

# COMMUNITY SERVICES BLOCK GRANT (CSBG) STATE PLAN FOR FEDERAL FISCAL YEARS 2016 AND 2017

Draft Version 2– As of July 23, 2015

[New content from the Draft of July 20, 2015 is underscored, deleted content is struck through.]



**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

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## 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** See Attachment A

## 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/](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:

**.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 (level?), and that all~~ Appropriate program development, management and accountability activities undertaken by eligible entities 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]**

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

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~~ five major ~~daily~~ newspapers in Hawaii, one per county (two in Hawaii County), on July ~~12~~ 13 and 14, 2015-:

- [Hawaii Tribune Herald \(Print: July 13, 2015\)](#)
- [Honolulu Star-Advertiser \(Print: July 13, 2015\)](#)
- [Maui News \(Print: July 14, 2015; Web: July 14 – 20, 2015\)](#)
- [The Garden Island \(Print: July 13, 2015\)](#)
- [West Hawaii Today \(Print: July 13, 2015\)](#)

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~~ five major ~~daily~~ newspapers in Hawaii, one per county (two in Hawaii County), on July ~~12~~ 13 and 14, 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 on its website. This provided 11 – 12 days 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~~ 13 and 14, 2015. The hearing was also live streamed on <http://www.olelo.org/live/> and broadcast on Channel 49.

**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"> <li>• Public</li> <li>• Legislative</li> </ul>

Date	Location	Type of Hearing [Select an option]
		<ul style="list-style-type: none"> <li>• <u>Combined</u></li> </ul>

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 # B hereto.

Copy of Legislative record of the hearing is attached as Attachment # C 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"> <li>• <u>CAA (all)</u></li> <li>• Limited Purpose Agency</li> <li>• Migrant or Seasonal Farmworker Organization</li> <li>• Tribe</li> </ul>	1. HCAP – City and County of Honolulu
2 Hawaii County Economic Opportunity Council (HCEOC)			2. HCEOC – County of Hawaii
3 Maui Economic Opportunity (MEO)			3. MEO – Maui County
4 Kauai Economic Opportunity (KEO)			4. KEO – County of Kauai

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

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

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		See narrative below	
<b>Total</b>	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:

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

<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>
<b>TOTAL</b>	<b>100.00</b>	<b>\$1,259,122</b>

This approach will be used for the Base distribution for FFY 2017 as well.

The Formula component of the allocation provides for distribution of CSBG funds for the four Eligible Entities 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 at the time the original allocation is determined. 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>
<b>TOTAL</b>	<b>153,375</b>	<b>100.00</b>

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. The data presented in the table above will be used to compute the FFY 2016 allocation to the Eligible Entities. The SAIPE data available when the FFY 2017 allocation is determined will be used for the FFY 2017 allocation.

**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?  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]

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

- 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 Equivalent (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 Technical Assistance – (20 – 50%)		[Not Fillable] These planned services/activities will be described in State Plan item 8.1
	B. Coordination of State-				

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 %	
b. Coordination of State-operated programs and/or local programs	operated programs and/or local programs. (25 – 30%)		B. Coordination of State-operated programs and/or local programs. (25 – 30%)		[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	C. Statewide coordination (10 - 20%)		C. Statewide coordination (10 - 20%)		
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	D. N/A		D. N/A		[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.
e. Asset-building programs	E. N/A		E. N/A		
f. Innovative programs/ activities by eligible entities or other neighborhood groups	F. Innovative programs (e.g., Immigrant resource centers, Immigrant Handbook) (20 – 30%)		F. Innovative programs (e.g., Immigrant resource centers, Immigrant Handbook) (20 – 30%)		[Narrative, 2500 characters]
g. State charity tax credits					
h. Other activities, specify_____					
<b>Totals</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	<b>Auto-Calculated</b>	

**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

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- 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”
<b>Dropdown options:</b> <ul style="list-style-type: none"> <li>• FY1 – Q1</li> <li>• FY1 – Q2</li> <li>• FY1 – Q3</li> <li>• FY1 – Q4</li> <li>• FY2 – Q1</li> <li>• FY2 – Q2</li> <li>• FY2 – Q3</li> <li>• FY2 – Q4</li> <li>• Ongoing / Multiple Quarters</li> <li>• All quarters</li> </ul>	<b>Toggle Options:</b> <ul style="list-style-type: none"> <li>• Training</li> <li>• Technical Assistance</li> <li>• Both</li> </ul>	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Fiscal</li> <li>• Governance/Tripartite Boards</li> <li>• Organizational Standards – General</li> <li>• Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs)</li> <li>• Correcting Significant</li> </ul>	<b>[Narrative, 2500 characters]</b>  If “Other” is selected in column 3, describe in this column

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Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
		Deficiencies Among Eligible Entities <ul style="list-style-type: none"> <li>• Reporting</li> <li>• ROMA</li> <li>• Community Assessment</li> <li>• Strategic Planning</li> <li>• Monitoring</li> <li>• Communication</li> <li>• Technology</li> <li>• Other</li> </ul>	
<b>ADD a ROW function</b> 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	

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	

**SEE Hawaii table above**

**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]**

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

***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.

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

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

- 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.

