

# State of Connecticut – American Rescue Plan Act – Coronavirus State Fiscal Recovery Fund Allocation Implementation Form – Version 2.2

(Released and Required as of 1.24.2023, Updated as of 8.10.2023)

*The American Rescue Plan Act of 2021 (ARPA) is the sixth federal COVID-19 relief bill passed in the last year, and is by far the largest infusion of resources to the state. The scale of assistance and time-frame over which funding remains available spurred Governor Lamont to direct his administration to ensure that the state’s recovery efforts were oriented toward transformative initiatives that would enable Connecticut to emerge from the COVID-19 pandemic stronger, healthier, and ready to resume the progress that has made the state a leader in many areas, and a desirable place to live.*

*The General Assembly also recognized the opportunities presented by the anticipated level of federal assistance, passing Special Act 21-1, An Act Concerning Legislative Oversight and Approval of COVID-19 Relief Funds. Briefly stated, that act requires the Governor to share his recommended allocations for the Coronavirus State Fiscal Recovery Fund (ARPA-CSFRF), and the General Assembly is required to approve or propose modifications to the allocation plan by way of public or special act.*

*The Allocation Implementation Form is the process by which agencies can request allotment of ARPA-CSFRF allocations that were approved and authorized by the General Assembly. The form collects necessary information to ensure the project is in alignment with the enumerated uses outlined by the U.S. Treasury in the ARPA-CSFRF Final Rule and provides prompts for state agencies to understand the various federal performance and compliance requirements associated with the ARPA-CSFRF funding.*

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## ARPA-CSFRF Information and Compliance Resources:

- [U.S. Treasury – Coronavirus State and Local Fiscal Recovery Funds](#)
- [U.S. Treasury – ARPA-CSFRF Final Rule](#)
- [U.S. Treasury – ARPA-CSFRF Final Rule Overview](#)
- [U.S. Treasury – ARPA-CSFRF Compliance and Reporting Guidance](#)
- [U.S. Treasury – ARPA-CSFRF Final Rule FAQ](#)
- [Federal Uniform Guidance](#)
- [U.S. Office of Management and Budget 2022 Compliance Supplement](#)
- [Connecticut Office of Policy and Management – ARPA-CSFRF Resources](#)
- [Current Law – ARPA-CSFRF Allocations – November Special Session, Public Act 22-1, Section 2](#)

# Allocation Implementation Form Overview

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# Part A: Project Overview

To ensure compliance with federal regulations and reporting guidelines, please complete the following form and relevant supplemental forms as part of your allotment request for ARPA-CSFRF funds. **To ensure full functionality, open document with Adobe Reader or Adobe Acrobat (not a browser like Chrome, Edge, Safari, etc.).**

<b>AGENCY</b>	
<b>SID</b>	
<b>ALLOCATION TITLE</b>	
<b>TOTAL ARPA ALLOCATION</b>	
<b>AMOUNT REQUESTED</b>	
<b>EXPENDITURE CATEGORY</b> <i>See <a href="#">Appendix B: Expenditure Category Master List</a> for a description of expenditure categories and sub-categories.</i>	
<b>EXPENDITURE SUB-CATEGORY</b>	
<b>PROJECT DESCRIPTION</b> <i>This brief description should detail the project's purpose, the population being served, the desired outcome from the project, and how this outcome is being measured (along with any current data on progress towards the desired outcome). 50-250 words.</i>	

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## **PROJECT DETAIL**

*Provide an overview of the main project activities, primary delivery mechanisms, and external partners, if applicable. Include a link to the project website if available. Include a brief description of how a recipient's response is related, and reasonably and proportional to a public health or negative economic impact of COVID-19. If additional space is needed, the agency may attach additional project detail documents as part of the allocation implementation form.*

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## **PROJECT TIMELINE**

*Provide the anticipated start and end dates of the project, along with an anticipated schedule of major milestones. Please note that all ARPA-CSFRF funds must be obligated by December 31<sup>st</sup>, 2024, and expended by December 31<sup>st</sup>, 2026.*

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## **EXTERNAL FUNDING RELATIONSHIPS**

*What external relationships does the agency anticipate as part of the ARPA-CSFRF project (beneficiary, contractor, subrecipient)? If applicable, describe subrecipient/contractor assessment and monitoring plan.*

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## **EQUITY EFFORTS**

*Discuss if and how the project is promoting equitable outcomes.*

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## **COMMUNITY ENGAGEMENT EFFORTS**

*Discuss if and how the project is incorporating community engagement strategies.*

# Eligible Population Determination

Please select ONE of the eligible populations from either the impacted or disproportionately impacted categories below as the primary target eligible population for your project. See [Appendix B: Expenditure Category Master List](#) for more information on eligible populations and expenditure categories.

IMPACTED POPULATIONS	DISPROPORTIONATELY IMPACTED POPULATIONS
<ul style="list-style-type: none"> <li>○ General Public (Use for all EC 1 projects)</li> <li>○ Low- or moderate-income households or populations (below 300% Federal Poverty Levels or 65% Area Median Income)</li> <li>○ Households that experienced unemployment</li> <li>○ Households that experienced increased food or housing insecurity</li> <li>○ Households that qualify for the Children’s Health Insurance Program (CHIP), the Child Care Development Fund (CCDF), or Medicaid</li> <li>○ Students who lost access to in-person instruction for a significant period of time (Can use for EC 2.27 projects)</li> <li>○ Households that qualify for certain federal housing programs, including: HTF; HOME; LIHTC; Public Housing Capital Fund; Section 202; Section 811; Project-Based Rental Assistance; and Multifamily Preservation &amp; Revitalization Program OR households at or below 65%/80% AMI (Use for EC 2.15 projects)</li> <li>○ Small businesses that experienced a negative economic impact (Use for EC 2.29-2.30 projects)</li> <li>○ Nonprofits that experienced a negative economic impact (Use for EC 2.34 projects)</li> <li>○ Travel, tourism, or hospitality sectors (Use for EC 2.35 projects)</li> <li>○ Impacted industry outside the travel, tourism, or hospitality sectors (Use for EC 2.36 projects, please describe eligibility criteria in detail below)</li> <li>○ Other households, populations, or organizations that experienced a negative economic impact (Please describe eligibility criteria in detail below)</li> <li>○ Not applicable (Only use for EC 3, 4, 5, 6 and 7 projects)</li> </ul>	<p><i>Certain activities are only allowable when targeting disproportionately impacted populations, including (but not limited to) all projects under Expenditure Categories 2.17, 2.19-2.26, and 2.31-2.33.</i></p> <ul style="list-style-type: none"> <li>○ Low- income households or populations (below 185% Federal Poverty Level or 40% Area Median Income)</li> <li>○ Households and populations residing in Qualified Census Tracts</li> <li>○ Households that qualify for certain federal programs, including: TANF; SNAP; NSLP/SBP; Medicare Part D; SSI; Head Start/Early Head Start; WIC; Section 8 Vouchers; LIHEAP; and Pell Grants</li> <li>○ Households receiving services provided by Tribal governments</li> <li>○ Title I schools for services that support the school generally or support the whole school as eligible (Use for EC 2.24-2.26 projects)</li> <li>○ Small businesses operating in Qualified Census Tracts (Use for EC 2.31 – 2.33 projects)</li> <li>○ Small businesses operated by Tribal governments or on Tribal lands (Use for EC 2.31 – 2.33 projects)</li> <li>○ Nonprofits operating in Qualified Census Tracts (Use for EC 2.34 projects)</li> <li>○ Nonprofits operated by Tribal governments or on Tribal lands (Use for EC 2.34 projects)</li> <li>○ Other households, populations, or organizations that experience a disproportionate negative economic impact (Please describe eligibility criteria in detail below)</li> </ul>
<p><b>METHOD FOR DETERMINING ELIGIBLE POPULATION</b></p> <p><i>Describe policies and procedures used to determine and document population eligibility for project. Projects assigned to ECs 2 (Negative Economic Impact), 3 (Public Sector Capacity), and 4 (Premium Pay) must respond to this question; projects assigned to ECs 1, 5, 6, and 7 may leave blank.</i></p>	
<p><b>SECONDARY ELIGIBLE POPULATION(S)</b></p> <p><i>If the project primarily serves more than one population, please list up to two additional populations served from the list above.</i></p>	

