

COMMUNITY SERVICES BLOCK GRANT (CSBG) STATE PLAN

FOR FEDERAL FISCAL YEARS 2016 AND 2017

Draft – As of July 10, 2015



**State of Hawaii
Department of Labor & Industrial Relations
Office of Community Services**

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We are providing a Microsoft Word version of the revised draft Model State Plan (MSP) for CSBG state agencies to use for planning and development of their FY 2016 State plan. While OMB may require further adjustments to the MSP after they have finalized their review (currently undergoing), this document is the final clearance version.

NEW QUESTIONS AS OF MAY 20, 2015. SUBJECT TO FURTHER REVISION

NOTE: Although the present document is in MS Word format, the actual submission to ACF in August is expected to be via an online fillable document. The fillable document will presumably not become available for our use until after final OMB review and changes.

Community Services Block Grant (CSBG) Model State Plan

Table of Contents

Mandatory Grant Application SF-424

- [Section 1:](#) CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter
- [Section 2:](#) State Legislation and Regulation
- [Section 3:](#) State Plan Development and Statewide Goals
- [Section 4:](#) CSBG Hearing Requirements
- [Section 5:](#) CSBG Eligible Entities
- [Section 6:](#) Organizational Standards for Eligible Entities
- [Section 7:](#) State Use of Funds
- [Section 8:](#) State Training and Technical Assistance
- [Section 9:](#) State Linkages and Communication
- [Section 10:](#) Monitoring, Corrective Action, and Fiscal Controls
- [Section 11:](#) Eligible Entity Tripartite Board
- [Section 12:](#) Individual and Community Income Eligibility Requirements
- [Section 13:](#) Results Oriented Management and Accountability (ROMA) System
- [Section 14:](#) CSBG Programmatic Assurances and Information Narrative
- [Section 15:](#) Federal Certifications

SECTION 1

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

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

1.1a. Lead agency: **State of Hawaii, Department of Labor and Industrial Relations, Office of Community Services (Hawaii OCS). Hawaii OCS is administratively attached to the Department of Labor and Industrial Relations.**

1.1b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Services Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Governor's Office
- ☐ Community Affairs Department
- ☐ Other, describe: **Department of Labor and Industrial Relations**

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

Office of Community Services

1.1d. Authorized official of the lead agency **[Narrative, 2500 Characters]** **Rona M. Suzuki, Executive Director, Office of Community Services**

1.1e. Street address: **830 Punchbowl Street, Room 420**

1.1f. City: **Honolulu**

1.1g. State: **Hawaii**

1.1h. Zip: **96813**

1.1i. Telephone number and extension: **808-586-8675**

1.1j. Fax number: **808-586-8685 (not regularly used – email strongly preferred)**

1.1k. Email address: **rona.m.suzuki@hawaii.gov**

1.1l. Lead agency website: **labor.hawaii.gov/ocs**

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

Instructional Note: The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name: **Office of Community Services, State of Hawaii**

1.2b. Name of the point of contact: **Ryan K. Kobayashi**

1.2c. Street address: **830 Punchbowl Street, Room 420**

1.2d. City: **Honolulu**

1.2e. State: **Hawaii**

1.2f. Zip: **96813**

1.2g. Point of contact telephone number: **808-586-8675**

1.2h. Fax number: **808-586-8685 (not regularly used – email strongly preferred)**

1.2i. Point of contact email address: **ryan.k.kobayashi@hawaii.gov**

1.2j. Point of contact agency website: **labor.hawaii.gov/ocs**

1.3. Designation Letter: Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.

LETTER ATTACHED

SECTION 2

State Legislation and Regulation

2.1. CSBG State Legislation Does the State have a statute authorizing CSBG? ☐ Yes ☐ No

Hawaii Revised Statutes Chapter 371K establishes the Office of Community Services and describes its mandates, including the obligation to "Improve the delivery of services to disadvantaged persons, refugees, and immigrants" (Section 371K-1), and to take over the responsibilities of the "Hawaii office of economic opportunity" (Section 371K-2(a)(2)). Hawaii OCS has been the designated State agency for CSBG ever since Hawaii OCS was established in 1985 pursuant to Chapter 371K.

2.2. CSBG State Regulation Does the State have regulations for CSBG? ☐ Yes ☒ No

Hawaii does not have regulations that apply specifically to CSBG. General regulations, such as procurement regulations, do apply.