**HI table:**

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	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Full onsite</li> <li>• Newly Designated</li> <li>• Follow-up</li> <li>• Other</li> <li>• No review</li> </ul>	<b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• FY1 Q1</li> <li>• FY1 Q2</li> <li>• FY1 Q3</li> <li>• FY1 Q4</li> <li>• FY2 Q1</li> <li>• FY2 Q2</li> <li>• FY2 Q3</li> <li>• FY2 Q4</li> </ul>	<b>HCAP:</b> December 2012 <b>MEO:</b> November 2014 <b>HCEOC:</b> February 2013 <b>KEO:</b> 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 D 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?

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

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 regular 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.”

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

**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**

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

- 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

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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.

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- (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;

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- (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

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

- (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.

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

(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.

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.



EXECUTIVE CHAMBERS  
HONOLULU

DAVID Y. IGE  
GOVERNOR

June 19, 2015

Ms. Jeannie Chaffin, Director  
Attn.: Community Service Block Grant Program  
Office of Community Services  
Administration for Children and Families  
U.S. Department of Health and Human Services  
370 L'Enfant Promenade S.W., 5<sup>th</sup> Floor West  
Washington, D.C. 20447

SUBJECT: Confirmation of Designation of State of Hawaii Office of Community Services  
as Lead State Agency for the Community Services Block Grant (CSBG)  
Program

Dear Ms. Chaffin:

This letter is to confirm that, as Governor of the State of Hawaii, I have designated the Office of Community Services of the State of Hawaii as the lead State agency for the administration of the Community Services Block Grant (CSBG) program in the State of Hawaii. I intend for this designation to continue until such time as it may be modified or withdrawn in writing by me or a successor governor.

Please direct communications about this matter to:

Ms. Rona M. Suzuki, Executive Director  
Office of Community Services  
Department of Labor and Industrial Relations  
State of Hawaii  
830 Punchbowl Street, Room 420  
Honolulu, Hawaii 96813  
Telephone: 808-586-8675  
Email: rona.m.suzuki@hawaii.gov

Thank you very much for your attention to and assistance with this matter.

With warmest regards,

A handwritten signature in black ink that reads "David Y. Ige".

DAVID Y. IGE  
Governor, State of Hawai'i

**Attachment B**

**Public Notice of Legislative and Public Hearing**

## NOTICE OF PUBLIC HEARING

The Hawaii Office of Community Services (OCS), Hawaii State Department of Labor and Industrial Relations, solicits public comment on the new proposed State Plan for the Community Services Block Grant (CSBG) Program to the U.S. Department of Health and Human Services (DHHS) for Federal Fiscal Years 2016 and 2017 (FFY 16 and 17). The CSBG program provides services to low-income and impoverished populations across the State. The plan outlines how OCS will meet the U.S. DHHS requirements for the CSBG program in FFY 16 and 17. CSBG services and activities are delivered state-wide by designated Community Action Agencies located in each county. The public is invited to comment on the proposed CSBG State Plan for FFY 16 and 17.

The proposed CSBG State Plan can be found at the OCS website, <http://labor.hawaii.gov/ocs>. Paper copies may be viewed at OCS and the Community Action Agency responsible for each County.

Hawaii County Economic  
Opportunity Council  
47 Rainbow Drive  
Hilo, Hawaii 96720  
Tel: (808) 961-2681

Honolulu Community Action  
Program, Inc.  
33 South King Street, Suite 300  
Honolulu, Hawaii 96813-4323  
Tel: (808) 521-4531

Maui Economic Opportunity, Inc.  
99 Mahalani Street  
Wailuku, Hawaii 96732  
Tel: (808) 249-2990

Kauai Economic Opportunity, Inc.  
2804 Wehe Road  
Lihue, Hawaii 96766  
Tel: (808) 245-4077

A combined-purpose Legislative and Public Hearing on the CSBG State Plan is scheduled for Thursday, July 23, 2015, at 10:00 a.m., at Conference Room 309 at the State Capitol, 415 South Beretania Street, Honolulu, Hawaii 96813. The hearing is being jointly convened by the Senate Committee on Judiciary and Labor and the House Committee on Labor and Public Employment. Persons with special needs, including oral language services, should call OCS at (808) 586-8675 by Thursday, July 16, 2015, to make arrangements.

