Resources Director</i>	VII. Fiscal Management , Sections 1-6 <i>Continued review of general ledger expenses</i>
12:30 – 1:30PM	Lunch	
1:30 – 2:45 PM	III. Community Connections (p.9) <i>Executive Director, Program Director(s), Agency Planner</i>	VII. Fiscal Management <i>Meet with Finance Committee Chair</i>
2:45 – 3:00	Break	
3:00 – 4:45	File client file review Personnel file review (selected items)	VII. Fiscal Management , Sec. 13,14 & 18 <i>Meet with CSBG program directors RE: budgets, financial reports and time cards</i>

Day Two

	Program and Management	Fiscal*
9:00 – 10:45 AM	IV. Agency Management <i>Executive Director, Agency Planner and any available board members</i>	VII. Fiscal Management , sections 7-12 File and records review
10:45 – 11:00	Break	
11:00AM – 12:15PM	VI. ROMA, Performance Indicators and Program Evaluation <i>Executive Director, Agency Planner, Program Director(s)</i>	VII. Fiscal Management , sections 7-12 File and records review
12:15 – 1:00PM	Lunch	
1:00 – 2:30	V. Board of Directors** <i>Board President and at least three board members, Executive Director</i>	VII. Fiscal Management , sections 15-16 File and records review
2:30 – 2:45PM	Break	
2:45 – 4:45PM	Complete document/file review (administration and personnel)	VII. Fiscal Management , sections 19-20 File and records review

* This review will require the availability of the finance director during the entire two-day visit.

** The Day Two schedule can be rearranged to accommodate the schedules of board members

Documents and Files for Review

These documents correspond to sections of the review, and the list is divided into those we will need in advance and those that can be reviewed on-site. Please provide all requested advance documents at least two weeks prior to the start date of the review.

I. Programs and Services

<i>Agencies provide in advance:</i>	<i>Agencies provide on-site:</i>
Evaluation tools & methods for CSBG-funded programs; evaluations (if performed) of CSBG funded programs for 2005, 2006, and/or 2007.	Client files (on-site; randomly selected)
Tools and procedures used to determine client eligibility	Written client feedback (complaints or praise) on file for 2005, 2006, and/or 2007.
Written policies and procedures guiding provision of services to clients, including any applicable client confidentiality/privacy guidelines	Tools and procedures used in individual client needs assessment/goal setting
Updated agency needs assessments for 2005, 2006, and/or 2007.	Memoranda of understanding for interagency referrals/services (on-site)
Reports generated in 2005, 2006, and/or 2007 using ROMA data	Sample(s) of management data reports used to track client/program progress
Client complaint/grievance procedures	

II. Human Resources

<i>Agencies provide in advance:</i>	<i>Agencies provide on-site:</i>
Organizational chart by position	Protocol for posting public meeting notices, and a sample of an actual posting (on-site)
Procedures for supervisors and managers, including hiring, orientation and training performance evaluation, process for determining compensation, termination, grievances and conflict resolution, etc. (if not in Employee Handbook)	Position description of positions funded @25% or more by CSBG (on-site; include ED)
Employee handbook and/or written organizational Policies/procedures provided to staff, including work rules and performance expectations, rules governing recordkeeping, purchasing, expense reimbursement, training, travel, compensation and benefits, ethics and conflicts of interest, etc.	Salaries and benefits of positions funded @ 25% or more by CSBG, supervisor's name and dates of hire (on-site)
List of all staff members (including title and description of CSBG role) with CSBG-funded positions (any amount) and the percentage of time allocated to CSBG (Please generate)	Record(s) of Training attended by staff funded @25% or more by CSBG (2006-2007)
	Access to specific documents within personnel files (documentation related to background checks, hiring authorization, salary increases and termination).

III. Community Connections

<i>Agencies provide in advance:</i>	<i>Agencies provide on-site:</i>
List of federal and state programs under which the agency provides service and the corresponding staff contact information for those programs (Please generate)	Memoranda of Understanding with other organizations that guide referral/service provision. (on-site)

IV. Agency Management

<i>Agencies provide in advance:</i>	<i>Agencies provide on-site:</i>
Most recent agency self-evaluation	
Current or most recent strategic plan (covering any portion of 2005-2007)	
Operational plan for the current year	
Findings from the last CSBG monitoring visit and any documentation related to action taken in response to findings	
Report or findings from agency or program reviews by any public funding source (2005-2007)	Responses/follow up action to findings from any agency program reviews by any public funding source (2005-2007)

V. Board of Directors

<i>Agencies need to provide in advance:</i>	<i>Agencies need to provide on-site:</i>
Bylaws	Articles of Incorporation
Board and committee meeting schedules for 2007	Most current board list that includes contact information, number of years on board, tripartite affiliation and when their terms expire
List of board committees and descriptions of their roles and responsibilities	Compilations of board attendance at meetings in 2006-2007 (full board and by committee). Indicate board meetings that lacked a quorum (Please generate)
Board minutes and Committee minutes for finance, executive and program committees for 2006 and 2007 to date	Vacancies on the board in 2006-2007; include period of time vacant and the sector (tripartite) of vacancy (Please generate)
	Board Orientation description/packet and board training information (plan, training outline, etc.)

VII. Fiscal Review

<i>Agencies provide in advance:</i>	<i>Agencies provide on-site:</i>
Chart of accounts with CSBG account number series identified	The 2007 detailed general ledger, by month, for the CSBG grant
Cost allocation plan	Subsidiary journals and ledgers such as general, cash receipts, cash disbursements and payroll
List of the agencies with which your agency sub-contracts CSBG funds and the amount of each contract. (Please generate)	Supporting detail (i.e. time cards/ invoices/documentation for selected transactions)
Copies of the two highest dollar value sub-contracts	2007 interim financial reports
Copy of your agency's sub-contract audit review and resolution process	Copies of FYE 2007 sub-contract audit reports and related audit review and resolution work papers
List of all bank accounts, the purpose of the account and the general ledger account number for each (Please generate)	Copy of agency sub-contracting policies and procedures
Copy of your 2006 or most recent audit engagement letter	File of agency audit selection and contracting process, including documents related to current auditor selection Bid documents Bid review work papers Verification of auditor credentials Audit engagement letter
	Past three months of bank reconciliations for all checking accounts
	Copy of detailed agency budget for 2006 and 2007

I. Programs and Services

Executive Director, Program Director(s), Agency Planner and any board members on the agency's Program Committee (or equivalent) (and any other selected staff).