2.3. Attach a copy (or copies) of legislation and/or regulations, as appropriate.

Link to Hawaii Revised Statutes Chapter 371K:

http://www.capitol.hawaii.gov/hrscurrent/Vol07_Ch0346-0398/HRS0371K/

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

- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes x ☒ No
- 2.4b.** Did the State establish or amend regulations for CSBG last year? ☐ Yes x ☒ No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? x ☒ Yes, **see above comments to Question 2.1.** ☐ No

SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities: Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency. **[Narrative, 2500 characters]**

Mission and Responsibilities of the Hawaii State Office of Community Services By statute, Hawaii OCS is mandated to facilitate and enhance the development, delivery and coordination of effective programs for disadvantaged persons, immigrants and refugees; to provide advice and assistance to the executive branch, the legislature and other private human service agencies on behalf of the target population; and to improve responsiveness to those in need through partnerships with public and private sectors.

3.2. State Plan Goals: Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan. **[Narrative, 2500 characters]**

VISION: Programs will be administered by Hawaii OCS and the four CSBG eligible entities in accordance with the purposes and goals of the CSBG Act and in compliance with all applicable Federal and State statutes, rules, regulations, policies and procedures.

Goal 1: Ensure that all eligible entities are compliant with the Organizational Standards prescribed in CSBG IM 138, and State and Federal Accountability Standards as set out in OMB super circulars.

Goal 2: Ensure that the board members and key staff of eligible entities are trained in the ROMA system by March 31, 2016, and that all program development, management and accountability activities comply with ROMA "next generation" requirements by the end of FFY 2016.

Goal 3: Administer CSBG funds in coordination with governmental and other social services programs to help ensure effective delivery of services and to avoid duplication.

Goal 4: Submit a comprehensive annual report to the Secretary of the Department of Health and Human Services documenting the measured performance of Hawaii OCS and the eligible entities during FFY 2016, including a summary of training and technical assistance that Hawaii OCS has provided. Hawaii OCS shall submit this report by March 31 annually, with copies of the report submitted also to the Governor of the State of Hawaii and the Hawaii State Legislature.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State’s annual report form.

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

3.3a. Analysis of [Check all that apply and add narrative where applicable]

- ☐ **Yes** State Performance Indicators and/or National Performance Indicators (NPIs)
- ☐ **Yes** U.S. Census data
- ☐ **Yes** State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☐ Other data (please describe) _____
- ☐ **Yes** Eligible entity community assessments
- ☐ **Yes** Eligible entity plans
- ☐ Other information from eligible entities, e.g., State required reports (please describe) **Entities’ program progress reports to Hawaii OCS and other reporting from them**

3.3b. Consultation with [Check all that apply and add narrative where applicable]

- ☐ **YES** Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☐ **YES** State community action association and regional CSBG T & TA providers
- ☐ **NO** State partners and/or stakeholders (describe) **[Narrative, 2500 characters]**
- ☐ **YES** National organizations (describe) OCS has in the past worked with the National Association for State Community Services Programs (NASCSPP)
- ☐ **NO** Other (describe) **[Narrative, 2500 characters]**

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities. [Narrative, 2500 Characters]

The present State Plan is largely an extension of the CSBG State Plan for FFY 2015/2016. When the FFY 2015/2016 plan was initially developed in early 2014, it was intended to be a two-year plan covering both FFY 2015 and 2016. The eligible entities were very actively involved in meetings with Hawaii OCS. They developed their Community Action Plans and Needs Assessments on the basis of that two-year time-frame, and the information from those Plans and Assessments was already incorporated into the State Plan. Despite the change to a one-year plan for FFY 2015 only, the four county Community Action Plans and Needs Assessments remain, in large part, valid tools for the present plan as well.

Hawaii OCS is in regular and frequent communication with the four eligible entities during the development of this present FFY 2016 & 2017 State Plan, and Hawaii OCS has received confirmation from the eligible entities that last year's plans and assessments remain appropriate for continued use this year for this State Plan.

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

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

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

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

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

3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period: ____ . **[Numerical, 3 digits]** .

Instructional Note: The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

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

SECTION 4

CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

Hawaii OCS published notice of the availability of this State Plan for public inspection and comment in the four major daily newspapers in Hawaii, one per county (two in Hawaii County), on July 12, 2015. The notice indicated that this State Plan would be available for review on the Hawaii OCS website and at the OCS and Hawaii CSBG Community Action Agency offices.