The public is welcome to attend and provide comment at the hearing. Written comments may be submitted to OCS (email: [dli.ocs@hawaii.gov](mailto:dli.ocs@hawaii.gov), mail: Office of Community Services, 830 Punchbowl Street, Room 420, Honolulu, Hawaii 96813; fax: (808) 586-8685) for consideration at the hearing by Tuesday, July 21, 2015. Alternately, testimony can be submitted directly to the Legislature at: <http://www.capitol.hawaii.gov/>

### **AGENDA**

Joint Hearing by the Senate Committee on Judiciary and Labor, and House Committee on Labor and Public Employment on the CSBG State Plan for Federal Fiscal Year 2016 and 2017 as presented by Hawaii Office of Community Services (OCS):

1. Call to Order
2. Presentation of Model State Plan by OCS
3. Public Comment

By: Rona M. Suzuki, Executive Director  
Office of Community Services

(MN: July 14, 2015)

**NOTICE OF PUBLIC HEARING**

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3. Public Comment

By: Rona M. Suzuki, Executive Director  
Office of Community Services  
(WHT775454 7/13/15)



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1. Call to Order
2. Presentation of Model State Plan by OCS
3. Public Comment

By: Rona M. Suzuki, Executive Director  
Office of Community Services  
(HTH775449 7/13/15)



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3. Public Comment

By: Rona M. Suzuki, Executive Director  
Office of Community Services  
(TGI775427 7/13/15)



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1. Call to Order
2. Presentation of Model State Plan by OCS
3. Public Comment

By: Rona M. Suzuki, Executive Director  
Office of Community Services  
(SA775415 7/13/15)



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THE SENATE  
HOUSE OF REPRESENTATIVES  
THE TWENTY-EIGHTH LEGISLATURE  
INTERIM OF 2015

Attachment C

COMMITTEE ON LABOR & PUBLIC EMPLOYMENT

Rep. Mark M. Nakashima, Chair  
Rep. Jarrett Keohokalole, Vice Chair

Rep. Henry J.C. Aquino	Rep. Joy A. San Buenaventura
Rep. Sharon E. Har	Rep. Gregg Takayama
Rep. Linda Ichiyama	Rep. Roy M. Takumi
Rep. Aaron Ling Johanson	Rep. Kyle T. Yamashita
Rep. Matthew S. LoPresti	Rep. Andria P.L. Tupola

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Senator Gilbert S.C. Keith-Agaran, Chair  
Senator Maile S.L. Shimabukuro, Vice Chair

Sen. Mike Gabbard	Sen. Laura H. Thielen
Sen. Gilbert Kahele	Sen. Sam Slom
Sen. Donna Mercado Kim	

NOTICE OF INFORMATIONAL BRIEFING

DATE: Thursday, July 23, 2015  
TIME: 10:00 a.m.  
PLACE: Conference Room 309  
State Capitol  
415 South Beretania Street

A G E N D A

The Hawaii Office of Community Services (OCS), Hawaii State Department of Labor and Industrial Relations, has prepared for public review and comment its State Plan for the Community Services Block Grant (CSBG) Program to the U.S. Department of Health and Human Services (DHHS) for Federal Fiscal Years 2016 and 2017 (FFY 16 and 17). The CSBG program provides services to low-income and impoverished populations across the State. The plan outlines how OCS will meet the U.S. DHHS requirements for the CSBG program in FFY 16 and 17. CSBG services and activities are delivered statewide by designated Community Action Agencies located in each county. The public is invited to comment on the proposed CSBG State Plan for FFY 16 and 17.

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Kauai Economic Opportunity, Inc.  
2804 Wehe Road  
Lihue, Hawaii 96766  
Tel: (808) 245-4077

The public is welcome to attend and provide comment at the hearing. Written comments may be submitted to OCS (email:

The public is welcome to attend and provide comment at the hearing. Written comments may be submitted to OCS (email: [dliir.ocs@hawaii.gov](mailto:dliir.ocs@hawaii.gov), mail: Office of Community Services, 830 Punchbowl Street, Room 420, Honolulu, Hawaii 96813; fax: (808) 586-8685) for consideration at the hearing by Tuesday, July 21, 2015.

If you require special assistance or auxiliary aids and/or services to participate in the informational briefing (i.e., sign language interpreter or wheelchair accessibility), please contact OCS by Monday, July 20, 2015 (808) 586-8675 to make a request for arrangements. Prompt requests help to ensure the availability of qualified individuals and appropriate accommodations.

For further information, please call the Committee Clerk at (808)586-6680.

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Senator Gilbert S.C. Keith-Agaran  
Chair

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Rep. Mark M. Nakashima  
Chair

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Senator Ronald D. Kouchi  
President of the Senate

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Rep. Joseph M. Souki  
Speaker of the House



## ATTACHMENT D

MONITORING POLICIES AND PROCEDURES FOR

# COMMUNITY SERVICES BLOCK GRANT

Version 1.0 (as of July 23, 2015)



State of Hawaii | Department of Labor and  
Industrial Relations | Office of Community Services

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This Monitoring Policies and Procedures for Community Services Block Grant (CSBG) is adopted for use by the State of Hawaii, Department of Labor and Industrial Relations (DLIR), Office of Community Services (Hawaii OCS) beginning Federal Fiscal Year 2016 (October 1, 2015).