# Performance Indicators

*The focus of ARPA-CSFRF funding is to invest in evidence-based programs. All ARPA-CSFRF funded projects must designate and track indicators relating to the program implementation and performance.*

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## **PROGRAM GOALS**

*Describe some of the main goals of the program and your initial strategy to collect data.*

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## **TREASURY-REQUIRED PERFORMANCE INDICATORS**

*In addition to financial information, the U.S. Treasury requires projects to collect specific performance indicators for each Expenditure Category and report them quarterly as part of the Project and Expenditure report. Refer to [Appendix B: Expenditure Category Master List](#) for a list of the required mandatory indicators. In one to two sentences, please describe your strategy to collect these required indicators for this project each quarter.*

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## **AGENCY PERFORMANCE INDICATORS**

*List the agency-selected performance metrics that will be tracked over the project lifetime. Agencies are required to set measurable performance metrics, and are encouraged to set indicators that include both output and outcome measures, are disaggregated by demographic data, and reflect a focus on equity and inclusion.*

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## **DEMOGRAPHIC DATA**

*Discuss how the agency will incorporate demographic categories in outcomes tracking. Recommended categories include race, ethnicity, gender, income, and other categories relevant to the specific program.*

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# Evidence Base for Intervention

*Expenditure categories 1.4, 1.11-1.13, 2.1-2.4, 2.6-2.7, 2.9-2.20, 2.25-2.26, 2.30, 2.32-2.33, and 2.37 require tracking of dollars spent towards evidence-based interventions. An agency may choose to fulfill this requirement by verifying the evidence base of a particular intervention according to federal standards OR by completing a program evaluation. Please note that this section is not required for projects whose total allocation falls below \$500,000, but the agency may choose to share citations of the existing evidence base if they wish. See also the Evidence Basis Decision tree on the [State ARPA Resources Page](#).*

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## **How will the agency fulfill the federal evidence-based intervention requirement?**

- Document the existing evidence base for the project (strong or moderate evidence)
- Conduct a program evaluation
- Mixed approach (document existing evidence *and* conduct a limited or full program evaluation)

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## **EXISTING EVIDENCE BASE**

*What type of evidence exists to support this program investment?*

- Strong evidence
- Moderate evidence
- Preliminary evidence or N/A (agency will conduct program evaluation)

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## **RESEARCH CITATIONS**

*If **strong evidence**, list citations or links to at least ONE research study with an experimental design<sup>1</sup> that shows positive findings for the intended outcomes. If **moderate evidence**, list citations or links to one of the following: at least ONE quasi-experimental<sup>2</sup> studies with positive findings or at least TWO non-experimental studies<sup>3</sup> with positive findings. If **preliminary evidence**, list citations or links to ONE non-experimental research study with positive findings. If you need support finding studies or if you are unsure how to classify your existing studies, please share any relevant information below and the OPM Evaluation and Impact Unit will follow up with additional assistance.<sup>4</sup>*

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## **PROGRAM EVALUATION**

*Are you planning to conduct a program evaluation? Please note that projects with a “preliminary” evidence base are required to conduct a program evaluation of the projects. Projects that can document a “moderate” or “strong” evidence base are not required to conduct a program evaluation, but can use ARPA-CSFRF resources for this purpose.*

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<sup>1</sup> Experimental studies require tracking both a control and experimental group that have been randomly assigned. Most experimental studies in a policy setting are randomized control trials (RCTs).

<sup>2</sup> Quasi-experimental studies often mimic random control trials by using advanced statistical techniques to compare two groups, one receiving the intervention and a matched comparison group that does not receive the intervention. Regression discontinuity, difference-in-differences analysis, and nonequivalent group analysis are common quasi-experimental structures.

<sup>3</sup> Non-experimental studies look primarily at the outcomes of program beneficiaries over time, without comparing them to a separate control group. Some common non-experimental study designs include: pre-and-post studies that show improvement in program beneficiaries over time; a regression analysis of the beneficiary group with statistical controls; implementation studies (process evaluation study) used to learn about and improve program operations; and cost-benefit analysis studies.

<sup>4</sup> One tool agencies can use are Evidence Clearinghouses, which are searchable databases of policy studies. Some helpful clearinghouses include: the Pew [Results First Clearinghouse](#), Results for America's [Economic Mobility Catalog](#), and the Institute of Education Sciences [What Works Clearinghouse](#). The federal government has also compiled a list of clearinghouses organized by federal agency on [Evaluation.gov](#).

# Capital Expenditures

ARPA-CSFRF Reporting Guidelines require additional information for any project that includes a capital expenditure.

<b>DOES THIS PROJECT INCLUDE A CAPITAL EXPENDITURE?</b>	
<b>TYPE OF CAPITAL EXPENDITURE</b>	
<b>TOTAL ESTIMATED AMOUNT OF CAPITAL EXPENDITURES</b>	

*For projects with \$1 million or more in capital expenditures, the agency must complete a Capital Expenditure Justification Form. For projects with \$10 million or more in capital expenditures, the agency must complete a Labor Standards Form. Please refer to the [State ARPA Resources Page](#) for copies of these forms.*



# Part B: Certifications and Attestations

*To ensure compliance with federal regulations and reporting guidelines, please complete the following form and relevant supplemental forms as part of your allotment request for ARPA-CSFRF funds. If a designated official with signature authority chooses to sign in place of the Commissioner, please send a copy of the signature authority to OPM.*

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As demonstrated by selection of the check-boxes and certified by the signatures provided, the agency hereby attests to following statements related to the department’s administration of American Rescue Plan Act – State Fiscal Recovery Fund project referenced in Part A of this form:

The agency shall adhere to the award terms and conditions provided for in State Fiscal Recovery Fund Award Terms and Conditions, including the Civil Rights Requirements – Assurances of Compliance (Appendix A).

The agency shall expend funds in a manner compliant with the Federal Uniform Guidance Cost Principles<sup>1</sup> and specific restrictions on the usage of funds as described in the Treasury Final Rule<sup>2, 3</sup>.

The agency shall administer the project and expend funds in a manner compliant with state internal control requirements and any applicable federal internal control requirements as outlined in Federal Uniform Guidance, including, but not limited to, Subpart Part D – Post Federal Award Requirements<sup>4</sup>.

The agency shall conduct and document its subrecipient, contractor, and beneficiary determination process, adhering to the provisions in Federal Uniform Guidance<sup>5</sup> and US Treasury’s APRA-CSFRF Final Rule<sup>6</sup>.

The agency shall ensure that subawards comply with 2 CFR 200.332, including the appropriate identification of the federal award information, conducting a subrecipient risk assessment, and incorporating and carrying out appropriate subrecipient monitoring<sup>7</sup>.

The agency shall confirm that any subrecipients and contractors receiving funds under this project are not debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities as required by 2 CFR 200.214<sup>8</sup>, and which will be confirmed and documented via the SAM.GOV Exclusion List<sup>9</sup>.

The agency shall ensure that any procurement-type contracts include provisions compliant with Item 17 and 18 in the State Fiscal Recovery Fund Award Terms and Conditions (Appendix A), Item 5 in the Civil Rights Requirements – Assurances of Compliance (Appendix A), and applicable provisions of Appendix II to Part 200 (Federal Uniform Guidance)<sup>10</sup>.

The agency shall, based on the eligible population identified and if applicable, document and verify that the population being served by the project meets the eligibility criteria established by U.S. Treasury in the ARPA-CSFRF Final Rule<sup>11</sup>.

The agency shall maintain records related this and all other ARPA-CSFRF projects until at least June 30, 2032.

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*Signature of Agency Chief Fiscal Officer*

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*Date*

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*Signature of Agency Commissioner  
(or Designated Official with Signature Authority)*

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*Date*

# End Notes for Certifications and Attestations

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In addition to the web pages referenced below, you can find more ARPA materials on OPM's [Resources for State Agencies](#) page.