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

Hawaii OCS notice published in the four major daily newspapers in Hawaii, one per county (two in Hawaii County), on July 12, 2015 informed the public of a Legislative and Public hearing that would be held on July 23, 2015. In addition, the Hawaii State Legislature's Senate Committee on Judiciary and Labor and the House Committee on Labor and Public Employment also published notice of the hearing.

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

A combined Legislative and Public Hearing will be held on this State Plan on July 23, 2015, at the State Capitol in Honolulu pursuant to notice published on July 12, 2015.

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
July 23, 2015, 10:00 a.m.	Hawaii State Capitol, Rm 309 Honolulu, Hawaii 96813	<ul style="list-style-type: none">• Public• Legislative• <u>Combined</u>

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

Copy of public notice of State Plan as published in five major daily newspapers and supporting documents attached as Attachment # hereto.

Copy of Legislative record of the hearing is attached as Attachment # hereto.

SECTION 5

CSBG Eligible Entities

- 5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Agency (choose all that apply)	Geographical Area Served
1 Honolulu Community Action Program (HCAP)	All are private non-profit IRC 501(c)(3) corporations	<ul style="list-style-type: none"> • <u>CAA (all)</u> • Limited Purpose Agency • Migrant or Seasonal Farmworker Organization • Tribe 	1. HCAP – City and County of Honolulu (=Island of Oahu)
2 Hawaii County Economic Opportunity Council (HCEOC)			2. HCEOC – County of Hawaii (=Island of Hawaii)
3 Maui Economic Opportunity (MEO)			3. MEO – Maui County (Islands of Maui, Molokai, and Lanai)
4 Kauai Economic Opportunity (KEO)			4. KEO – County of Kauai (=Island of Kauai; Island of Ni`ihau, privately owned, not served)

- 5.2.** Total number of CSBG eligible entities: 04 [This will automatically update based on chart in 5.1]

- 5.3. Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes. ☐ Yes ☒ No

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A

State must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

SECTION 6

Organizational Standards for Eligible Entities

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

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.
- ☐ X **YES** The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
 - ☐ The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**
- 6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☐ XNo
- 6.2a.** If yes was selected in item 6.2, describe the State’s proposed minor modification to the COE-developed organizational standards, and provide a rationale. **[Narrative, 2500 characters] NOT APPLICABLE**
- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State’s administrative procedures act? If “Other” is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative where applicable]**
- ☐ Regulation
 - ☐ **YES** – Policy – Hawaii OCS CSBG Policies and Procedures Manual
 - ☐ **YES**- Contracts with eligible entities
 - ☐ Other, describe: **[Narrative Response, 2500 characters]**
- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? **[Check all that applies]**
- ☐ Peer-to-peer review (with State validation)
 - ☐ **YES** Self-assessment (with State validation)
 - ☐ **YES** Regular, on-site-CSBG monitoring
 - ☐ Other, describe: **YES - Regular review of program progress reporting and conferencing with the CAAs**
- 6.4a.** Describe the assessment process.

First, Hawaii OCS will ask the CAAs to engage in a self-assessment process and provide a written report to Hawaii OCS of the status of each organizational standard in that CAA. This will be done each Fall.

Second, Hawaii OCS staff will review the report, confer as needed, and develop a plan for further improvements if needed. This will be done before March 31 annually.

Third, to the extent that T&TA may be needed, Hawaii OCS and the relevant CAA(s) will develop a plan for such T&TA, ideally to be completed within 90 days after a plan is set up. Anticipated time-frame: April to August.

Fourth, if needed, on-site monitoring will take place.

- 6.5.** Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

☐ Yes ☒ No

- 6.5a.** If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. NOT APPLICABLE

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

- 6.6. Performance Target:** What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? **[Insert a percentage]**

NO RESPONSE REQUIRED

Note: This information is associated with State Accountability Measures 6Sa and may pre-populate the State's annual report form.

SECTION 7

State Use of Funds

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

- 7.1 Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- Historic
- Base + Formula: Hawaii OCS uses a two-part formula to allocate CSBG funds to eligible entities: (a) The Base component utilizes the CSBG allocations for FFY 1989, which were based on the respective poverty-level populations of the counties at that time, and (b) the most current respective poverty-level populations of the counties is used to allocate funds above the Base. See details below in our response to Item 7.2.
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

- 7.1a.** Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☐ Yes ☐ XNo

Hawaii OCS, as the State regulatory authority designated by the Governor to administer CSBG, has written procedures for allocating the 90 percent of CSBG funds among the eligible entities.