## 1 Intended Audiences

- **U.S. DHHS, ACF-OCS.** For the U.S. DHHS, ACF-OCS, this document acknowledges the applicable laws and regulations and provides Hawaii OCS's policies and procedures to meet the federal requirements.
- **Hawaii OCS.** This document provides background, guidance and direction for the Hawaii OCS staff working on the CSBG program.
- **CSBG Eligible Entities.** This document provides background and insight about the Hawaii OCS policies, procedures and requirements impacting CSBG agencies in Hawaii.

## 2 Mission Statement for the CSBG Program in Hawaii

Aligned with the federal and state requirements, the mission of the Hawaii OCS CSBG Program is to work for the following:

- **reduction of poverty,**
- **revitalization of low-income communities,**
- **empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly those persons attempting to transition off public assistance), and**
- **providing everyone the opportunity to live with decency and dignity.**

This will be done by carrying out the policy of the State of Hawaii to reduce or eliminate poverty by assuring that, to the maximum feasible extent, the citizens and residents of the State have access to a range of services and activities having a measurable and potentially major impact on the causes of poverty in the community or those areas of the community where poverty is a particularly acute problem.

## 3 CSBG Objectives and Fundable Activities

Programs, activities and services supported with funding through the CSBG Program are intended for the benefit of economically disadvantaged Hawaii residents. The Catalogue of Federal Domestic Assistance (CFDA) states for CSBG, which is program 93.569, that the objectives of Community Services Block Grants are:

- A. To provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act) and:

1. To provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem.
2. To provide activities designed to assist low-income participants, including the elderly poor, to:
  - a. Secure and retain meaningful employment;
  - b. Attain an adequate education;
  - c. Make better use of available income;
  - d. Obtain and maintain adequate housing and a suitable living environment;
  - e. Obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance;
  - f. Remove obstacles and solve problems which block the achievement of self-sufficiency;
  - g. Achieve greater participation in the affairs of the community; and
  - h. Make more effective use of other related programs.
3. To provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor.
4. To coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.<sup>1</sup>

## 4 CSBG Eligible Entities

### 4.1 Introduction

There are two categories of service agencies that are eligible under the CSBG Act to receive CSBG funding:

- 1) Community Action Agencies that are private non-profit corporations; and
- 2) local government agencies that provide anti-poverty services.

See CSBG Act Section 676B(a) & (b). These are all, generically, “CSBG Eligible Entities.”

Every such entity must have a “tripartite” board of directors. *Id.*; see also discussion below.

However, “eligibility” does not guarantee that an entity will become a CSBG service provider. CSBG Act Section 673(1)(A) states that the Eligible Entities that were in existence on the day before the adoption of the 1998 CSBG Act are identified as “Eligible Entities” that may receive CSBG funding to operate activities and programs designed to assist low-income participants, including the elderly poor. Since there are already such Eligible Entities in each of Hawaii’s four counties

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<sup>1</sup> <https://www.cfda.gov/?s=program&mode=form&tab=step1&id=791046f410e0379fb9b0b5262bc59578>; the objectives described by the CFDA are adapted from the CSBG Act, Section 672 Purposes and Goals, and Section 676(b), which sets out assurances that must be incorporated in CSBG State Applications and Plans.

(excluding Kalawao County) meeting this provision, there has been no need to designate new entities in Hawaii.<sup>2</sup>

Presently, the CSBG Eligible Entities and their main offices are:

**Honolulu Community Action Program, Inc. (HCAP)**

33 South King Street, Suite 300  
Honolulu, Hawaii 96813

**Hawaii County Economic Opportunity Council (HCEOC)**

47 Rainbow Drive  
Hilo, Hawaii 96720

**Maui Economic Opportunity, Inc. (MEO)**

99 Mahalani Street  
Wailuku, Hawaii 96732

**Kauai Economic Opportunity, Incorporated (KEO)**

2804 Wehe Road  
Lihue, Hawaii 96766

All of Hawaii's CSBG Eligible Entities are private, non-profit corporations formed pursuant to, and governed by, HRS Chapter 414D, the Hawaii Non-Profit Corporations Act. Each of these entities is also qualified under federal Internal Revenue Code Section 501(c)(3) and relevant IRS regulations as a charitable non-profit corporation.

Since a change in legal and/or tax status may affect the eligibility of a CAA to continue receiving CSBG funding under CSBG Act Section 676B(a), Hawaii OCS monitors changes in an Eligible Entity's legal or tax status.

## **5 Performance Evaluation and Accountability**

### **5.1 Program and Fiscal Monitoring - Overview**

CSBG Act Section 678B(a) requires every State agency to conduct monitoring of its eligible entities with respect to their (1) performance goals, (2) administrative standards, (3) financial management requirements, and (4) such other matters as the State may require. The Section further requires full **on-site review of each entity at least once every three years**. ACF-OCS IM 102, dated June 12, 2012, provides a detailed checklist of matters relating to administrative operations, financial operations, and program operations to be covered during monitoring visits and/or in desk monitoring.