1 Federal Uniform Guidance Cost Principles: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>. See also Allowable Cost Checklist for Federal Funds on the [State ARPA Resources Page](#).

2 Treasury Rule Coronavirus State and Local Fiscal Recovery Funds: Restrictions on Use: <https://www.federalregister.gov/documents/2022/01/27/2022-00292/coronavirus-state-and-local-fiscal-recovery-funds#h-132>

3 Treasury Rule Coronavirus State and Local Fiscal Recovery Funds: Capital Expenditure Restrictions: <https://www.federalregister.gov/d/2022-00292/p-833>

4 Federal Uniform Guidance Subpart Part D: Post Federal Award Requirements: <https://www.ecfr.gov/current/title-2/part-200/subpart-D>

5 Federal Uniform Guidance: Subrecipient Monitoring and Management, including Subrecipient and Contractor Determinations: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200#subject-group-ECFR031321e29ac5bbd>. See also AGA Subrecipient vs Contractor Checklist on the [State ARPA Resources Page](#).

6 Treasury Rule Coronavirus State and Local Fiscal Recovery Funds: Distinguishing Subrecipients vs Beneficiaries: <https://www.federalregister.gov/documents/2022/01/27/2022-00292/coronavirus-state-and-local-fiscal-recovery-funds#h-76>

7 Federal Uniform Guidance: Requirements for Pass-Through Entities: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200#200.332>. See also Subrecipient Risk Assessment Template and Example Subrecipient Risk Assessment and Monitoring Procedures on the [State ARPA Resources Page](#).

8 Federal Uniform Guidance: Suspension and Disbarment: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.214>

9 SAM.gov Exclusion List: <https://sam.gov/content/exclusions>

10 Federal Uniform Guidance: Contract Provisions for Non-Federal Entity Contracts Under Federal Awards: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200#Appendix-II-to-Part-200>. See also ARPA-CSFRF Requirements for PSA-POS Contracts and Other Procurement Type Contracts and Uniform Guidance Procurement Checklist on the [State ARPA Resources Page](#).

11 Treasury Rule Coronavirus State and Local Fiscal Recovery Funds: Populations Presumed Eligible: <https://www.federalregister.gov/documents/2022/01/27/2022-00292/coronavirus-state-and-local-fiscal-recovery-funds#h-21>. See also ARPA-CSFRF – Beneficiary Attestation on the [State ARPA Resources Page](#).

# Appendix A: State Fiscal Recovery Fund Award Terms and Conditions

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## U.S. DEPARTMENT OF THE TREASURY CORONAVIRUS STATE FISCAL RECOVERY FUND AWARD TERMS AND CONDITIONS

### 1. Use of Funds.

- a. Recipient understands and agrees that the funds disbursed under this award may only be used in compliance with section 602(c) of the Social Security Act (the Act) and Treasury's regulations implementing that section and guidance.
- b. Recipient will determine prior to engaging in any project using this assistance that it has the institutional, managerial, and financial capability to ensure proper planning, management, and completion of such project.

**2. Period of Performance.** The period of performance for this award begins on the date hereof and ends on December 31, 2026. As set forth in Treasury's implementing regulations, Recipient may use award funds to cover eligible costs incurred during the period that begins on March 3, 2021 and ends on December 31, 2024.

**3. Reporting.** Recipient agrees to comply with any reporting obligations established by Treasury, as it relates to this award.

### 4. Maintenance of and Access to Records

- a. Recipient shall maintain records and financial documents sufficient to evidence compliance with section 602(c) and Treasury's regulations implementing that section and guidance regarding the eligible uses of funds.
- b. The Treasury Office of Inspector General and the Government Accountability Office, or their authorized representatives, shall have the right of access to records (electronic and otherwise) of Recipient in order to conduct audits or other investigations.
- c. Records shall be maintained by Recipient for a period of five (5) years after all funds have been expended or returned to Treasury, whichever is later.

**5. Pre-award Costs.** Pre-award costs, as defined in 2 C.F.R. § 200.458, may not be paid with funding from this award.

**6. Administrative Costs.** Recipient may use funds provided under this award to cover both direct and indirect costs.

**7. Cost Sharing.** Cost sharing or matching funds are not required to be provided by Recipient.

**8. Conflicts of Interest.** Recipient understands and agrees it must maintain a conflict of interest policy consistent with 2 C.F.R. § 200.318(c) and that such conflict of interest policy is applicable to each activity funded under this award. Recipient and subrecipients must disclose in writing to Treasury or the pass-through entity, as appropriate, any potential conflict of interest affecting the awarded funds in accordance with 2 C.F.R. § 200.112.

### 9. Compliance with Applicable Law and Regulations.

- a. Recipient agrees to comply with the requirements of section 602 of the Act, regulations adopted by Treasury pursuant to section 602(f) of the Act, and guidance issued by Treasury regarding the foregoing. Recipient also agrees to comply with all other applicable federal statutes, regulations, and executive orders, and Recipient shall provide for such compliance by other parties in any agreements it enters into with other parties relating to this award.
- b. Federal regulations applicable to this award include, without limitation, the following:
  - i. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200, other than such provisions as Treasury may determine are inapplicable to this Award and subject to such exceptions as may be otherwise provided by Treasury. Subpart F – Audit Requirements of the Uniform Guidance, implementing the Single Audit Act, shall apply to this award.
  - ii. Universal Identifier and System for Award Management (SAM), 2 C.F.R. Part 25, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 25 is hereby incorporated by reference.
  - iii. Reporting Subaward and Executive Compensation Information, 2 C.F.R. Part 170, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 170 is hereby incorporated by reference.
  - iv. OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement), 2 C.F.R. Part 180, including the requirement to include a term or condition in all lower tier covered transactions (contracts and subcontracts described in 2 C.F.R. Part 180, subpart B) that the award is subject to 2 C.F.R. Part 180 and Treasury's implementing regulation at 31 C.F.R. Part 19.

- v. Recipient Integrity and Performance Matters, pursuant to which the award term set forth in 2 C.F.R. Part 200, Appendix XII to Part 200 is hereby incorporated by reference.
  - vi. Governmentwide Requirements for Drug-Free Workplace, 31 C.F.R. Part 20.
  - vii. New Restrictions on Lobbying, 31 C.F.R. Part 21.
  - viii. Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655) and implementing regulations.
  - ix. Generally applicable federal environmental laws and regulations.
- c. Statutes and regulations prohibiting discrimination applicable to this award, include, without limitation, the following:
- i. Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d et seq.) and Treasury’s implementing regulations at 31 C.F.R. Part 22, which prohibit discrimination on the basis of race, color, or national origin under programs or activities receiving federal financial assistance;
  - ii. The Fair Housing Act, Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), which prohibits discrimination in housing on the basis of race, color, religion, national origin, sex, familial status, or disability;
  - iii. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability under any program or activity receiving federal financial assistance;;
  - iv. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 et seq.), and Treasury’s implementing regulations at 31 C.F.R. Part 23, which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance; and
  - v. Title II of the Americans with Disabilities Act of 1990, as amended (42 U.S.C. §§ 12101 et seq.), which prohibits discrimination on the basis of disability under programs, activities, and services provided or made available by state and local governments or instrumentalities or agencies thereto.

10. Remedial Actions. In the event of Recipient’s noncompliance with section 602 of the Act, other applicable laws, Treasury’s implementing regulations, guidance, or any reporting or other program requirements, Treasury may impose additional conditions on the receipt of a subsequent tranche of future award funds, if any, or take other available remedies as set forth in 2 C.F.R. § 200.339. In the case of a violation of section 602(c) of the Act regarding the use of funds, previous payments shall be subject to recoupment as provided in section 602(e) of the Act and any additional payments may be subject to withholding as provided in sections 602(b)(6)(A)(ii)(III) of the Act.

11. Hatch Act. Recipient agrees to comply, as applicable, with requirements of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by this federal assistance.

12. False Statements. Recipient understands that making false statements or claims in connection with this award is a violation of federal law and may result in criminal, civil, or administrative sanctions, including fines, imprisonment, civil damages and penalties, debarment from participating in federal awards or contracts, and/or any other remedy available by law.