This session is intended to provide discussion, understanding and documentation of agency current programs and services to low-income people and communities. Discussion questions may include:

1. What are the agency's current services and programs to low-income people and communities in its service area?
2. What are the agency's programmatic strengths?
3. How does the agency conduct needs assessments?
4. How does your program design respond to that need?
5. Historically, how has the agency developed its model(s) for its service design and delivery? (Trial and error? Evidence-based practice? Academic/grant supported research? Other?) Has the approach changed in recent years? How?
6. What quality improvement strategies does the agency utilize, and what actions have you undertaken in the past three years to improve client outcomes and professional practice? Has the agency implemented any new systems/policies/procedures in the past three years that support improved outcomes for clients?
7. How does staff keep abreast of advances in their respective fields and in the field of Community Action programs and services? How do you apply this learning to operations?
8. How often do program supervisors meet with the staff they supervise? (Is there an agency/program policy or is it determined at the supervisor level?)
9. How do you set annual projections and goals (numerical targets and outcomes) for services?
10. From your agency's perspective, who or what is a "client"?
11. What opportunities do clients have for input in shaping program design/service delivery?
12. How do you determine whether someone is eligible for services?
13. How are client goals determined?
14. How do you determine whether program participation is helping clients achieve those goals?
15. How does the agency coordinate services for clients using multiple agency programs?
16. How do you know when to close services to a client?
17. Under what circumstances would you refuse service to a client?

18. Does the agency have client information that is protected by law? (If so, what state/federal statutes apply, and to which populations?) What guidelines are in place to protect client privacy? How do you respond to requests for release of client information? How do you ensure that staff is aware of and protective of such information?

19. Is there any training or technical assistance related to program development, delivery or evaluation that would be important for your staff?

II. Human Resources

Program Directors, HR Director (or equivalent), **Executive Director** (optional) and any other selected staff.

This session is intended to provide discussion, understanding and documentation of agency staff structure, employment levels and employee benefits. Discussion topics may include:

1. Review of staff organizational chart.
2. In addition to salary, what benefits does the agency provide staff?
3. Has staff (specifically staff funded in part or entirely by CSBG) had annual performance evaluations in the past three years? (file review or other method)
4. Has staff funded by CSBG (25% or more) participated in any trainings or conferences in the past three years? (file review)
5. Have there been any vacancies in CSBG-funded positions? What positions and for how long?
6. How does the organization keep track of staff training?
7. How does staff make its training needs known to the agency?
8. How do you ensure staff compliance with federal prohibitions of political/electoral activity using agency/program resources? (include relevant documents)
9. How are ethical standards (for staff conduct, including interaction with clients) communicated and enforced?
10. What challenges (if any) do you encounter in recruiting and retaining qualified staff?
11. Do you have an affirmative action and civil rights compliance plan on file with the State of Maine? How current is that document? Does it require revision?
12. In addition to service on the board and its committees, does the agency use volunteers to support goals and outcomes in CSBG programs? (Roles, numbers)
13. Is there any training or technical assistance that would be beneficial to staff or volunteer development in helping them achieve successful outcomes for clients and the agency?

* * * * *

III. Community Connections

Executive Director, Program Director(s), Agency Planner (and any other selected staff)

This session is intended to provide discussion, understanding and documentation of the agency's collaborative efforts within its communities. For agencies serving multiple counties and communities, please reflect that geographic and community diversity in your responses to the following questions.)

1. What are the most significant sources of referrals to the agency's programs? (Specific)
2. What agencies are primary or vital partners in identifying and serving agency clients? How does the agency work with each of these partners to support client goals?
3. What community supports are important to agency success and how do they contribute to that success? (Be specific: business, religious organizations, academic institutions, etc.)
4. Within the agency's service community (or communities), does the agency participate in any networks, councils or other groups that foster communication and collaboration on policy, practice or service delivery?
5. What linkages exist between governmental and social services in your service area? What is the agency's role in those connections?
6. How do you communicate the agency mission, services, successes and challenges to the public and to prospective clients?
7. What is the agency process for conducting its three-year needs assessment? How do the following participate?
 - ✓ Partner agencies?
 - ✓ Staff?
 - ✓ Board?
 - ✓ Clients?
 - ✓ Public?
 - ✓ Consultants (paid or volunteer)
 - ✓ Others?

* * * * *

IV. Agency Management

Executive Director; Agency Planner, any interested board members.

This session is intended to provide discussion, understanding and documentation of the agency's overall approach to poverty, the role of CSBG funding, the agency planning process, agency capacity and agency compliance with audit or program review findings. Discussion may include:

1. What is the role of CSBG funding in the agency and how is that funding used?
2. Does your agency have a current strategic plan? When and how was it developed? How does the agency assess progress?
3. How are annual operational plans and budgets developed? How does the agency monitor progress in individual program areas? (Describe participants/roles)
4. Does the agency undertake formal self-evaluation? (What, how and when)
5. How does the agency assess community need for the purpose of shaping programs and services? (Specific steps/participants/frequency)
6. What have been the agency's most important achievements in the past three years?
7. Has the agency received any awards or similar public recognition for its service to the community in the past three years? (What and when?)
8. According to your agency records, when was the agency's last CSBG monitoring visit? Was any corrective action/follow up required?
9. Does the agency receive monitoring visits from any other public funding sources? Which? When? What was the outcome? What follow up (if any) was required?
10. Review of most recent agency audit, findings, and corrective actions.
11. How do you ensure that the public is aware of board and committee meetings?
12. In the past three years, has the agency been cited by any governmental (municipal/county/state/federal) agency for failure to comply with program requirements or regulations? If so, when/how was this communicated to the Board? What action steps were taken to respond to the findings?
13. During the past three years, has the agency been party to any litigation? If so, please describe the nature and outcome (or current status).
14. What are the benefits and limitations of agency service locations? (Geography, physical plant)
15. What transportation options do clients and staff have? What challenges does this present?
16. What back-up do you have for the agency's data and electronic systems?