- 7.2. Planned Allocation:** Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
See narrative below	See narrative below		Not applicable. This is a one-year plan	
Total	Totals will be auto-populated		Totals will be auto-populated	

As indicated in the response to 7.1, above, a base+formula is used to determine the distribution of funds to eligible entities each year.

The Base provides fixed figures based on a historical distribution pattern from FFY 1989. \$1,399,024, the total CSBG funding level for FFY 1989, is used as the baseline for the funding formula. Thus, 90% of the first \$1,399,024 in CSBG funding received from the Federal government each year is distributed according to the historical percentages that were used in FFY 1989 by the Hawaii State Community Services Administration (formerly the Hawaii Office of Economic Opportunity). Accordingly, 90% the first \$1,399,024 of the Federal CSBG grant to Hawaii for FY 2016, i.e., a net total of \$1,259,122, shall be distributed as follows:

<u>County – Entity</u>	<u>Percentage</u>	<u>Dollar Amount</u>
Honolulu – HCAP	53.97	\$679,548
Hawaii – HCEOC	17.91	225,509
Maui – MEO	15.65	197,053
Kauai – KEO	<u>12.47</u>	<u>157,012</u>
TOTAL	100.00	\$1,259,122

The Formula component of the allocation provides for distribution of CSBG funds for the four CAAs on the basis of the most recent U.S. Census Bureau data set for distribution of poverty-level populations among Hawaii's four counties in the State. For this part of the apportionment formula, Hawaii OCS has used the Small Area Income and Poverty Estimates (SAIPE) data from the U. S. Census Bureau. The

SAIPE report reflects the population whose incomes are at 100% of the Federal Poverty Guidelines. While the CSBG program serves persons whose household incomes are at 125% of the guidelines, the SAIPE is used as a proxy because it is readily available.

Based on the SAIPE for 2013 (Source:

<http://www.census.gov/did/www/saipe/data/statecounty/data/2013.html>, downloaded on 7/10/2015), the estimated poverty population, by county, is presented in the table below:

<u>County</u>	<u>Poverty-Level Population</u>	<u>County's % of State Total Poverty Population</u>
Honolulu	91,757	59.83
Hawaii	36,563	23.84
Maui	16,991	11.08
Kauai	<u>8,074</u>	<u>5.26</u>
TOTAL	153,375	100.00

The Formula allocation to the eligible entities for the 90% of CSBG funds above \$1,399,024 is determined based on the county's percentage of the state's total poverty population.

- 7.3. Distribution Process:** Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission). **[Narrative, 2500 Characters]**

Upon approval of the State Plan, the State drafts and enters into two year contracts with each of the four CAAs, effective for the two FFYs. The contracts state that the funding for a given CAA is what is indicated pursuant to the Base + Formula calculation described above. Hawaii OCS endeavors to complete contract preparation and obtaining requisite signatures and approvals (see below) before the beginning of the FFY on October 1. No administrative or Legislative approval process is needed at this point, except for routine review of the contracts by the Attorney General and Department of Budget and Finance to ensure that standard provisions have been included in the contract, that necessary signatures have been obtained, and that the CAAs comply with various requirements (e.g., tax clearances, liability insurance, certifications regarding lobbying, and similar matters). The initial contracting process takes approximately one month.

The eligible entities make expenditures in conformance with the scope of services in their respective contracts and make monthly reimbursement requests for reimbursement. Hawaii OCS evaluates the requests on the basis of conformance to the scope of services, appropriateness of expenditures, mathematical accuracy, and similar matters.

Assuming that the requests meet those standards, Hawaii OCS processes payment through the State system (with the Departments of Budget & Finance and Accounting & General Services)

for processing of payment and preparation of checks. The turn-around time from submission of payment request to issuance of a check is usually between 16 and 30 days once all required documentation is compiled.

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

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption. **[Narrative, 2500 Characters]**

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

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

- 7.5. Performance Management Adjustment:** How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. **[Narrative, 2500 Characters] NO RESPONSE REQUIRED**

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the State's annual report form.

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

- 7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. **5% - Five percent of the total grant.**
- 7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[Insert a number between 0 – 99] 4**
- 7.8.** How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[Insert a number between 0 – 99] 1.5 FTE**

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

- 7.9.** Does the State have remainder/discretionary funds? x ☐ Yes ☐ No

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

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

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.