13. Publications. Any publications produced with funds from this award must display the following language: “This project [is being] [was] supported, in whole or in part, by federal award number [enter project FAIN] awarded to State of Connecticut by the U.S. Department of the Treasury.”

14. Debts Owed the Federal Government.

- a. Any funds paid to Recipient (1) in excess of the amount to which Recipient is finally determined to be authorized to retain under the terms of this award; (2) that are determined by the Treasury Office of Inspector General to have been misused; or (3) that are determined by Treasury to be subject to a repayment obligation pursuant to sections 602(e) and 603(b)(2)(D) of the Act and have not been repaid by Recipient shall constitute a debt to the federal government.
- b. Any debts determined to be owed the federal government must be paid promptly by Recipient. A debt is delinquent if it has not been paid by the date specified in Treasury’s initial written demand for payment, unless other satisfactory arrangements have been made or if the Recipient knowingly or improperly retains funds that are a debt as defined in paragraph 14(a). Treasury will take any actions available to it to collect such a debt.

15. Disclaimer.

- a. The United States expressly disclaims any and all responsibility or liability to Recipient or third persons for the actions of Recipient or third persons resulting in death, bodily injury, property damages, or any other losses resulting in any way from

the performance of this award or any other losses resulting in any way from the performance of this award or any contract, or subcontract under this award.

- b. The acceptance of this award by Recipient does not in any way establish an agency relationship between the United States and Recipient.

#### 16. Protections for Whistleblowers.

- a. In accordance with 41 U.S.C. § 4712, Recipient may not discharge, demote, or otherwise discriminate against an employee in reprisal for disclosing to any of the list of persons or entities provided below, information that the employee reasonably believes is evidence of gross mismanagement of a federal contract or grant, a gross waste of federal funds, an abuse of authority relating to a federal contract or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal contract (including the competition for or negotiation of a contract) or grant.
- b. The list of persons and entities referenced in the paragraph above includes the following:
  - i. A member of Congress or a representative of a committee of Congress;
  - ii. An Inspector General;
  - iii. The Government Accountability Office;
  - iv. A Treasury employee responsible for contract or grant oversight or management;
  - v. An authorized official of the Department of Justice or other law enforcement agency;
  - vi. A court or grand jury; or
  - vii. A management official or other employee of Recipient, contractor, or subcontractor who has the responsibility to investigate, discover, or address misconduct.
- c. Recipient shall inform its employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.

17. Increasing Seat Belt Use in the United States. Pursuant to Executive Order 13043, 62 FR 19217 (Apr. 18, 1997), Recipient should encourage its contractors to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented or personally owned vehicles.

18. Reducing Text Messaging While Driving. Pursuant to Executive Order 13513, 74 FR 51225 (Oct. 6, 2009), Recipient should encourage its employees, subrecipients, and contractors to adopt and enforce policies that ban text messaging while driving, and Recipient should establish workplace safety policies to decrease accidents caused by distracted drivers.

## ASSURANCE OF COMPLIANCE WITH CIVIL RIGHTS REQUIREMENTS

### ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

As a condition of receipt of federal financial assistance from the Department of the Treasury, the State of Connecticut (hereinafter referred to as “the Recipient”) provides the assurances stated herein. The federal financial assistance may include federal grants, loans and contracts to provide assistance to the recipient’s beneficiaries, the use or rent of Federal land or property at below market value, Federal training, a loan of Federal personnel, subsidies, and other arrangements with the intention of providing assistance. Federal financial assistance does not encompass contracts of guarantee or insurance, regulated programs, licenses, procurement contracts by the Federal government at market value, or programs that provide direct benefits. This assurance applies to all federal financial assistance from or funds made available through the Department of the Treasury, including any assistance that the Recipient may request in the future.

The Civil Rights Restoration Act of 1987 provides that the provisions of this assurance apply to all of the recipient’s programs, services and activities, so long as any portion of the recipient’s program(s) is federally assisted in the manner proscribed above.

1. Recipient ensures its current and future compliance with Title VI of the Civil Rights Act of 1964, as amended, which prohibits exclusion from participation, denial of the benefits of, or subjection to discrimination under programs and activities receiving federal funds, of any person in the United States on the ground of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the Department of the Treasury Title VI regulations at 31 CFR Part 22 and other pertinent executive orders such as Executive Order 13166; directives; circulars; policies; memoranda and/or guidance documents.
2. Recipient acknowledges that Executive Order 13166, “Improving Access to Services for Persons with Limited English Proficiency,” seeks to improve access to federally assisted programs and activities for individuals who, because of national origin, have Limited English proficiency (LEP). Recipient understands that denying a person access to its programs, services, and activities because of LEP is a form of national origin discrimination prohibited under Title VI of the Civil Rights Act of 1964 and the Department of the Treasury’s implementing regulations. Accordingly, Recipient shall initiate reasonable steps, or comply with the Department of the Treasury’s directives, to ensure that LEP persons have meaningful access to its programs, services, and activities. Recipient understands and agrees that meaningful access may entail providing language assistance services, including oral interpretation and written translation where necessary, to ensure effective communication in the Recipient’s programs, services, and activities.
3. Recipient agrees to consider the need for language services for LEP persons during development of applicable budgets and when conducting programs, services and activities. As a resource, the Department of the Treasury has published its LEP guidance at 70 FR 6067. For more information on LEP, please visit <http://www.lep.gov>.
4. Recipient acknowledges and agrees that compliance with this assurance constitutes a condition of continued receipt of federal financial assistance and is binding upon Recipient and Recipient’s successors, transferees and assignees for the period in which such assistance is provided.
5. Recipient acknowledges and agrees that it must require any sub-grantees, contractors, subcontractors, successors, transferees, and assignees to comply with assurances 1-4 above, and agrees to incorporate the following language in every contract or agreement subject to Title VI and its regulations between the Recipient and the Recipient’s sub-grantees, contractors, subcontractors, successors, transferees, and assignees:

*The sub-grantee, contractor, subcontractor, successor, transferee, and assignee shall comply with Title VI of the Civil Rights Act of 1964, which prohibits recipients of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the Department of the Treasury’s Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this contract (or agreement). Title VI also includes protection to persons with “Limited English Proficiency” in any program or activity receiving federal financial assistance, 42 U.S.C. § 2000d et seq., as implemented by the Department of the Treasury’s Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made a part of this contract or agreement.*

6. Recipient understands and agrees that if any real property or structure is provided or improved with the aid of federal financial assistance by the Department of the Treasury, this assurance obligates the Recipient, or in the case of a subsequent transfer, the transferee, for the period during which the real property or structure is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any

personal property is provided, this assurance obligates the Recipient for the period during which it retains ownership or possession of the property;

7. Recipient shall cooperate in any enforcement or compliance review activities by the Department of the Treasury of the aforementioned obligations. Enforcement may include investigation, arbitration, mediation, litigation, and monitoring of any settlement agreements that may result from these actions. That is, the Recipient shall comply with information requests, on-site compliance reviews, and reporting requirements.
8. Recipient shall maintain a complaint log and inform the Department of the Treasury of any complaints of discrimination on the grounds of race, color, or national origin, and limited English proficiency covered by Title VI of the Civil Rights Act of 1964 and implementing regulations and provide, upon request, a list of all such reviews or proceedings based on the complaint, pending or completed, including outcome. Recipient also must inform the Department of the Treasury if Recipient has received no complaints under Title VI.
9. Recipient must provide documentation of an administrative agency's or court's findings of non-compliance of Title VI and efforts to address the non-compliance, including any voluntary compliance or other agreements between the Recipient and the administrative agency that made the finding. If the Recipient settles a case or matter alleging such discrimination, the Recipient must provide documentation of the settlement. If Recipient has not been the subject of any court or administrative agency finding of discrimination, please so state.
10. If the Recipient makes sub-awards to other agencies or other entities, the Recipient is responsible for ensuring that sub-recipients also comply with Title VI and other applicable authorities covered in this document. State agencies that make sub-awards must have in place standard grant assurances and review procedures to demonstrate that they are effectively monitoring the civil rights compliance of sub-recipients.