A full compliance check, including fiscal, administrative, personnel and program elements will be conducted no less than every three years. This assessment use a risk-based model to ascertain the agency's ability and capacity to accurately manage and account for Federal funds, financial viability of the agency, and the ability of the agency to comply with Federal regulations. When assessing risk, OCS must account for CSBG funds, as well as relative benefits of using CSBG funds in contrast to

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<sup>2</sup> Under CSBG Act Section 676A, a State agency may designate an eligible entity to serve an unserved or underserved area. Subsection 676A(c) requires the State to select a private non-profit organization, if qualified, in preference to a public, governmental unit as the eligible entity. See also ACF-OCS Information Memorandum 42, April 10, 2000, which reconfirms this requirement.

other sources. This will help promote leveraging and partnership, as well as compliance with requirements that costs be reasonable, as set out in OMB Circulars A-122 and A-133, and with OMB Uniform Guidance, 2 CFR Part 200.

OCS conducts desk reviews at least monthly. In addition to the full on-site review, each Eligible Entity will be monitored for contract compliance, namely achievement of contracted outcomes, on an annual basis.

OCS may, in its sole discretion, conduct follow-up reviews including return visits to the Eligible Entities, and their programs, where OCS believes that they have failed to fully meet the goals, standards, and requirements established by the State.

OCS may also, in its sole discretion, conduct other reviews as it deems appropriate, including reviews of situations in which a Federal, State or local grant administered by an Eligible Entity has been terminated for cause.

If a Federal, State or local grant operated by a CSBG Eligible Entity is terminated for cause, OCS will schedule a review of such agency to determine the rationale for termination and whether it may affect the operations of other programs in the agency.

On-site review of any newly designated entity shall be conducted by OCS promptly after the completion of the first year in which such entity receives funds through the CSBG program.

### **5.1.1 Schedule of Monitoring Visits**

The following chart lists the dates of the most recent prior monitoring visits to the Eligible Entities and the monitoring schedule that OCS plans to employ during the next three years:

<b><u>Agency</u></b>	<b><u>Last Prior Monitoring</u></b>	<b><u>Date of Next Monitoring</u></b>
Honolulu Community Action Program, Inc.	December 2012	Before November 30, 2015
Maui Economic Opportunity, Inc.	November 2014	Before October 30, 2017
Hawaii County Economic Opportunity Council	February 2013	Before January 31, 2016
Kauai Economic Opportunity, Inc.	April 2014	Before March 31, 2017

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

### **5.1.2 Procedures for Monitoring Visits and Follow-up Actions**

With respect to each Eligible Entity that is scheduled to have a monitoring visit by OCS, OCS will provide the Eligible Entity with not less than thirty calendar days' advance notice of the visit date or dates. Prior to such formal notice, OCS will work with the Executive Director of the Eligible Entity to set dates that are mutually convenient and at which key staff members will be available for meeting with OCS staff. OCS will provide the Eligible Entity a copy of the monitoring checklist that the monitoring team will be using during the visit in advance.

The Eligible Entity's Executive Director, the chief fiscal officer, and all relevant program and fiscal staff are expected to be available for meeting with Hawaii OCS staff. Each Eligible Entity shall also make available to OCS all relevant records.

The monitoring visit will ordinarily cover both program and fiscal matters. To the extent practical, a monitoring visit will coincide with a meeting of the Eligible Entity’s Board of Directors so that the OCS staff can meet with the members of the Board, as well as with the staff.

Hawaii OCS will issue a monitoring report within thirty days of the last day of an on-site monitoring visit. Hawaii OCS will issue findings and recommendations for corrective action relating to any deficiencies found. The Eligible Entity shall respond to all findings within thirty days of receipt of the monitoring report. Failure to respond will result in an additional finding.

## 5.2 Corrective Action

Deficiencies in an Eligible Entity’s performance can be discovered through three principal means: (1) audits; (2) desk reviews by the State agency; and (3) monitoring visits by the State agency. In each situation, corrective action will need to be taken. See 2 CFR §200.511, Audit Findings Follow-up,<sup>3</sup> which describes in detail the auditee’s obligations, including obligations to take corrective action, that a sub-recipient such as a Eligible Entity must follow if serious deficiencies are discovered during an audit.

If Hawaii OCS discovers through any form of review that serious deficiencies exist or persist, Hawaii OCS will state in its monitoring report that it requires the entity to prepare and implement a corrective action plan. The Eligible Entity will be given an opportunity to respond and make its own proposals for corrective action, and Hawaii OCS will reply. At that point, the Eligible Entity is expected to undertake corrective action with due diligence. As described in the next section, Hawaii OCS will work with the Eligible Entity and provide training and technical assistance as needed, to ensure that corrective actions are taken as promised.

## 5.3 Training and Technical Assistance

Under CSBG principles, Training and Technical Assistance (T&TA) are provided by and through Hawaii OCS in two broadly different, but potentially overlapping, contexts – (1) capacity-building; and (2) corrective action to remedy deficiencies.

First, Hawaii OCS provides T&TA to help Eligible Entities and Hawaii OCS itself in capacity-building by establishing and maintaining best practices in all aspects of CSBG administration, from training in and use of ROMA principles to improved operational standards, fiscal management, and building and maintaining capacity to provide services to our client communities.