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

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

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
a. Training/technical assistance to eligible entities	A. Training and Technical Assistance – (20 – 50%)		A. Training and Technicl Assistance – (20 – 50%)		[Not Fillable] These planned services/activities will be described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
c. Statewide coordination and communication among eligible entities					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 characters]

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
e. Asset-building programs					
f. Innovative programs/ activities by eligible entities or other neighborhood groups					
g. State charity tax credits					
h. Other activities, specify _____					
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated	

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

- ☒ X CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 4
- ☐ State association
- ☒ X Regional CSBG technical assistance provider(s) AND/OR NATIONAL
- ☒ X National technical assistance provider(s) AND/OR REGIONAL
- ☒ X Individual consultant(s)
- ☒ X Other: Other community organizations

Note: This response will link to the corresponding CSBG assurance, item 14.2.

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

7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **NO RESPONSE REQUIRED**

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

SECTION 8

State Training and Technical Assistance

- 8.1.** Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.) **Note:** 8.1 is associated with State Accountability Measure 3Sc and may pre-populate the State’s annual report form.

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown options: <ul style="list-style-type: none"> FY1 – Q1 FY1 – Q2 FY1 – Q3 FY1 – Q4 FY2 – Q1 FY2 – Q2 FY2 – Q3 FY2 – Q4 Ongoing / Multiple Quarters All quarters 	Toggle Options: <ul style="list-style-type: none"> Training Technical Assistance Both 	Dropdown Options: <ul style="list-style-type: none"> Fiscal Governance/Tripartite Boards Organizational Standards – General Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) Correcting Significant Deficiencies Among Eligible Entities Reporting ROMA Community Assessment Strategic Planning Monitoring Communication Technology Other 	[Narrative, 2500 characters] If “Other” is selected in column 3, describe in this column
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but T/TA
FY1 - Q4	Training	ROMA	

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Y1 - Q1	Technical Assistance	Monitoring	Baseline assessment
Y1 - Q2	Training	ROMA	
Y1 - Q3	Both	Action Planning	
Y1 - Q4	Training	Fiscal	
Y2 - Q1	Both	Organizational Standards - Self-Assessment	
Y2 - Q2	Technical Assistance	Monitoring	
Y2 - Q3	Both	Strategic Planning	
Y2 - Q4	Training	Reporting	

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

20 – 50% of Discretionary Funds.

[Prepopulated with the budget allocation for years one and two under 7.9a]

If this is the implementation year for organizational standards, skip question 8.2.

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

NO RESPONSE REQUIRED

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

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

- ☐ **x** CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- ☐ Other community-based organizations
- ☐ **x** State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ **x** National technical assistance provider(s)
- ☐ **x** Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

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

- 8.4. Performance Management Adjustment:** How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **NO RESPONSE REQUIRED**

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

SECTION 9

State Linkages and Communication

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

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. [Check all that apply from the list below and provide a Narrative, 2500 Characters]

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

Hawaii OCS will work with our CAAs to inform other State agencies about its CSBG and other services to coordinate efforts to maximize access to CSBG services to low-income people and communities and avoid duplication of services.

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social

services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

Hawaii OCS will work with our eligible entities to inform local governmental and other social service agencies about its CSBG and other services to maximize effective delivery of services and avoid duplication of services.

9.3. Eligible Entity Linkages and Coordination

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

The four Hawaii eligible entities have developed a strong working relationship over the years. Hawaii OCS and the eligible entities meet monthly to discuss program status and lessons learned.

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

The four Hawaii CAAs have developed a strong working relationship over the years. Hawaii OCS and the CAAs meet monthly to discuss program status and lessons learned. Challenges and gaps in services are often discussed and CAAs share advice about how to address the opportunities for improvement.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? ☐ Yes ☒ No

SEE COMMENT BELOW IN RESPONSE TO QUESTION 9.4a

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

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

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

This year, Hawaii-OCS is working with our colleagues in WIOA to better coordinate efforts.

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

Hawaii OCS works with the Hawaii Department of Human Services, which administers LIHEAP in Hawaii, and with other agencies to improve access to emergency energy crisis intervention programs. Hawaii eligible entities also address emergency crisis intervention programs in their Community Action Plans.

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure LOCAL eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 2500 characters OR attach a document]**

Hawaii OCS reviews Community Action Plans and program progress reports for compliance with the requirements of the CSBG Act. Among those requirements that Hawaii OCS reviews for is coordination with faith-based, charitable and other community organizations. Hawaii eligible entities have established long standing relationships, including with faith-based, charitable groups and community organizations, in their respective counties.