V. Board of Directors

Board President and available board members

This session is intended to provide discussion, understanding and documentation of the role of the Board of Directors. Discussion topics may include:

1. From your perspective, what are the agency's strengths and challenges?
2. How does the agency's board fulfill its role of setting annual and long range goals?
3. How does the board exercise its responsibility for financial oversight/health of the agency?
4. Does the board receive briefings on and/or copies of agency reviews or evaluations produced by governmental or other funding sources?
5. What are the most significant contributions that board members have made to the success of the agency in the past three years?
6. What issues are the standing committees currently addressing?
7. What information do you receive about program performance and service outcomes? (What format/forums and how often?)
8. Does the board undertake any type of self-evaluation? (How and when?) What are the current board's strengths? What are its challenges?
9. What is the process for identifying and recruiting new board members?
10. How effectively has the board been able to maintain its tripartite balance? What challenges are associated with maintaining that balance?
11. When did the board last revise its by-laws? Are revisions needed to the current bylaws, and if so, is there a process and timeline to accomplish that in 2007?
12. What is the ED evaluation process and what is your role in it?
13. How does the board ensure that its members avoid conflicts of interest related to agency decisions?
14. What is the agency's procedure for public petition for adequate board representation?
15. Is there any training or technical assistance that you feel would benefit the board?

* * * * *

VI. ROMA, Other Performance Indicators and Program Evaluation

Executive Director, Planner, Program Directors, board members

This session is intended to provide discussion, understanding, and documentation of ROMA and other performance indicators at the agency. Discussion topics may include:

1. What client data do you collect and how do you use it?
2. How do you evaluate program performance? What performance reports does the agency routinely generate, to whom are they provided and when?
3. Has the agency received any awards or recognition from outside organizations within the past three years?
4. Under what other federal programs does the agency provide services? (Names of programs and contact names and information)
5. In the past three years, has the agency received a monitoring visit or review to an agency program funded by another federal or state grant/contract? Were any findings or reports generated as a result?
6. What staff is responsible for ensuring accurate and complete collection of ROMA data? (programs and positions)
7. How does the agency use this data? (Who reviews, how often, application)
8. Who (CSBG-funded staff, board) has had ROMA training and when?
9. Who currently needs ROMA training?
10. Is there any training or technical assistance related to program evaluation that would be useful to your agency?

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VII. Fiscal Management

Finance Director (will need to be available during the visit)

The fiscal review is intended to provide review, discussion, understanding and documentation of agency fiscal systems, policies and procedures. Discussion topics and activities may include:

1. Review Detailed General Ledger
Select large cost items and have supporting documentation pulled for review.
 - a. Is cost allowable and appropriate for CSBG funds?
 - b. Has proper procurement procedures been followed?
 - ✓ Request for purchase and appropriate authorization is attached
 - ✓ Documentation on how vendor was selected
 - ✓ Purchase order is attached with description of item and pricing
 - ✓ Receiving documentation attached and signed by person receiving
 - ✓ Paid within due date or date to receive any applicable discounts
 - ✓ Reported expenditures were incurred within the contract term
2. Review general journal entries (and request supporting documentation for selected general journal entries)
 - a. Is cost allowable and appropriate for CSBG funds?
 - b. Is rationale for entry justified?
 - c. Are allocations or other methods for determining the amount of cost applicable to the CSBG grant appropriate and follow policies?
3. Review expense items having miscellaneous or no descriptions (and request supporting documentation for selected general journal entries)
 - a. Is cost allowable and appropriate for CSBG funds?
 - b. Is rationale for entry justified?
 - c. Was expense incurred within the appropriate contract term?
 - d. Are allocations or other methods for determining the amount of cost applicable to the CSBG grant appropriate and do they follow policies?
4. Randomly select other expense items to review (items charged to CSBG)
 - a. Is cost allowable and appropriate for CSBG funds?
 - b. Has proper procurement procedures been followed?
 - ✓ Request for purchase and appropriate authorization is attached
 - ✓ Documentation on how vendor was selected
 - ✓ Purchase order is attached with description of item and pricing
 - ✓ Receiving documentation attached and signed by person receiving
 - ✓ Paid within due date or date to receive any applicable discounts
 - ✓ Reported expenditures were incurred within the contract term
5. Request copy of file containing executive director's expenses related to travel, training and miscellaneous other expenses
 - ✓ Review the executive director's travel and training requests for proper authorization and approvals
 - ✓ Review the executive director's expense reports for compliance with the ACPM and proper authorization and approvals.

6. Review agency fixed asset and equipment list
 - a. Is there a listing of equipment or other assets purchased by CSBG funds?
 - b. Is this list current?
 - c. What information is contained on this list?

7. Review reporting of expenses from last three or four months of 2006 and 2007.
 - a. Do expenses reported and claimed seem to be fairly constant throughout the year?
 - b. Are expenses reported consistent with the budgeted and approved line items?
 - c. Are expenses reported and supported by costs identified in the accounting records?