The United States of America has the right to seek judicial enforcement of the terms of this assurance document and nothing in this document alters or limits the federal enforcement measures that the United States may take in order to address violations of this document or applicable federal law.

# Appendix B: Expenditure Category Master List

This document provides an overview of all expenditure categories and subcategories. Each expenditure subcategory listed below includes a description of eligible activities, eligible populations, and mandatory performance indicators associated with each expenditure subcategory. Please review these descriptions to select the appropriate expenditure sub-category for your agency's project. The agency is responsible for developing internal processes to establish program eligibility requirements aligned with federal impacted and disproportionately impacted populations. Additionally, the agency must put into place data collection systems for mandatory performance indicators and any necessary performance evaluations.

The high-level expenditure categories for ARPA-CSFRF include:

1. Public Health, including COVID-19 Mitigation and Prevention, Community Violence Interventions, Behavioral Health, and Other Public Health Services. (See page B2)
2. Negative Economic Impacts, including Assistance to Impacted Households (page B4), Assistance to Small Businesses (page B9), Assistance to Non-Profits (page B10), Aid to Impacted Industries (page B11), and other negative economic impacts (page B11).
3. Negative economic and public health impacts to Public Sector Capacity (page B12).
4. Premium Pay programs for public and private sector employees (page B14).
5. Water, sewer, and broadband infrastructure projects (page B14). These projects are not covered in detail in this document, please reach out to OPM for additional guidance.
6. Revenue Replacement, including provision of government services and matching funds for federal programs (page B14).

This document is also available as a standalone memo on OPM's [Resources for State Agencies](#) web page.



<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
<b>Public Health</b>			
1.1 COVID-19 Vaccination	<ul style="list-style-type: none"> <li>• Vaccination programs, including vaccine incentives and vaccine sites</li> <li>• Transportation to reach vaccination sites, or other prevention and mitigation services for vulnerable populations</li> </ul>	No mandatory performance indicators.	General Public
1.2 COVID-19 Testing	<ul style="list-style-type: none"> <li>• Testing programs, equipment, and sites</li> <li>• Transportation to reach testing sites, or other prevention and mitigation services for vulnerable populations</li> <li>• Unreimbursed expenses for COVID-19 testing, such as uncompensated care costs for medical providers or out-of-pocket costs for individuals</li> </ul>		
1.3 COVID-19 Contact Tracing	<ul style="list-style-type: none"> <li>• Monitoring, contact tracing &amp; public health surveillance (e.g., monitoring for variants)</li> </ul>		
1.4 Prevention in Congregate Settings (Nursing Homes, Prisons/Jails, Dense Work Sites, Schools, Childcare facilities, etc.)*	<ul style="list-style-type: none"> <li>• COVID-19 prevention and treatment equipment, such as ventilators and ambulances</li> <li>• Ventilation system installation and improvement</li> <li>• Support for prevention, mitigation, or other services in congregate living facilities, public facilities, and schools</li> </ul>		
1.5 Personal Protective Equipment	<ul style="list-style-type: none"> <li>• Medical and PPE/protective supplies</li> </ul>		
1.6 Medical Expenses (including Alternative Care Facilities)	<ul style="list-style-type: none"> <li>• COVID-19 prevention and treatment equipment, such as ventilators and ambulances</li> <li>• Ventilation system installation and improvement</li> <li>• Medical facilities generally dedicated to COVID-19 treatment and mitigation (e.g., ICUs, emergency rooms)</li> <li>• Temporary medical facilities and other measures to increase COVID-19 treatment capacity</li> </ul>		
1.7 Other COVID-19 Public Health Expenses (including Communications, Enforcement, Isolation/Quarantine)	<ul style="list-style-type: none"> <li>• Public communication efforts</li> <li>• Public health data systems</li> <li>• Support for isolation or quarantine</li> <li>• Technical assistance on mitigation of COVID-19 threats to public health and safety</li> <li>• Emergency operations centers &amp; emergency response equipment (e.g., emergency response radio systems)</li> <li>• Public telemedicine capabilities for COVID19 related treatment</li> </ul>		

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
1.8 COVID-19 Assistance to Small Businesses	<ul style="list-style-type: none"> <li>Support for prevention and mitigation strategies in small businesses, including PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</li> </ul>	<ul style="list-style-type: none"> <li>Number of small businesses served (by program if recipient establishes multiple separate non-profit assistance programs)</li> </ul>	General Public
1.9 COVID-19 Assistance to Non-Profits	<ul style="list-style-type: none"> <li>Support for prevention and mitigation strategies in nonprofits, including PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</li> </ul>	<ul style="list-style-type: none"> <li>Number of nonprofits served (by program if recipient establishes multiple separate non-profit assistance programs)</li> </ul>	
1.10 COVID-19 Aid to Impacted Industries <i>(Including travel, tourism, hospitality, or other identified impacted industries)</i>	<ul style="list-style-type: none"> <li>Support for prevention and mitigation strategies in impacted industries, including PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</li> </ul>	<ul style="list-style-type: none"> <li>Sector of employer</li> <li>Purpose of funds (e.g., payroll support, safety measure implementation)</li> </ul>	
1.11 Community Violence Interventions*	<ul style="list-style-type: none"> <li>Referrals to trauma recovery services for victims of crime</li> <li>Community violence intervention programs, including evidence-based practices like focused deterrence, with wraparound services such as behavioral therapy, trauma recovery, job training, education, housing and relocation services, and financial assistance</li> <li>In communities experiencing increased gun violence due to the pandemic: law enforcement officers focused on advancing community policing; enforcement efforts to reduce gun violence, including prosecution; technology &amp; equipment to support law enforcement response</li> </ul>	<ul style="list-style-type: none"> <li>Number of workers enrolled in sectoral job training programs</li> <li>Number of workers completing sectoral job training programs</li> <li>Number of people participating in summer youth employment programs</li> </ul>	
1.12 Mental Health Services* 1.13 Substance Use Services* <i>(Significant overlap in eligible activities for these two categories)</i>	<ul style="list-style-type: none"> <li>Prevention, outpatient treatment, inpatient treatment, crisis care, diversion programs, outreach to individuals not yet engaged in treatment, harm reduction &amp; long-term recovery support</li> <li>Enhanced behavioral health services in schools</li> <li>Services for pregnant women or infants born with neonatal abstinence syndrome</li> <li>Support for equitable access to reduce disparities in access to high-quality treatment</li> <li>Peer support groups, costs for residence in supportive housing or recovery housing, and the 988 National Suicide Prevention Lifeline or other hotline services</li> <li>Expansion of access to evidence-based services for opioid use disorder prevention, treatment, harm reduction, and recovery</li> <li>Behavioral health facilities &amp; equipment</li> </ul>	No mandatory performance indicators	