Second, under CSBG Act Section 678C(3)(A) OCS provides T&TA to help Eligible Entities take corrective action to remedy deficiencies, especially serious deficiencies. If expertise exists within Hawaii OCS staff, such staff will train and otherwise work with Eligible Entity’s staff to remedy deficiencies. Hawaii OCS will also assist as needed in locating persons and other resources to train and/or provide technical assistance to Eligible Entities in need.

## 5.4 Audits – Annual Independent Audits – Deadlines for Reports

Section 678D(a) of the CSBG Act outlines the federal requirements for fiscal controls of both the State agencies and the eligible entities. It requires each State agency to establish fiscal control and fund accounting procedures necessary to ensure the proper disbursement of and accounting for Federal funds paid to the State for CSBG purposes, and to establish procedures for monitoring the expenditures of such funds.

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<sup>3</sup> This part of the Uniform Guidance, or “Super-Circular,” supersedes OMB Circular A-133, Appendix §\_\_.315.

Accordingly, each Eligible Entity is required to maintain its financial records so as to be readily amenable to audits pursuant to Federal standards and requirements, including but not limited to the requirement for annual audits, the auditee's responsibilities in preparing for audits (.508), selection of auditors, maintaining proper financial statements, responding to findings, and submission of the audit report to the Federal government along with data collection requirements. See Office of Management and Budget Circular A-133, "Audits of State, Local Governments, and Other Non-Profit Organizations," and the current Compliance Supplement for Circular A-133.

CSBG Act Section 678D(a)(1)(C) and (D) require annual audits of the State's CSBG expenditures and also the CAAs' expenditures.<sup>4</sup> See also OMB Circular A-133, Appendix §\_\_\_\_.310(a). Because CSBG funding permeates all aspects of the CAAs' activities, the audits required under the CSBG Act are agency-wide in scope, and not program-specific. This requirement is made clear by the specific reference to the "Single Audit Requirements" of CSBG Act Section 678D(a)(2). A "single audit" means an agency-wide audit as to both fiscal and programmatic matters. See 31 USC §§7501(a)(18) and 7502(d)(1). Such audits are to be conducted annually. See 31 USC §7502(b)(1).

CSBG Act Section 678D(a)(2) requires that annual audits be conducted by independent entities; that cost and accounting standards of the Office of Management and Budget (OMB), including generally accepted accounting principles, apply to recipients of funds appropriated under the CSBG Act. The Section further requires that such audits be made under the Single Audit requirements of the Single Audit Act Amendments of 1996, *codified at* 31 USC Chapter 75. In addition, CSBG Act Section 678D(a)(2) requires the Governor to provide copies of such audit reports, within thirty days after completion of such audits, to each entity that was audited and to the HHS Secretary.

2 CFR §200.510 requires each sub-recipient of federal grants, such as an Eligible Entity under CSBG, to prepare financial statements. Those financial statements must reflect the Eligible Entity's financial position, results of operations or changes in net assets, and, where appropriate, cash flows for the fiscal year audited. More fundamentally, each agency must maintain all of its financial records so that audits required by Federal law and regulations can be effectively and efficiently performed.

Each CAA is required to keep Hawaii OCS informed in a timely manner after it retains an auditor, advising OCS of the name and contact information of the auditing firm and the individual within the firm responsible for the audit of the Eligible Entity involved, and to keep OCS generally apprised of the progress of the auditing work.

OMB Circular A-133, Attachment §\_\_\_\_.230(a), governs whether the agency may charge the costs of the audit against the grant for which the audit is being conducted.

OMB Circular A-133 requires that the audit be conducted using generally accepted audit standards, including the "Standards for Audit for Governmental Organizations, Program, Activities, and Functions," published by the U.S. General Accountability Office (GAO). (On the effective date of

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<sup>4</sup> See OMB Circular A-133 Attachment §\_\_\_\_.200(a), §\_\_\_\_.200, see also §\_\_\_\_.320(a). Note that the underscore blanks in references to OMB Circular A-133 Attachment sections, such as §\_\_\_\_.200(a) and §\_\_\_\_.320(a), are as they are written in the original of the Circular. Evidently, these Attachment sections were supposed to have been assigned a number preceding the subsection numbers, but this was never done by OMB. The Circular and its Attachments are at [http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133\\_revised\\_2007.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf). This Circular is supplemented by OMB Circular A-133 Compliance Supplement (latest revision: March 2014, [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2014](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2014)), which provides narrative background and explanations that are primarily intended to help auditors who may be unfamiliar with certain federal programs. The CSBG portion is at pages 4-93.569-1 to 4-93.569-7 of the portion of Part 4 that relates to the Department of Health and Human Services.

the new OMB “Super-Circular” discussed above, or at such later date as the Super-Circular will allow, OCS and the CAAs will comply with the requirements thereof.)