8. Review audit selection and contracting process
 - a. How often is the audit service re-bid?
 - b. Is there a clear and direct solicitation document?
 - c. Was the document distributed or made known widely?
 - d. Was there written evaluation criteria?
 - e. Did the evaluation committee consist of individuals knowledgeable in the skills required to effectively carry out the audit?
 - f. Obtain and review evaluation committee's notes, scores and final recommendation.
 - g. How was the final decision to select the audit firm made and what was the approval process?
 - h. Did the agency verify that the auditor was licensed by the State of Maine as a certified public accountant?
 - i. Did the agency verify that the auditor has an external quality control review within the last three years?
 - j. How did the agency verify that the auditor possessed the technical qualifications to perform an audit involving government programs?
 - ✓ Continuing professional education
 - ✓ Past experience with auditing agencies that had government programs
 - k. Does the engagement letter identify the type of audit to be performed?
 - ✓ Agency wide audit
 - ✓ Program specific audit
 - ✓ Agreed upon procedures audit
 - l. Does the engagement letter identify the audit standards to be met?
 - ✓ State single audit guide
 - ✓ Provider agency audit guide
 - ✓ Government audit standards
 - ✓ Does audit need to be in accordance with OMB A-133 standards
 - m. Does the engagement letter indicate what the cost of audit will be?
 - n. Does the engagement letter identify the audit deliverables?
 - ✓ Financial Statements and applicable reports and opinions
 - ✓ Compliance Statements and applicable reports and opinions
 - ✓ Required supplemental schedules and reports
 - ✓ Statement of functional revenue and expenses

9. Review subcontracting policies and procedures (if applicable): Select two or three subcontracts to see if policies and procedures were followed.
 - a. Is there a clear and direct solicitation document?
 - b. Was the document distributed or made known widely?
 - c. Were there written evaluation criteria?
 - d. Did the evaluation committee consist of individuals knowledgeable in the skills required to effectively carry out the audit?
 - e. Obtain and review evaluation committee's notes, scores and final recommendation.
 - f. How was the final decision to select the audit firm made and what was the approval process?

10. Review contracts
 - a. Does the contract specify the audit requirements?
 - b. Does the contract specify that the audit work papers must be available for state and federal inspection?
 - c. Is the contract signed and dated prior to the effective date by both the contractor and the granting agency?
 - ✓ The period of time covered by the contract
 - ✓ A detailed description of the services to be provided under the contract and the contractor's means of delivering them
 - ✓ The maximum dollar amount that can be paid to the contractor
 - ✓ A description of how payments under the contract will be made along with forms and instructions for fiscal reporting.
 - ✓ Program reporting requirements along with schedules and forms to be submitted.
 - ✓ Reference to state and federal rules and regulations unique to the program that must be complied with.
 - ✓ The source of funding which the contractor needs for audit purposes.

11. Cost monitoring
 - a. Are all contracts monitored in the same way?
 - b. Is fiscal on site monitoring a part of your monitoring process?
 - c. How is on site monitoring done and how is it documented and disclosed to sub-contractor?
 - d. Does the agency review contractor expense reports for consistency?
 - e. Does the agency receive and review documentation to support costs being claimed?
 - f. Does the agency review contractor expense reports to make sure they are within the budgeted line item amounts?
 - g. What does the agency do when expenses are about to exceed specific budgeted line item amounts?
 - h. Does the agency monitor claims for expenses to make sure that payment does not exceed the contract maximum amount?
 - i. What does the agency do when expenses are about to exceed the total contract amount?

12. Sub-recipient audit reports
 - a. Is there a written process for reviewing audits and resolving issues?
 - b. Does the agency use a checklist when review audits?
 - c. What does the agency review and why?
 - ✓ Financial Statements, notes and auditor opinions
 - ✓ Compliance reports and opinions
 - ✓ Revenue and expenses by grant or contract
 - ✓ Findings and questioned costs
 - ✓ Identify Profit
 - ✓ Identify and investigate large deferred revenue amounts
 - ✓ Other
 - d. Review files for documentation on identification and resolution of audit items
 - e. Review audit close out process

13. Review 2006 and 2007 budgets
 - a. Are there any significant changes in total agency revenue or specific revenue sources?
 - b. Are there any significant changes in total agency expenses or expenses charged to specific contracts?
 - c. Are there any significant changes in total between cost categories or cost categories charged to specific contracts?

14. Review 2006/2007 interim financial reports: review revenue and expenses statements.
 - a. Are revenues in line with budgeted amounts in total and by grant?
 - b. Are expenses in line with budgeted amounts in total and by grant?
 - c. Are expenses in line with budgeted amounts by category in total and by grant?
 - d. Is there a large profit or loss indicated?
 - e. What is done if any of these items do not appear to be in line or look unusual? (Interview)

15. Review balance sheet
 - a. What is current ratio (of assets to liabilities) and is it acceptable?
 - b. What is the agency's cash balance?
 - c. Are there any large receivables or payables?
 - d. Are there any large deferred receivables or revenues?
 - e. Are there any large uncollectible amounts?
 - f. Are there cash reserves equivalent to one-quarter of annual operating expenses?
 - g. What is done if any of these items do not appear to be in line with conventional standards?

16. Review cost allocations to verify agency followed approved plan.
 - ✓ Review supporting calculations for allocations
 - ✓ Trace allocated costs to the general ledger; verify that they are allowable and meet the criteria for allocation.

17. Review timecards
 - a. Are timecards available for all payroll periods
 - b. Are time increments sufficient to capture work effort of employees on specific grants if those employees are charging time to more than one area?
 - c. Do hours charged to CSBG grant match position description of time spent?
 - d. If the executive director or other manager(s) charges time directly to the CSBG grant, do they do the same for other grants?
 - ✓ Review for signatures of employee and supervisor
 - ✓ Review the executive directors timecard for signatures and allocation of time if applicable
 - ✓ Review hours charged to CSBG and documentation to support the time charged