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
1.14 Other Public Health Services	<ul style="list-style-type: none"> <li>A non-enumerated activity that can be documented to appropriately address the public health impacts of the pandemic</li> </ul>	No mandatory performance indicators	General Public
<b>Negative Economic Impacts – Assistance to Households</b>			
2.1 Household Assistance: Food Programs*	<ul style="list-style-type: none"> <li>Food assistance (e.g., child nutrition programs, including school meals) &amp; food banks</li> </ul>	<ul style="list-style-type: none"> <li>Number of households served (by program if recipient establishes multiple separate household assistance programs)</li> </ul>	<p>Impacted Populations</p> <ul style="list-style-type: none"> <li>Low- or moderate-income households or populations (below 300% FPL or 65% AMI)</li> <li>Households that experienced unemployment</li> <li>Households that experienced increased food or housing insecurity</li> <li>Households that qualify for the Children’s Health Insurance Program (CHIP), the Child Care Development Fund (CCDF), or Medicaid</li> </ul> <p>All disproportionately impacted populations are also eligible for these services.</p>
2.2 Household Assistance: Rent, Mortgage, and Utility Aid*	<ul style="list-style-type: none"> <li>Emergency housing assistance: rental assistance, mortgage assistance, utility assistance, assistance paying delinquent property taxes, counseling and legal aid to prevent eviction and homelessness</li> </ul>	<ul style="list-style-type: none"> <li>Number of households served (by program if recipient establishes multiple separate household assistance programs)</li> <li>Number of households receiving eviction prevention services (including legal representation)</li> </ul>	
2.3 Household Assistance: Cash Transfers*	<ul style="list-style-type: none"> <li>Cash assistance</li> </ul>	<ul style="list-style-type: none"> <li>Number of households served (by program if recipient establishes multiple separate household assistance programs)</li> </ul>	
2.4 Household Assistance: Internet Access Programs*	<ul style="list-style-type: none"> <li>Programs, devices &amp; equipment for internet access and digital literacy, including subsidies for costs of access</li> </ul>		
2.5 Household Assistance: Paid Sick and Medical Leave	<ul style="list-style-type: none"> <li>Paid sick, medical, and family leave programs</li> </ul>		
2.6 Household Assistance: Health Insurance*	<ul style="list-style-type: none"> <li>Health insurance coverage expansion</li> </ul>		
2.7 Household Assistance: Services for Un/Underbanked*	<ul style="list-style-type: none"> <li>Financial services for the unbanked and underbanked</li> </ul>		
2.8 Household Assistance: Survivor's Benefits	<ul style="list-style-type: none"> <li>Benefits for surviving family members of individuals who have died from COVID-19</li> <li>Burials</li> </ul>	<ul style="list-style-type: none"> <li>Number of households served (by program if recipient establishes multiple separate household assistance programs)</li> </ul>	
2.9 Unemployment Benefits or Cash Assistance to Unemployed Workers*	<ul style="list-style-type: none"> <li>Assistance in accessing and applying for public benefits or services</li> </ul>		
2.10 Assistance to Unemployed or Underemployed Workers (e.g., job training, subsidized employment, employment supports or incentives)*	<ul style="list-style-type: none"> <li>Assistance to individuals who want and are available for work, including job training, public jobs programs and fairs, support for childcare and transportation to and from a jobsite or interview, incentives for newly-employed workers, subsidized employment, grants to hire underserved workers, assistance to unemployed individuals to start small businesses &amp; development of job and workforce training centers</li> </ul>	<ul style="list-style-type: none"> <li>Number of workers enrolled in sectoral job training programs</li> <li>Number of workers completing sectoral job training programs</li> <li>Number of people participating in summer youth employment programs</li> </ul>	

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
2.11 Healthy Childhood Environments: Child Care*	<ul style="list-style-type: none"> <li>Childcare and early learning services</li> <li>Childcare facilities</li> </ul>	<ul style="list-style-type: none"> <li>Number of children served by childcare and early learning services (pre-school/pre-K/ages 3-5)</li> <li>Number of families served by home visiting</li> </ul>	<p>Impacted Populations</p> <ul style="list-style-type: none"> <li>Low- or moderate-income households or populations (below 300% FPL or 65% AMI)</li> <li>Households that experienced unemployment</li> <li>Households that experienced increased food or housing insecurity</li> <li>Households that qualify for the Children’s Health Insurance Program (CHIP), the Child Care Development Fund (CCDF), or Medicaid</li> </ul> <p>All disproportionately impacted populations are also eligible for these services.</p>
2.12 Healthy Childhood Environments: Home Visiting*	<ul style="list-style-type: none"> <li>Home visiting programs</li> </ul>		
2.13 Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System*	<ul style="list-style-type: none"> <li>Services for child welfare-involved families and foster youth</li> </ul>		
2.14 Healthy Childhood Environments: Early Learning*	<ul style="list-style-type: none"> <li>Childcare and early learning services</li> </ul>		
2.15 Long-term Housing Security: Affordable Housing*	<ul style="list-style-type: none"> <li>Programs or services to support long-term housing security, including development of affordable housing</li> </ul>	<ul style="list-style-type: none"> <li>Number of households receiving eviction prevention services, including legal representation</li> <li>Number of affordable housing units preserved or developed</li> </ul>	<p>Impacted Populations</p> <ul style="list-style-type: none"> <li>Households that qualify for the National Housing Trust Fund (HTF); the HOME Investment Partnerships Program (HOME); the Low-Income Housing Tax Credit (LIHTC); the Public Housing Capital Fund; Section 202 Supportive Housing for the Elderly Program; Section 811 Supportive Housing for Persons with Disabilities Program; Project-Based Rental Assistance; Multifamily Preservation &amp; Revitalization Program</li> <li>Affordable housing units that serve households at or below 65% of AMI for a period of 20 years or greater. Depending on the needs of the local rental market, it may be possible to fund units for households at up to 80% AMI.</li> </ul>

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
2.16 Long-term Housing Security: Services for Unhoused Persons*	<ul style="list-style-type: none"> <li>• Emergency programs or services for homeless individuals, including temporary residences for people experiencing homelessness</li> <li>• Programs or services to support long-term housing security, including permanent supportive housing</li> </ul>	<ul style="list-style-type: none"> <li>• Number of households receiving eviction prevention services, including legal representation</li> <li>• Number of affordable housing units preserved or developed</li> </ul>	<p>Impacted Populations</p> <ul style="list-style-type: none"> <li>• Low- or moderate-income households or populations (below 300% FPL or 65% AMI)</li> <li>• Households that experienced unemployment</li> <li>• Households that experienced increased food or housing insecurity</li> <li>• Households that qualify for the Children’s Health Insurance Program (CHIP), the Child Care Development Fund (CCDF), or Medicaid</li> </ul> <p>All disproportionately impacted populations are also eligible for these services.</p>
2.17 Housing Support: Housing Vouchers and Relocation Assistance for Disproportionately Impacted Communities*	<ul style="list-style-type: none"> <li>• Housing vouchers &amp; assistance relocating to neighborhoods with higher economic opportunity</li> </ul>		<p><u>Disproportionately Impacted Populations Only</u></p> <ul style="list-style-type: none"> <li>• Low-income households or populations (below 185% FPL or 40% AMI)</li> <li>• Households residing in Qualified Census Tracts</li> <li>• Households that qualify for Temporary Assistance for Needy Families (TANF); Supplemental Nutrition Assistance Program (SNAP); Free- and Reduced-Price Lunch (NSLP); School Breakfast programs (SBP); Medicare Part D Low-Income Subsidies, Supplemental Security Income (SSI), Head Start or Early Head Start, Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Section 8 Vouchers, Low-Income Home Energy Assistance Program (LIHEAP), and Pell Grants.</li> </ul>

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
2.18 Housing Support: Other Housing Assistance*	<ul style="list-style-type: none"> <li>Home repair &amp; home weatherization</li> <li>Other housing assistance that is reasonable and proportionate to negative economic impacts of the pandemic</li> </ul>	<ul style="list-style-type: none"> <li>Number of households receiving eviction prevention services, including legal representation</li> <li>Number of affordable housing units preserved or developed</li> </ul>	<p>Impacted Households</p> <ul style="list-style-type: none"> <li>Low- or moderate-income households or populations (below 300% FPL or 65% AMI)</li> <li>Households that experienced unemployment</li> <li>Households that experienced increased food or housing insecurity</li> <li>Households that qualify for the Children’s Health Insurance Program (CHIP), the Child Care Development Fund (CCDF), or Medicaid</li> </ul> <p>All disproportionately impacted populations are also eligible for these services.</p>
2.19 Social Determinants of Health: Community Health Workers or Benefits Navigators*	<ul style="list-style-type: none"> <li>Pay for community health workers to help households access health &amp; social services</li> </ul>	No mandatory performance indicators.	<p><u>Disproportionately</u> Impacted Populations Only</p> <ul style="list-style-type: none"> <li>Low-income households or populations (below 185% FPL or 40% AMI)</li> <li>Households residing in Qualified Census Tracts</li> <li>Households that qualify for Temporary Assistance for Needy Families (TANF); Supplemental Nutrition Assistance Program (SNAP); Free- and Reduced-Price Lunch (NSLP); School Breakfast programs (SBP); Medicare Part D Low-Income Subsidies, Supplemental Security Income (SSI), Head Start or Early Head Start, Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Section 8 Vouchers, Low-Income Home Energy Assistance Program (LIHEAP), and Pell Grants.</li> </ul>
2.20 Social Determinants of Health: Lead Remediation*	<ul style="list-style-type: none"> <li>Remediation of lead paint or other lead hazards</li> </ul>		
2.21 Medical Facilities for Disproportionately Impacted Communities	<ul style="list-style-type: none"> <li>Primary care clinics, hospitals, integration of health services into other settings, and other investments in medical equipment &amp; facilities designed to address health disparities</li> </ul>		
2.22 Strong Healthy Communities: Neighborhood Features that Promote Health and Safety	<ul style="list-style-type: none"> <li>Investments in neighborhoods to promote improved health outcomes</li> </ul>		
2.23 Strong Healthy Communities: Demolition and Rehabilitation of Properties	<ul style="list-style-type: none"> <li>Improvements to vacant and abandoned properties, including rehabilitation or maintenance, renovation, removal and remediation of environmental contaminants, demolition or deconstruction, greening/vacant lot cleanup &amp; conversion to affordable housing</li> </ul>		