Pursuant to OMB Circular A-133, Attachment §\_\_\_\_.320, each Eligible Entity must submit to the Federal Audit Clearinghouse a copy of the audit report and fill out the Data Collection Form, SF-SAC, within thirty days after the Eligible Entity receives the report, or nine months after the end date of the fiscal year that is the subject of the audit — whichever comes first, unless a longer period is previously agreed to by the cognizant or oversight agency.<sup>5</sup>

OCS will review the Eligible Entity’s audit reports and Data Collection Reports within a reasonable time after receiving them, and may take action on the basis of audit findings contained therein.

#### **5.4.1 Hawaii OCS Management Decisions after Audit Reports**

Federal OMB regulations at 2 CFR § 200.521(a) govern the responsibilities of Federal agencies to issue “management decisions” after adverse audit findings are made. Accordingly, whenever an audit report of an Eligible Entity 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 Eligible Entity, obtain and consider additional information as appears necessary, and if it is warranted, Hawaii OCS shall issue a corrective action directive to the Eligible Entity. The directive shall incorporate a description of any appeal process that may be available to the Eligible Entity. 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.

#### **5.5 Cooperation with Investigations**

In accordance with Section 676(b)(7) and Section 678D(a)(1)(D) of the CSBG Act, OCS will permit and cooperate with any subsequent Federal investigation, including opening all records, files, transcripts or other documents that are pertinent to the investigation, upon reasonable requests for such items. The Eligible Entities have similar obligations of cooperation.

#### **5.6 Repayments of Disallowed Expenditures**

Pursuant to Section 678D(a)(3) of the CSBG Act, Hawaii OCS is required to repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the Community Services Block Grant Program.

To the extent that the Federal government requires any such repayment by a final determination made by appropriate Federal authorities that costs are disallowed, in whole or in part, or that there have been misappropriations or unauthorized or inadequately documented expenditures by an Eligible Entity, that Eligible Entity shall be required to immediately make such repayment to Hawaii OCS for forwarding to the Federal government. As between Hawaii OCS and the Eligible Entity, Hawaii OCS shall not be obliged to make a payment to the Federal government and then await reimbursement by the Eligible Entity. Federal law does not permit grantees to use other Federal funds to repay disallowed costs.

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<sup>5</sup> The OMB Circular A-133 compliance supplement for March 2014, [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2014](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2014), provides information on the Clearinghouse, in Part 1 at page 1-10.

## 5.7 Reduction or Termination of Funding to an Eligible Entity

Should Hawaii OCS make a finding of serious deficiencies that remains unresolved or uncorrected despite efforts to resolve them, or if a serious audit finding remains unresolved, or other extraordinary good cause exists, Hawaii OCS may commence proceedings to reduce or terminate funding of the Eligible Entity pursuant to Section 678C of the CSBG Act, 45 CFR §96.92, and the guidance contained in ACF-OCS Information Memorandum 116, dated December 4, 2009.

Before any termination and defunding proceedings occur, or simultaneously with such proceedings, Hawaii OCS may issue appropriate procurement requests for statements of interest by potential replacement agencies to ensure continuity of services.

The procedure for termination and defunding is set forth in Section 678C subsections (a) and (b) of the CSBG Act, which are quoted here in full:

- A. If the State determines, on the basis of a final decision in a review pursuant to Section 678B of this Act, that an eligible entity fails to comply with the terms of an agreement, or the State plan, to provide services under this chapter or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State shall—
  1. Inform the entity of the deficiency to be corrected.
  2. Require the entity to correct the deficiency.
    - (a) offer training and technical assistance, if appropriate, to help correct the deficiency, and prepare and submit to the Secretary a report describing the training and technical assistance offered; or (b) if the State determines that such training and technical assistance are not appropriate, prepare and submit to the Secretary a report stating the reasons for the determination.
    - (b) at the discretion of the State (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), allow the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct such deficiency within a reasonable period of time, as determined by the State; and (b) not later than 30 days after receiving from an eligible entity a proposed quality improvement plan pursuant to subparagraph (a), either approve such proposed plan or specify the reasons why the proposed plan cannot be approved.
  3. After providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding under this chapter of the eligible entity unless the entity corrects the deficiency.
- B. **Review:** A determination to terminate the designation or reduce the funding of an eligible entity is reviewable by the Secretary. The Secretary shall, upon request, review such a determination. The review shall be completed no later than 90 days after the Secretary receives from the State all necessary documentation relating to the determination to terminate the designation or reduce the funding. If the review is not completed within 90 days, the determination of the State shall become final at the end of the 90th day.

In addition to these statutory requirements, 45 CFR §96.92 states:

§96.92 Termination of Funding.

Where a State determines pursuant to section 675(c)(11) of the Community Services Block Grant Act that it will terminate present or future funding of any community

action agency or migrant and seasonal farmworker organization which received funding in the previous fiscal year, the State must provide the organization with notice and an opportunity for hearing on the record prior to terminating funding. If a review by the Secretary of the State's final decision to terminate funding is requested pursuant to section 676A, the request must be made in writing, within 30 days of notification by the State of its final decision to terminate funding. The Department will confirm or reject the State's finding of cause, normally within 90 days. If a request for a review has been made, the State may not discontinue present or future funding until the Department confirms the State's finding of cause. If no request for a review is made within the 30-day limit, the State's decision will be effective at the expiration of that time.