19. Review of Finance, Audit, Budget or other similar committees (This may be part of agency management or board of directors sessions)
 - a. Is there a written description of the committee's role, responsibilities and duties?
 - b. Has this been reviewed and updated recently?
 - c. Does the committee review and amend financial policies and procedures as needed?
 - d. What is the background of members of this committee?
 - e. Are committee meetings held at regularly scheduled dates and times?
 - f. Review minutes of finance and related fiscal committees
 - g. Is there a quorum at most committee meetings?
 - h. Do most members consistently attend the committee meeting?
 - i. Is an agenda prepared and provided to each committee member prior to the meeting?
 - j. Are the minutes written in sufficient detail for the reader to understand what the various discussions were on issues presented to the committee?
 - k. Do the minutes contain the exact wording of motions made?
 - l. Do the minutes indicate whether or not there is there open and sufficient discussion regarding items and issues presented to the committee?
 - m. Does the committee review and approve the annual budget?
 - n. What is the procedure for amending the budget?
 - o. Does the committee review and approve monthly financial statements?
 - p. Are these statements submitted promptly and accurately?
 - q. Review of expenses and if yes in how much detail is reviewed.
 - r. Does the committee use the budget to control and monitor expenditures during the year?
 - s. Does management provide clear and reasonable explanations of budget variations?
 - t. Is there required review/authorization of checks over a certain amount / double signatures?
 - u. Is there a requirement that the committee review and approve large purchases?
 - v. Does the committee review dispositions of equipment and other property?
 - w. Is there a requirement that the committee review and approve new financial accounts or investments?
 - x. Is there a requirement that the committee review and approve any loans?
 - y. Is there a requirement that the committee review and approve contracts over a certain dollar amount?
 - z. Does the committee review agency audit reports, recommend and approve plans of action, and follow through to see if management implemented these corrective action plans?
 - aa. Does the audit team have an exit conference with the committee?
 - bb. Is this discussion included in the minutes?
 - cc. Who signs ED'S time card and expense reports?
 - dd. Who authorizes and approves travel, training, etc. for the executive director?

20. Review Bank Reconciliations

- a. Does the agency have a written policy or procedure regarding bank reconciliations?
- b. Does the agency follow these policies or procedures?
- c. Are reconciliations done on time?
- d. Who reviews and signs off on completed bank reconciliations?
- e. Who prepares entries required as a result of bank reconciliations?
- f. Who verifies and authorizes these entries?
- g. Who verifies that the entries are made and that they are made in a timely manner?
- h. Are there any overdrafts, negative balances or finance charges?
- i. Are there any old outstanding checks?
- j. Are there any other old reconciling items?

ATTACHMENT J

Community Action Agencies

Current Audit Schedule Listing

DHHS Division of Audit
CAP Agencies audit listing

Agency	Fiscal Year Ended	Due date of Single Audit	Date audit received
ACAP	9/30/2008	6/30/2009	4/30/2009
CCI	9/30/2008	6/30/2009	3/20/2009
KVCAP	9/30/2008	6/30/2009	NOT RECEIVED YET
MMCA	9/30/2008	6/30/2009	NOT RECEIVED YET
PENQUIS	9/30/2008	6/30/2009	NOT RECEIVED YET
PROP	6/30/2008	3/31/2009	3/16/2009
WALDO CAP	12/31/2008	9/30/2009	NOT RECEIVED YET
WHCA	9/30/2008	6/30/2009	NOT RECEIVED YET
WMCA	8/31/2008	5/31/2009	NOT RECEIVED YET
YORK CCAC	10/31/2008	7/31/2009	NOT RECEIVED YET

FOR THOSE NOT RECEIVED (NOT PAST DUE DATE): DATE OF LAST AUDIT

KVCAP	9/30/2007	6/30/2008	5/8/2008
MMCA	9/30/2007	6/30/2008	4/8/2008
PENQUIS	9/30/2007	6/30/2008	5/21/2008
WALDO CAP	12/31/2007	9/30/2008	9/2/2008
WHCA	9/30/2007	6/30/2008	6/30/2008
WMCA	8/31/2007	5/31/2008	2/19/2008
YORK CCAC	10/31/2007	7/31/2008	7/30/2008

ATTACHMENT K

Corrective Action, Termination and Reduction of Funding

Contract language from Rider B:

15. **TERMINATION**. The performance of work under the Agreement may be terminated by the Department in whole, or in part, whenever for any reason the Agreement Administrator shall determine that such termination is in the best interest of the Department. Any such termination shall be effected by delivery to the Provider of a Notice of Termination specifying the extent to which performance of the work under the Agreement is terminated and the date on which such termination becomes effective. The Agreement shall be equitably adjusted to compensate for such termination, and modified accordingly.

Language from the DHHS Division of Purchased Services Policy and Procedures Manual:

Agreement Monitoring

The Agreement Administrator shall monitor the timeliness, completeness, and accuracy of all fiscal expenditure reports, service delivery reports, performance based contracting reports, and all other reports required in Rider A of the agreement.

Compliance

The Agreement Administrator shall require the provider to demonstrate compliance through documentation or other appropriate means with any or all purchase of service terms.

The Department may initiate one or more of the following actions if providers fail to achieve, at a minimum, the baseline requirements of the agreement.

- Require the provider to evaluate the cause for their failure to achieve the baseline requirements contained in the agreement and to develop and employ new strategies. The Agreement Administrator shall determine if the current agreement will be amended to incorporate new strategies or if this should be done at the time of agreement renewal;
- Require the provider to engage the services of a program consultant to assist with correcting the provider's failure to achieve baseline requirements. The Agreement Administrator reserves the right to select the consultant or to participate in the selection of a consultant;
- Terminate the agreement

When a provider is out of compliance with the terms of an agreement, the following process may be followed.

- **Level I**
The Agreement Administrator will notify the provider in writing of any agreement compliance issues identified by Department staff. The notice will include the agreement provision that is in noncompliance and a date by which the provider must comply.

- **Level II**
If the compliance issues described at Level I have not been addressed by the specified date, the Program Administrator and provider will meet, discuss, and document the compliance issues. The provider will develop a corrective action plan, which includes the actions required for compliance, date by which the provider will be in compliance, and consequences for noncompliance. The corrective action plan must be approved by the Department.
- **Level III**
If the provider fails to undertake the corrective actions required for compliance with the contract, the Department may terminate the agreement in accordance with Rider B Paragraph 15.