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
2.24 Addressing Educational Disparities: Aid to High-Poverty Districts	<ul style="list-style-type: none"> <li>Services to address educational disparities through assistance to high-poverty school districts.</li> <li>Capital investments in schools and other educational equipment &amp; facilities</li> </ul>	<ul style="list-style-type: none"> <li>National Center for Education Statistics (NCES) School ID or NCES District ID. Can report multiple NCES IDs for one project</li> <li>Number of students participating in evidence-based tutoring programs</li> </ul>	<u>Disproportionately Impacted Populations Only</u> <ul style="list-style-type: none"> <li>Low-income households or populations (below 185% FPL or 40% AMI)</li> <li>Households residing in Qualified Census Tracts</li> <li>Households that qualify for Temporary Assistance for Needy Families (TANF); Supplemental Nutrition Assistance Program (SNAP); Free- and Reduced-Price Lunch (NSLP); School Breakfast programs (SBP); Medicare Part D Low-Income Subsidies, Supplemental Security Income (SSI), Head Start or Early Head Start, Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Section 8 Vouchers, Low-Income Home Energy Assistance Program (LIHEAP), and Pell Grants.</li> <li>Title I eligible schools as disproportionately impacted and responsive services that support the school generally or support the whole school as eligible.</li> </ul>
2.25 Addressing Educational Disparities: Academic, Social, and Emotional Services*	<ul style="list-style-type: none"> <li>Services to address educational disparities through educational and evidence-based services to address student academic, social, and emotional needs</li> <li>Capital investments in schools and other educational equipment &amp; facilities</li> </ul>		
2.26 Addressing Educational Disparities: Mental Health Services*	<ul style="list-style-type: none"> <li>Services to address educational disparities through educational and evidence-based services to address student mental health needs</li> <li>Capital investments in schools and other educational equipment &amp; facilities</li> </ul>		
2.27 Addressing Impacts of Lost Instructional Time	<ul style="list-style-type: none"> <li>Assistance to address the impact of learning loss for K-12 students (e.g., high-quality tutoring, differentiated instruction)</li> </ul>		Impacted Populations <ul style="list-style-type: none"> <li>Any student that lost access to in-person instruction for a significant period of time</li> </ul>
2.28 Contributions to UI Trust Funds	<ul style="list-style-type: none"> <li>Certain contributions to an Unemployment Insurance Trust Fund <i>(See Final Rule Overview and Final Rule for details)</i></li> </ul>	No mandatory performance indicators	Impacted Populations <ul style="list-style-type: none"> <li>Households that experienced unemployment</li> </ul>

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

Expenditure Sub-Category	Enumerated Activities	Mandatory Performance Indicators	Eligible Population
<p><b>Negative Economic Impacts – Assistance to Small Businesses</b>  <i>Small Businesses are defined as (1) having no more than 500 employees or, if applicable, the industry-size standard no. of employees established by the Small Business Administration and (2) are defined as a small business concern in Section 3 of the Small Business Act, which includes requirements that the business is independently owned and operated and is not dominant in its field of operation.</i></p>			
2.29 Loans or Grants to Mitigate Financial Hardship	<ul style="list-style-type: none"> <li>Loans or grants to mitigate financial hardship, such as by supporting payroll and benefits, costs to retain employees, and mortgage, rent, utility, and other operating costs</li> </ul>	<ul style="list-style-type: none"> <li>Number of small businesses served (by program if recipient establishes multiple separate small businesses assistance programs)</li> </ul>	<p>Impacted Small Businesses</p> <ul style="list-style-type: none"> <li>Small business negatively impacted by the pandemic, demonstrated through: <ul style="list-style-type: none"> <li>Decreased revenue or gross receipts</li> <li>Financial insecurity</li> <li>Increased costs</li> <li>Capacity to weather financial hardship</li> <li>Challenges covering payroll, rent or mortgage, and other operating costs</li> </ul> </li> </ul> <p>All disproportionately impacted populations are also eligible for these services.</p>
2.30 Technical Assistance, Counseling, or Business Planning*	<ul style="list-style-type: none"> <li>Technical assistance, counseling, or other services to support business planning</li> </ul>		
2.31 Rehabilitation of Commercial Properties or Other Improvements	<ul style="list-style-type: none"> <li>Rehabilitation of commercial properties, storefront improvements &amp; façade improvements</li> </ul>		
2.32 Business Incubators and Start-Up or Expansion Assistance*	<ul style="list-style-type: none"> <li>Technical assistance, business incubators &amp; grants for start-up or expansion costs for small businesses</li> </ul>		
2.33 Enhanced Support to Microbusinesses*	<ul style="list-style-type: none"> <li>Support for microbusinesses, including financial, childcare, and transportation costs</li> </ul>		
<i>See also 1.8 COVID-19 Assistance to Small Businesses (above)</i>	<ul style="list-style-type: none"> <li><i>Support for prevention and mitigation strategies in small businesses, including purchasing of PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</i></li> </ul>	<ul style="list-style-type: none"> <li><i>Number of small businesses served (by program if recipient establishes multiple separate small businesses assistance programs)</i></li> </ul>	<p><i>General Public</i></p>

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.



Expenditure Sub-Category	Enumerated Activities	Mandatory Performance Indicators	Eligible Population
<b>Negative Economic Impacts – Assistance to Nonprofits</b> <i>Nonprofits are defined as 501(c)(3) or 501(c)(19) tax-exempt organizations.</i>			
2.34 Assistance to Impacted Nonprofit Organizations (Impacted or Disproportionately Impacted)	<ul style="list-style-type: none"> <li>• Loans or grants to mitigate financial hardship</li> <li>• Technical or in-kind assistance or other services that mitigate negative economic impacts of the pandemic</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• Appropriate responses beyond those enumerated above that are related and reasonably proportional to addressing disproportionate impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Number of nonprofits served (by program if recipient establishes multiple separate nonprofit assistance programs)</li> </ul>	Impacted Nonprofits Nonprofits negatively impacted by the pandemic, demonstrated through: <ul style="list-style-type: none"> <li>• Decreased revenue (e.g., from donations and fees)</li> <li>• Financial insecurity</li> <li>• Increased costs (e.g., uncompensated increases in service need)</li> <li>• Capacity to weather financial hardship</li> <li>• Challenges covering payroll, rent or mortgage, and other operating costs</li> <li>• All disproportionately impacted populations are also eligible for these services.</li> </ul> <hr/> <u>Disproportionately Impacted Nonprofits Only</u> <ul style="list-style-type: none"> <li>• Nonprofits operating in Qualified Census Tracts</li> <li>• Nonprofits operated by Tribal governments or on Tribal lands</li> </ul>
<i>See also 1.9 COVID 19 Assistance to Non-Profits (above)</i>	<ul style="list-style-type: none"> <li>• <i>Support for prevention and mitigation strategies in nonprofits, including purchasing of PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</i></li> </ul>	<i>Number of nonprofits served (by program if recipient establishes multiple separate non-profit assistance programs)</i>	<i>General Public</i>