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[Narrative, 2500 Characters]**

The CAAs have been maintaining linkages and coordination with other public and private resources in their respective counties, using CSBG funds, as needed, to ensure productive joint and coordinated activities with these agencies. All four eligible entities have diverse funding sources in addition to CSBG.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association. **[Narrative, 2500 Characters]**

Hawaii OCS supports the four Hawaii CAAs’ Directors’ Association - HCAP-DA. Hawaii OCS participates in the Association’s monthly conference calls. Hawaii OCS has advised the CAAs of their eligibility to participate in the Cal-Neva regional association of CAAs.

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

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of “Other”
[Narrative, 2500 characters]	Dropdown Options: <ul style="list-style-type: none"> • Daily • Weekly • Twice-Monthly • Monthly • Quarterly • Semi-Annually • Annually • Other – as needed 	Dropdown Options: <ul style="list-style-type: none"> • Newsletter • Mailing • Meetings/Presentation • Blog • Email • Website • Social Media • Other – tel confs 	[Narrative, 2500 characters]
ADD a ROW function Note: As many rows that are needed will be able to be added			
Public/Legislative hearing	<ul style="list-style-type: none"> • Annual 	<ul style="list-style-type: none"> • Hearing • Public notice 	State Plan
Eligible Entity (CAA) conference call	<ul style="list-style-type: none"> • Monthly 	<ul style="list-style-type: none"> • Phone Conference 	Program updates, lessons learned
Annual Report	<ul style="list-style-type: none"> • Annual 	<ul style="list-style-type: none"> • Email, website 	Outcomes

- 9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures. **[Narrative, 2500 Characters]**

Hawaii OCS is undertaking a comprehensive review of the State Accountability Measures as promulgated by ACF-OCS in draft form on January 28, 2015, and revised in a second draft as of May 18, 2015. We are comparing our current State and local performance to the standards laid out in these Measures. Hawaii OCS understands that these Measures will not become mandatory until the start of FFY 2016 on October 1, 2015.

We will be working with our eligible entities to ensure that they are knowledgeable and prepared to perform their obligations under these Measures. Training and Technical Assistance will be provided to assist with the deployment of the use of the State Accountability Measures.

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

- 9.11. Performance Management Adjustment:** How is the State adjusting the Communication plan in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **NO RESPONSE REQUIRED**

SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

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

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

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

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

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	HCAP: December 2012 MEO: November 2014 HCEOC: February 2013 KEO: April 2014	SEE SCHEDULE BELOW
All	Re-baseline	FY1 Q1		Situational (SWOT) Analysis
All	Follow-up	FY2 Q2		Status Review + Planning
HCAP	Full	FY1 Q1		3 year full monitoring visit by November 30, 2015
HCEOC	Full	FY1 Q2		3 year full monitoring visit by January 31, 2016
KEO	Full	FY2 Q2		3 year full monitoring visit by March 31, 2017
MEO	Full	FY2 Q4		3 year full monitoring visit by October 30, 2017

OCS reserves the right to conduct additional program evaluations and monitoring visits to any and all of the CAAs if, in its sole discretion, OCS deems such additional monitoring to be warranted for programmatic and/or fiscal reasons.

- 10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link]]**

See Attachment for procedures relating to monitoring visits.

- 10.3. Initial Monitoring Reports:** According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

30 days after monitoring visit is concluded.

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

- 10.4. Closing Findings:** Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above?

☐ **X** Yes

☐ No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings. **[Narrative, 2500 characters]**

- 10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? **0 (None)**

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

- 10.6. Reporting of QIPs:** Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP? **[Narrative, 2500 characters]** **Hawaii OCS will perform such reporting as is required by law and regulation**

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

☐ No

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

- 10.8.** Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? **NOT SPECIFICALLY** ☐ Yes ☒ **X** No

This matter is not explicitly addressed in Hawaii statutes or regulations. Accordingly, Hawaii OCS's process for designating new eligible entities is through the State's procurement system (Hawaii Revised Statutes Chapter 103F for procurement of health and human services and the associated regulations at Hawaii Administrative Rules Chapters 3-140 through 3-149, <http://spo.hawaii.gov/references/har/hhs/>).