Site Visits

The Agreement Administrator may conduct site visits at the provider's administrative offices and/or service delivery sites, as prompted by insufficient performance or other concerns, to observe, discuss, and evaluate the provider's capacity for carrying out the terms of the agreement. Follow-up action includes, but is not limited to, consultation with Department program management, corrective action plans, and special agreement requirements to address deficiencies.

- Corrective Action Plans are developed by the provider and subject to approval by the Agreement Administrator.

Program Reviews

Program Reviews will be conducted when the need is determined by program management in collaboration with the Agreement Administrator. These reviews will be conducted by a team, as determined by program management.

- Program Reviews are comprehensive, resulting in a full assessment of the services provided, compliance with the terms of the agreement and program requirements, and other areas as needed.
- Program Reviews are usually conducted on-site with the provider.
- If indicated, the Agreement Administrator may require the provider to develop a corrective action plan, subject to approval by the Department.

4.3 TERMINATION OF AGREEMENTS

Purpose

The Department enters into agreements with providers with the expectation that both parties will be able to comply with the terms and provisions of the agreement. However, in some instances the Department or the provider are not able to fulfill the terms of the agreement and must initiate termination of that agreement before the date specified in the agreement.

Standards

Termination by the Department

- **Department's Right to Terminate**

The Department shall have the right to terminate purchase of service agreements as set forth in Rider B of the agreement.

- **Written Notification Requirements**

For all actions by the Department to terminate agreements before the end date specified in the agreement, the Agreement Administrator shall provide a written **Notice of Termination** by certified mail or express mail addressed to the executive director or chief operating officer of the provider; see Appendix for a sample Notice. The **Notice of Termination** shall contain the following:

- The date that the letter is sent to the provider;
- The Department's intent to terminate the agreement;
- The effective date of the action;
- The reason(s) for termination;
- The effect(s) on funding and payments;
- Any other information as prescribed by the Department and indicated by the circumstances of the termination.

Right to Stop Payments

The Agreement Administrator shall have the right to stop payments to the provider for non-compliance with the terms of the agreement as well as non-compliance with the terms of previous agreements, such as non-submission or rejection of financial statements or corrective action plans for audit, or unpaid balances from a previous agreement. The Agreement Administrator shall give the provider notification prior to the stopping of payments whenever possible.

ATTACHMENT L

CSBG ARRA Grant Accounting, Reporting and Internal Control Plan

CSBG ARRA Grant Accounting, Reporting and Internal Control Plan

- Grant program title, CFDA # DUNS number, and total award
Community Services Block Grant ARRA Funds, CFDA # 93.710, DUNS #809045594 \$5,243,045
- Current chart of accounts for this program (Fund, Appropriation, Units) and chart of account elements set up for the new ARRA activity.

<u>Fund</u>	<u>Agency</u>	<u>Approp</u>	<u>Unit</u>	<u>Sub Unit</u>	<u>Object</u>	<u>Program</u>
021	10A	071601	8065	01	6401	CSBGRA
021	10A	071601	8068	01	6401	CSBGRA

The 021-10A-071601 codes will mirror the current account structure.

- Please identify the key program and finance personnel involved with this program and their roles/responsibilities.

Program – Christine Merchant, Supervisor Community Services Unit
Finance – Dan Dresser, Senior Staff Accountant; Diane Williamson, Manager Staff Accountant

- Identify risks, areas of concern, and or lack of information that could potentially result in noncompliance with state and federal program, accounting, or reporting requirements. A formal risk assessment should be developed. Please provide a copy of your risk assessment.

There is an overall low risk regarding noncompliance of program, accounting, and reporting requirements as noted below. These funds are to be spent to increase funding for established vendors. Reporting requirements are the same as the current reporting requirements with a stepped up timing of 10 days after end of quarter. Language in the contracts will spell out the dire consequences of not reporting promptly.

Identifiable Risks:

1. Cash Management Requirements:
Minimize the time between the draw of federal cash and the disbursement as required by federal regulations-review that draw downs are not based on estimates, costs are allocated timely (cost allocation), or that reconciliations of draws to expenditures are performed timely.
2. Accuracy of SEFA reports
Lack of understanding of SEFA requirements and lack of account reconciliation caused the incorrect reporting of federal expenditures.
3. Fraud and Waste

Risk Assessment:

1. Federal cash balances will be monitored to ensure compliance with federal cash management requirements and federal cash draws will be reconciled to reported expenditures in a timely manner. Cash draws should not exceed reported expenditures. Current policy and procedures will be utilized to accomplish this goal. In addition, draw sheets should properly account for the ARRA draws.
2. Additional staff has allowed time and energy to be expended to understand how to compile the SEFA report.

3. Financial Reporting – Quarterly Financial Reports

The Division of Purchased Services has developed a quarterly “true up” using quarterly reports prepared by community agencies to match contract payments with actual expenses and to take steps, if necessary, to ensure that significant overpayment on an agreement is avoided. These quarterly reports compare the budgeted revenue and expenses to the actual revenue and expenses for the reporting period. For cost-shared agreements, the Department may adjust the scheduled payment, based on the quarterly financial report specified in Rider A, if there is an over- or under-expenditure of budgeted funds or an over- or under-delivery of services for 3 consecutive months. These adjustments are reflected in the next monthly payments. The amount of the adjustment is based on the quarterly financial report by taking the difference between the cash reimbursable amount for the reporting quarter and the actual agreement amount paid by the Department.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION OF PURCHASED SERVICES

PROCESS FOR AMERICAN RECOVERY AND REINVESTMENT ACT FUNDS

INTRODUCTION

Department staff will utilize the following policies and procedures in the development and approval of all purchase of service agreements involving American Recovery and Reinvestment Act (ARRA) funds. The purpose of the policies and procedures is to assure quality services, reasonable costs, and compliance with all applicable Federal and State statutes, rules, and regulations.