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities</i>	<i>Mandatory Performance Indicators</i>	<i>Eligible Population</i>
<b>Negative Economic Impacts – Aid to Impacted Industries</b>			
2.35 Aid to Tourism, Travel, or Hospitality	<ul style="list-style-type: none"> <li>Aid to mitigate financial hardship, such as supporting payroll costs, lost pay and benefits for returning employees, support of operations and maintenance of existing equipment and facilities</li> <li>Technical assistance, counseling, or other services to support business planning</li> </ul>	<ul style="list-style-type: none"> <li>Sector of employer</li> <li>Purpose of funds (e.g., payroll support, safety measure implementation)</li> </ul>	Impacted Industry <ul style="list-style-type: none"> <li>Travel, tourism, or hospitality sectors</li> </ul>
2.36 Aid to Other Impacted Industries			Impacted Industry <ul style="list-style-type: none"> <li>The industry experienced at least 8 percent employment loss from pre-pandemic levels, or</li> <li>The industry is experiencing comparable or worse economic impacts as the national travel, tourism, and hospitality industries based on economic indicators or qualitative data (if quantitative data is unavailable), and if the impacts were generally due to COVID-19</li> </ul>
<i>1.10 COVID-19 Aid to Impacted Industries</i>	<i>Support for prevention and mitigation strategies in impacted industries, including purchasing of PPE, ventilation system installation or improvement, and other prevention and mitigation measures.</i>	<ul style="list-style-type: none"> <li><i>Sector of employer</i></li> <li><i>Purpose of funds (e.g., payroll support, safety measure implementation)</i></li> </ul>	<i>General Public</i>
<b>Negative Economic Impacts - Other</b>			
2.37 Economic Impact Assistance: Other*	<ul style="list-style-type: none"> <li>A non-enumerated activity that can be documented to appropriately address the negative economic impacts of the pandemic</li> </ul>	No mandatory performance indicators.	<ul style="list-style-type: none"> <li>Established impacted populations</li> <li>Established disproportionately impacted populations</li> <li>A non-enumerated population that can be identified as the recipient of negative economic impacts from the pandemic</li> </ul>

\*Projects assigned to this expenditure category are required to report on the evidence base for the planned intervention through citation of existing studies or by undertaking a program evaluation.

Expenditure Sub-Category	Enumerated Activities and (If Applicable) Eligibility Requirements	Mandatory Performance Metrics
<b>Public Sector Capacity</b>		
3.1 Public Sector Workforce: Payroll and Benefits for Public Health, Public Safety, or Human Services Workers	<p>Payroll and covered benefits for public safety, public health, health care, human services, and similar employees of a recipient government, for <i>the portion of the employee's time spent responding to COVID-19</i>.</p> <p>Staff are eligible if the employee or their operating unit or division is “primarily dedicated” to responding to COVID-19, meaning more than half the employee, unit, or division’s time is dedicated to responding to COVID-19.</p> <p>Public safety staff include:</p> <ul style="list-style-type: none"> <li>• Police officers (including state police officers)</li> <li>• Sheriffs and deputy sheriffs</li> <li>• Firefighters</li> <li>• Emergency medical responders</li> <li>• Correctional and detention officers</li> <li>• Dispatchers and supervisor personnel that directly support public safety staff</li> </ul> <p>Public health staff include</p> <ul style="list-style-type: none"> <li>• Employees involved in providing medical and other physical or mental health services to patients and supervisory personnel, including medical staff assigned to schools, prisons, and other such institutions</li> <li>• Laboratory technicians, medical examiners, morgue staff, and other support services essential for patient care</li> <li>• Employees of public health departments directly engaged in public health matters and related supervisory personnel</li> </ul> <p>Human services staff include:</p> <ul style="list-style-type: none"> <li>• Employees providing or administering social services and public benefits</li> <li>• Child welfare services employees</li> <li>• Child, elder, or family care employees</li> </ul>	<ul style="list-style-type: none"> <li>• Number of government FTE responding to COVID-19 supported under this authority</li> </ul>

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities and (If Applicable) Eligibility Requirements</i>	<i>Mandatory Performance Metrics</i>
3.2 Public Sector Workforce: Rehiring Public Sector Staff	<p>Restore and support public sector employment. Eligible uses include:</p> <ul style="list-style-type: none"> <li>• Hiring up to a pre-pandemic baseline</li> <li>• Providing additional funds for employees who experienced pay reductions or were furloughed</li> <li>• Maintaining current compensation levels to prevent layoffs</li> <li>• Providing worker retention incentives, including reasonable increases in compensation</li> <li>• Covering administrative costs related to hiring, support, and retention programs above.</li> </ul>	<ul style="list-style-type: none"> <li>• Number of FTEs rehired by governments under this authority</li> </ul>
3.3 Public Sector Workforce: Other	<p>Supporting and retaining public sector workers, including:</p> <ul style="list-style-type: none"> <li>• Providing additional funding for employees who experienced pay reductions or were furloughed</li> <li>• Maintaining current compensation levels to prevent layoffs</li> <li>• Providing worker retention incentives, including reasonable increases in compensation</li> <li>• Covering administrative costs associated with administering the hiring, support, and retention programs for EC 3.1-3.3.</li> </ul>	No mandatory performance indicators.
3.4 Public Sector Capacity: Effective Service Delivery	<ul style="list-style-type: none"> <li>• Program evaluation and evidence resources</li> <li>• Data analysis resources to gather, assess, share, and use data</li> <li>• Technology infrastructure to improve access to and the user experience of government IT systems, as well as technology improvements to increase public access and delivery of government programs and services</li> <li>• Community outreach and engagement activities</li> <li>• Capacity building resources to support using data and evidence, including hiring staff, consultants, or technical assistance support</li> </ul>	
3.5 Public Sector Capacity: Administrative Needs	<ul style="list-style-type: none"> <li>• Administrative costs for programs responding to the public health emergency and its economic impacts, including non-SLFRF and non-federally funded programs</li> <li>• Address administrative needs caused or exacerbated by the pandemic, including addressing backlogs caused by shutdowns, increased repair or maintenance needs, and technology infrastructure to adapt government operations to the pandemic (e.g., video-conferencing software, data, and case management systems)</li> </ul>	

<i>Expenditure Sub-Category</i>	<i>Enumerated Activities and (If Applicable) Eligibility Requirements</i>	<i>Mandatory Performance Metrics</i>
<b>Premium Pay</b>		
4.1 Public Sector Employees	For eligible public sector employees receiving premium pay who performed essential work during the pandemic. Premium pay may be awarded to eligible workers up to \$13 per hour. Premium pay must be in addition to wages or remuneration (i.e., compensation) the eligible worker otherwise receives. Premium pay may not exceed \$25,000 for any single worker during the program. See Final Rule Overview page 35-36 for eligibility details, including a list of eligible sectors and occupations.	<ul style="list-style-type: none"> <li>• List of sectors designated as essential critical infrastructure sectors</li> <li>• Number of workers to be served</li> <li>• Number of workers to be served with premium pay in K-12 schools</li> </ul>
4.2 Private Sector: Grants to Other Employers	For grants to private sector employees for the purpose of providing premium pay to eligible workers who performed essential work during the pandemic. Premium pay may be awarded to eligible workers up to \$13 per hour. Premium pay must be in addition to wages or remuneration (i.e., compensation) the eligible worker otherwise receives. Premium pay may not exceed \$25,000 for any single worker during the program. See Final Rule Overview page 35-36 for eligibility details, including a list of eligible sectors and occupations.	
<b>Infrastructure</b>		
Water and Sewer: 5.1 - 5.18	See Final Rule Overview, pages 37-40, for a description of eligible water, sewer, and broadband infrastructure projects.	
Broadband: 5.19 - 5.21		
<b>Revenue Replacement</b>		
6.1 Provision of Government Services	ARPA funds may be used to cover activities that would be considered a provision of traditional government services, due to negative impacts of the pandemic on state and local government revenue streams. Projects that do not fit into an existing ARPA category may be eligible to be assigned to category 6.1. Please reach out to OPM for additional guidance if you are considering this expenditure category for your project.	
6.2 Non-federal Match for Other Federal Programs	Funds available under the “revenue loss” eligible use category generally may be used to meet the non-federal cost-share or matching requirements of other federal programs, with the exception of Medicaid and CHIP programs.	