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

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

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[Narrative, 2500 Characters]**

There is no state statute for de-designation. Hawaii OCS would follow the procedures outlined in CSBG Act Section 678C, IM 116, and 45 CFR 96.92.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? **NOT SPECIFICALLY** ☐ Yes ☒ No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[Narrative, 2500 Characters]**

This matter is not specifically addressed in Hawaii statutes or regulations. Hawaii OCS would need to follow the State procurement process to (Hawaii Revised Statutes Chapter 103F for procurement of health and human services and the associated regulations at Hawaii Administrative Rules Chapters 3-140 through 3-149, <http://spo.hawaii.gov/references/har/hhs/>) to potentially re-designate an existing eligible entity.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). **[Narrative, 2500 Characters or attach a document]**

All payments to the eligible entities are made on a cost-reimbursement basis, in accordance with requirements specified in our contract. The eligible entities may submit payment requests on a monthly basis, with supporting documentation. If the payment requests are inadequately documented, or seek payment for expenditures outside the scope of services agreed to in their contracts with Hawaii OCS, or if the requests contain math or other errors, Hawaii OCS returns the requests to the CAAs for revision and resubmission. The State maintains complete records of all payment requests and actions taken in response to the requests. These records permit Hawaii OCS to appropriately prepare SF-425 forms on a timely basis.

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **[Narrative, 2500 Characters]**

Hawaii OCS Management Decisions after Audit Reports. Whenever an audit report of a CAA sets out a finding that appears to require corrective action, Hawaii OCS shall consider all circumstances relating to the finding, shall discuss the matter with the Executive Director of the CAA, shall obtain and consider additional information as appears necessary, and it shall issue a management decision pursuant to the requirements of 2 CFR § 200.521. Pursuant to those requirements, the management decision shall clearly state whether or not the audit finding is sustained, the reasons for the decision, and the expected auditee action to repay disallowed costs, make financial adjustments, or take other action. If the auditee has not completed corrective action, a timetable for follow-up should be given.

If it is warranted, Hawaii OCS shall issue a corrective action directive to the CAA. The directive shall incorporate a description of any appeal process that may be available to the CAA. Hawaii OCS shall endeavor to issue such management decision within 45 days of its receipt of the audit report, unless extra time is needed to review relevant documents and other information.

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

Note: This response will link with the corresponding assurance, item 14.7

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

- 10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters] NO RESPONSE REQUIRED**

SECTION 11

Eligible Entity Tripartite Board

- 11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? **[Check all that applies and narrative where applicable]**
- ☐ Attend Board meetings
 - ☒ Review copies of Board meeting minutes
 - ☒ Track Board vacancies/composition
 - ☐ Other
- 11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income

member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☐ Other: As reflected in board meeting minutes submitted to Hawaii OCS.

- 11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board. **[Narrative, 2500 Characters]**

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

Hawaii OCS has informed all eligible entities of this requirement. All eligible entities have reported that they are in compliance with this requirement. This requirement will be added to the monitoring process for ongoing compliance review.

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

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

Section 12

Individual and Community Income Eligibility Requirements

- 12.1. Required Income Eligibility:** What is the income eligibility threshold for services in the State? **[Check one item below.]**

- ☐ X 125% of the HHS poverty line that is specific to Hawaii
- ☐ % of the HHS poverty line (fill in the threshold): **[insert up to a 3 digit percentage]**
- ☐ Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 2500 Characters, or attachment]**

Hawaii OCS follows the DHHS Poverty Guidelines for Hawaii ([Source](#)). Hawaii eligible entities develop eligibility criteria and a verification process that is appropriate for the programs/services that they are providing.

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

Hawaii eligible entities adopt specific policies and procedures for determining client eligibility for their general and short term services – as well as for their community-targeted services (see Item 12.3 immediately below) to ensure that they are appropriate and practical for the service being provided. Hawaii OCS works with the eligible entity to review the policies and procedures and any amendments thereto. Monitoring visits are used to verify and clarify compliance with the processes.

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

When Hawaii eligible entities provide services that provide community-wide benefit, they include a specific outcome related to how they will target and benefit low-income communities. Hawaii OCS works with the eligible entity to review the policies and procedures and any amendments thereto. Monitoring visits are used to verify and clarify compliance with the processes.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

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

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

- ☒ **X** The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

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

Hawaii OCS contracts with each of the eligible entities reflect a scope of work description that is aligned with the ROMA outcome objectives. Eligible entities submit monthly program reports indicating progress on each of the outcomes.