REQUIREMENTS FOR AGREEMENT DEVELOPMENT

Purpose

The Department has established standards that address the conditions under which services may be purchased, as well as the methods used to procure these services.

Standards

- The objective of these standards is to promote and ensure a system of management planning and control for the provision of community services using ARRA funds that is efficient, cost effective, and in compliance with applicable statutes, rules, and regulations.
- The provisions of the rules entitled Maine Uniform Accounting and Auditing Practices for Community Agencies, promulgated by the Maine Department of Finance effective January 1, 1987, are incorporated herein by reference in their entirety. No exceptions may be made by any Department representative.
Website: <http://www.maine.gov/sos/cec/rules/10/chaps10.htm>, select Ch 30
- The Department adopts federal circulars A-110, A-122, A-102, A-133, A-87, Common Rule, and A-21 in their entirety with the exceptions noted in 10 144, Chapter 50, as applicable to the type of corporation.
Websites: <http://whitehouse.gov/omb>
and <http://www.maine.gov/sos/cec/rules/10/chaps10.htm>, select Chapter 50
- The Department shall comply with and enforce all purchase of service requirements set forth in 5 MRSA, Chapter 155, §1816-A and §1825-B, et seq.; performance based contracting requirements set forth in 22 MRSA, Chapter 1, §12-A; and the Department of Administration and Financial Services, Bureau of General Services (18-554) Rules for the Purchase of Services and Awards (Chapter 110).

Sole Source Approval vs. RFP

- Agreements that are for \$5000 or less may be processed without sole source approval or an RFP.
- Agreements over \$5000 are processed either through a request for proposal process or approval of a sole source procurement.
- The requirements for sole source procurement are
 - available only from a sole source;

- is of such narrow scope or constraint that the need can be met satisfactorily only by a single source;
 - is of such compelling urgency that government operations would be seriously impaired by delay inherent in following competitive procedures; or
 - is otherwise the most economical, effective and appropriate means of fulfilling a demonstrated need.
<http://www.maine.gov/purchases/agencyinfo/servicecontracts.html>
- Sole source approvals are determined by DAFS Division of Purchases. Justification is detailed on the BP37R.

Vendor Obligations

- Reporting Requirements section in Rider A of the agreement provides a listing of the required reports and respective due dates. The vendor will maintain detailed records of their expenditure of Stimulus Funds in connection with the agreement and submit reports as requested by the State of Maine. The State of Maine as the recipient of funds under the ARRA is subject to quarterly reporting requirements and oversight by Federal agency inspectors. Additional reports may be required under the agreement as needed.
- The vendor will post any jobs that it creates or seeks to fill as a result of the stimulus funding. Vendors will post to Maine Career Centers <http://www.mainecareercenter.com/> notwithstanding any other posting they might make. Any advertisements posted by the vendor for positions pursuant to the agreement must indicate that the position is funded with stimulus funds. The Department may waive the requirements of this section at its discretion.

Agreement Start Date

- Agreements must be approved by the State Purchases Review Committee (SPRC) before the beginning date of the agreement. No work may begin prior to SPRC Approval.

Approval Process

- To assure compliance with the above rules and ARRA requirements, agreements must be reviewed/approved by the Director, Division of Purchases, prior to sending to the vendor for signature.

Additionally, on site reviews (required by the grant) are conducted every three years covering seven areas; Programs & Services, Human Resources, Community Connections, Agency Management, Board of Directors, Performance Indicators, Performance Evaluation and ROMA (Results Oriented Management & Accountability), and Fiscal. The last on site review of the ten Community Action Agencies was conducted in 2007 by Christine Merchant and staff from Audit. There were no major findings as a result of these visits. On-going desk audits of programs and financial reports are maintained by Christine Merchant and Carol Fleury, Agreement Administrator, Purchased Services.

In preparation for a federal site visit scheduled September, 2010, a monitoring template from HHS Office of Community Service is being followed.

- Direct charging via payment interface, PRC or GAX to ARRA funds 020 and 021 is preferred. However, we recognize that journal entries may be necessary. Please identify what types of journals your agency may be processing to record ARRA activity and the basis that will be used to calculate journal entries. Please contact your agency financial reporting liaison at OSC for instructions on what to submit for supporting documentation with your ARRA journals.

We do not intend to use journal entries.

- Is this grant entitled to retro ARRA funding? How will this be handled by your agency?

We do not plan to retro CSBG ARRA funds. We plan to spend ARRA funds on expenses after the Award Letter was received on April 16, 2009.

- Identify what internal control measures you will be taking beyond standard practice to ensure proper implementation, accounting and reporting of ARRA funding.

All (new) agreements with providers will include specific language on the use of the funds and the reporting requirements.

Reporting processes will be developed to assure that the required reporting is completed on time.

- How do you plan on communicating ARRA policies and procedures to all parties involved?

CSBG ARRA funded agreements will include reporting requirements that meet both the state and federal transparency and accountability provisions.

- Please identify the applicable state and federal reporting requirements for this grant.
<http://www.acf.hhs.gov/programs/ocs/scbg/outlinemodel.html>
<http://www.acf.hhs.gov/programs/ocs/scbg/guidance/im109.html>
<http://www.acf.hhs.gov/programs/ocs/scbg/qna.html>
- ARRA accelerated reporting requirements? If so, how do you intend to meet this deadline?

The ARRA includes provisions related to ensuring transparency on expenditures from stimulus funding will be made available to the public through the website <http://www.recovery.gov/>. This involves implementation of specific reporting requirements for all recipients of recovery funds, including CSBG eligible entities in Maine, the ten Community Action Agencies. OCFS Program Staff, Christine Merchant, will review and submit required reports. She will cross train with OCFS Program Staff accountable for VOCA ARRA reporting, Melissa Read, to insure adequate office knowledge of the process.

CSBG ARRA Draft Plans from the 10 eligible entities have been sent to Kathy Bubar and Steve Turner for initial review.