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

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act? **[Check one and Narrative, 2500 characters]**

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

- ☒ X CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

Hawaii OCS uses the NPIs to ensure alignment of our programs with CSBG goals.

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)? **[Narrative, 2500 characters or attach a document]**

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

Hawaii OCS’s goal is to ensure that board members and key staff of our eligible entities have received training in ROMA by the end of March 2016. Hawaii OCS will provide training (T&TA) support. This will enable us to deploy the ROMA system by the end of FFY 2016. In FFY 2017, we will refine and improve our deployment of ROMA.

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

Hawaii OCS reviews NPIs and other Information Survey (IS) data, along with program progress reports and other information available, to compare the performance outputs and outcomes reported by the eligible entities against their prior performance. Hawaii OCS also takes into account whether an eligible entity adds new programs or drops old programs. Using this comprehensive overview and analysis of each eligible entity’s present and past performance reporting to ascertain whether, and in what respects, the eligible entity is improving – or failing to improve – its service delivery.

Hawaii OCS also works with eligible entities during monitoring visits to verify use of data to improve service delivery.

Community Action Plans and Needs Assessments

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

In early 2014, eligible entities developed their Community Action Plans and Needs Assessments on the basis of that two-year time-frame, and reports have been received by Hawaii OCS.

The eligible entities are also updating their Community Action Plan to reflect changes since 2014. The Community Action Plan are required to be on file with Hawaii OCS for the FFY 16 funds to be contracted.

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

The eligible entities are also updating their Needs Assessment in order to update their Community Action Plan to reflect changes since 2014. The Community Action Plan are required to be on file with Hawaii OCS for the FFY 16 funds to be contracted.

SECTION 14

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

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;

- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Hawaii OCS reviews each eligible entity's Community Action Plan to ensure that they support each of the seven programmatic goals, including the needs of youth. Hawaii OCS then works with the eligible entity to ensure that the scope of services in each contract is aligned with these goals. Throughout the contract period of performance, Hawaii OCS reviews each eligible entity's program progress reports, fiscal reports, periodic on-site monitoring, and submissions for the "IS" survey to ensure (among other things) that the eligible entity is progressing on these goals including the needs of youth.

Needs of Youth

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

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

Hawaii OCS reviews each eligible entity's Community Action Plan to ensure that they support the needs of youth. Hawaii OCS then works with the eligible entity to ensure that the scope of services in each contract is aligned with these goals. Throughout the contract period of performance, Hawaii OCS reviews each eligible entity's program progress reports, fiscal reports, periodic on-site monitoring, and

submissions for the IS survey to ensure (among other things) that the eligible entity is progressing on these goals including the needs of youth.

Coordination of Other Programs

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

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

Hawaii OCS works to make effective use of, and coordinate with, other programs related to CSBG. Hawaii OCS regularly meets with government and related community organizations to align efforts and reduce duplication.

State Use of Discretionary Funds

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

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

Hawaii OCS uses discretionary funds to support innovative community and neighborhood-based initiatives aligned with CSBG. Hawaii OCS uses discretionary funds to provide training and technical assistance for eligible entities and organizations doing similar work.

Eligible Entity Service Delivery, Coordination, and Innovation

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

Eligible Entity Service Delivery System

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

[Narrative, 2500 characters OR attach a document]

Hawaii OCS reviews the Community Action Plan for the eligible entities to ensure that they are targeted to low-income individuals and families. Hawaii OCS also monitors the progress reports and outcomes delivered by each eligible entity.

Eligible Entity Linkages – Approach to Filling Service Gaps

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

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

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

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

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

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

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

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

Eligible Entity Emergency Food and Nutrition Services

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

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

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

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

State Coordination/Linkages and Low-income Home Energy Assistance

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

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

Hawaii OCS administers the Weatherization Assistance Program and coordinates with other partners to prevent an emergency energy crisis.

Federal Investigations

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

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

Funding Reduction or Termination

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

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

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

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

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

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

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the 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.”

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

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

- ☐ X Yes By checking this box, the State CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

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

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.2 Drug-Free Workplace Requirements

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of

convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

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

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

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

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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

Primary Covered Transactions

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

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

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not

required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- ☐ X By checking this box, the State CSBG authorized official is providing the certification set out above.

15.4 Environmental Tobacco Smoke

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

This version of the MSP is currently under review by OMB, which may result in additional edits.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

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

DRAFT