Reporting Requirements (excerpted from IM109)

There are supplemental reporting requirements for all Recovery Act funds. HHS is working to clarify and streamline the Recovery Act reporting needs, and OCS will issue specific guidance on these requirements, including necessary adaptations to current data collection efforts, to State grantees and eligible entities, when available. The additional reporting requirements under the Recovery Act:

“Not later than 10 days after the end of each calendar quarter, each recipient that received recovery funds from a Federal agency shall submit a report to that agency that contains—

- the total amount of recovery funds received from that agency;
- the amount of recovery funds received that were expended or obligated to projects or activities; and
- a detailed list of all projects or activities for which recovery funds were expended or obligated, including--
 - the name of the project or activity;
 - a description of the project or activity;
 - an evaluation of the completion status of the project or activity;
 - an estimate of the number of jobs created and the number of jobs retained by the project or activity; and
 - for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment.

(4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-262), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of the Office of Management and Budget.”

The reporting requirements under the Recovery Act do not modify the requirements described in Section 676(b)(12) of the CSBG Act, which states:

“...the State and all eligible entities in the State will...participate in the Results-Oriented Management and Accountability (ROMA), another performance measure system..., or an alternative system for measuring performance and results that meets the requirements...”
[Section 676(b)(12) of the CSBG Act]

States and eligible entities must continue to fulfill all reporting requirements in the CSBG Act in addition to those required by the Recovery Act.

As part of the efforts to ensure transparency and accountability, the ARRA requires Federal agencies and grantees to track and report separately on expenditures from funds made available by the stimulus bill.

Calendar for Reporting to the Federal Government

Program and Financial Reports

Due Date

July 1, 2009 – September 30, 2009

October 10, 2009

October 1, 2009 – December 31, 2009

January 10, 2010

January 1, 2010 – March 31, 2010

April 10, 2010

April 1, 2010 – June 30, 2010

July 10, 2010

July 1, 2010 - September 30, 2010

October 10, 2010

- Identify any additional state and federal compliance regulations and requirements applicable to this ARRA funding for this grant program. If this is a new grant, please provide information on state and federal compliance regulations and requirements.

Financial Status Reports on SF-269 is required. As noted above, ACF will be providing additional guidance regarding specific reporting for the ARRA funds.

Quarterly Financial Status Reports (FSR) prepared by Service Center Senior Staff Accountants, reconcile the revenue and expenditure queries used for the FSR to the period ending cash balance from the GA02 Cash Report and will continue to do so and report this the Office of the State Controller.

- Has your agency reviewed all contracts to internal and external parties to ensure that they are appropriately classified as a vendor or a subrecipient and that the contract contains sufficient detail of the responsibilities of each organization to ensure timely and accurate reporting on the use of ARRA funds, compliance with grant award requirements and State regulations, and proper reporting of the expenditure of federal dollars on the Federal Status Reports and the Schedule of Expenditures of Federal Awards.

All ten contracts to external parties will be sub-recipients. CSBG specifies that “eligible entities” within each state are entitled to receive 99% of the available ARRA funds for purposes described in IM109. 1% of the funds shall be used for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs.

- Reporting Requirements section in Rider A of the agreement provides a listing of the required reports and respective due dates. The vendor will maintain detailed records of their expenditure of Stimulus Funds in connection with the agreement and submit reports as requested by the State of Maine. The State of Maine as the recipient of funds under the ARRA is subject to quarterly reporting requirements and oversight by Federal agency inspectors. Additional reports may be required under the agreement as needed.
- The vendor will post any jobs that it creates or seeks to fill as a result of the stimulus funding. Vendors will post to Maine Career Centers <http://www.mainecareercenter.com/> notwithstanding any other posting they might make. Any advertisements posted by the vendor for positions pursuant to the agreement must indicate that the position is funded with stimulus funds. The Department may waive the requirements of this section at its discretion.
- Have you considered relationships with other grant programs and how they will impact your ARRA funding and accounting? Please identify those programs and the relationship and how you will be addressing the flow of transaction activity.

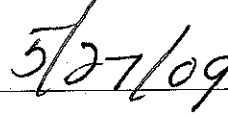
Eligible entities currently report performance measures quarterly on a data base maintained by USM. Separate measures will be added to this data base to capture ARRA funded CSBG activity. Separate quarterly financial reports will be required of eligible entities for CSBG ARRA funds as well. Community Action Agencies will be receiving ARRA funds from a variety of other sources which will vary throughout the state. All of these providers will be expected to identify, expend, and report separately for ARRA funds regardless of the various grant sources.

- Please provide documentation on the procedures your agency will be implementing to ensure compliance with program, accounting and reporting regulations and requirements.

1. Letters to eligible entities/sub recipients currently receiving CSBG funds which identify allocation of CSBG ARRA funds.
2. Update Advantage ME to include ARRA account numbers.
3. Agreements with eligible entities will include specific Rider A requirements that align with state and federal reporting requirements including dates.
4. State Plan for CSBG ARRA funds will be made available for public review and comments on the state website, then will be submitted to ACF by May 30, 2009.



Preparer(s) Signature and Title



Date

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THE DEPARTMENT OF HEALTH AND HUMAN SERVICES,

The Department of Health and Human Services, Office of Child and Family Services, Division of Public Service Manager Service Unit announces the Community Services Block Grant Recovery Act Plan is available for review and comment period ends Wednesday May 27, 2009 at 5 pm. Individuals or Agencies may access the Plan on the <http://www.maine.gov/dhhs/recovery/csbg-recovery-plan.shtml> Copies of the CSBG Recovery Act State Plan are available upon request. Requests for copies and comments can be made to: Christine Merchant, Community Services Unit Supervisor SHS 11, Augusta, ME. 04333 Christine.merchant@maine.gov (207) 624-7934 TTY (207) 287-5048

Appeared in: ***Kennebec Journal*** on Sunday, 05/24/2009



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John E. Baldacci, Governor

Brenda M. Harvey, Commissioner

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