[52 FR 37968, Oct. 13, 1987]

OCS requests that any Eligible Entity that has appealed from OCS's determination provide to OCS copies of its appeal and all documents that the organization submits to the Secretary in support of the appeal, so that OCS may entertain possible reconsideration of its decision.

## **5.8 Designation of Newly Eligible Entities**

No entity in the State of Hawaii shall be designated as a newly eligible entity for receipt of CSBG funding unless the funding of an existing eligible entity has been terminated pursuant to the procedures set forth in CSBG Act Section 678C and all appeals from such termination have been exhausted. Any newly designated entity shall only replace the entity whose funding has been terminated. Procedures for the new designation of such an entity shall follow the requirements of CSBG Act Section 676A.

ACF-OCS IM 42, April 2000, states that, under CSBG Act Section 676A(c), a State must seek a qualified private nonprofit organization as the first option for designation as the entity to substitute for an entity whose CSBG eligibility has been terminated. Only where no such private nonprofit organization can qualify may a State consider designating a political subdivision or public organization. Therefore, in designating a new eligible entity, IM 42 requires that a State must first solicit applications from:

- A. Private nonprofit organizations within the unserved area that could be capable of providing a range of services and meeting the requirements of the CSBG Act.
- B. Private nonprofit organizations that are already eligible entities in an area contiguous with or within reasonable proximity to the unserved area.<sup>6</sup>

IM 42 further states that, in this first round of review, a State may not consider a political subdivision or an organization other than a private nonprofit organization, even if such a subdivision or public organization already serves as an eligible entity or receives CSBG funds. Only when the State cannot identify a viable private nonprofit organization may it then designate a political subdivision.

## **5.9 Non-Discrimination as to Religious Organizations**

As required by Section 679 of the CSBG Act, OCS continues to consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the CSBG program so long as the program is implemented in a manner consistent with the Establishment

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<sup>6</sup> This second option may well not be relevant or practical in Hawaii, where the CAAs serve separate counties, and the counties are separated by the ocean, which makes travel and transportation of goods expensive and problematic.

Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the Community Services Block Grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the Community Services Block Grant program.

## 6 Glossary of CSBG Terms

The following definitions and acronyms apply to the CSBG program as it is operated in the State of Hawaii:

“**ACF-OCS**” refers to the Federal Office of Community Services (OCS), which is part of the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services (DHHS).

“**Administrative Expenditures**” refers to expenditures required to operate an organization that provides direct services to clients. These include rent, utilities, salaries and benefits for personnel, insurance, equipment rental, etc. (Nothing herein is intended to supersede definitions used by the Office of Management and Budget relating to administrative expenditures.)

“**Business Day**” means any day that is not a weekend day or a holiday as recognized by the State of Hawaii pursuant to Hawaii Revised Statutes §8-1.

“**Care and Support Expenditures**” refers to expenditures that provide a direct benefit to the client or to someone on the client’s behalf. These include but are not limited to rent payments to landlords on the client’s behalf, payments to clients for housing, food, medicine, etc. Direct services are usually limited to money or goods that have an assigned monetary value.

“**Certification of an Eligible Entity**” refers to the process by which an agency becomes eligible to receive CSBG funds in the State of Hawaii, pursuant to the CSBG Act. See generally CSBG Act Section 673(1)(A).

“**Client**” is a person who receives benefits of a CSBG-supported program. For CSBG purposes, the terms “client” and “participant” are synonymous.

“**Community Action Agency**” (“**CAA**”) refers to an entity eligible for receipt of CSBG funding pursuant to Section 673(1) of the CSBG Act. In all current cases in Hawaii, the CAAs are private, non-profit entities that are organized pursuant to the requirements of the Hawaii State Non-Profit Corporations Act, HRS Chapter 414D. The CAAs are required to remain in conformity with the requirements of HRS Chapter 414D and in conformity with the requirements of the CSBG Act. Currently, there are four CAAs in Hawaii that are eligible entities pursuant to the CSBG Act, one in each of Hawaii’s four counties. They are: Honolulu Community Action Program (HCAP) in and for the City and County of Honolulu; Hawaii County Economic Opportunity Council, in and for the County of Hawaii; Maui Economic Opportunity (MEO), in and for the County of Maui; and Kauai Economic Opportunity (KEO), in and for the County of Kauai.

“**Community Action Agency Board of Directors**” refers to the governing board of directors of a CAA or other eligible nonprofit organization that administers the CSBG program in a particular service area. See the provisions of this Manual for policies for the application in Hawaii of the requirements of CSBG Act Section 676B that the Board of Directors of a private non-profit CAA that receives CSBG funds must have a tripartite board.

“**CSBG**” refers to the Community Services Block Grant program as reauthorized under the 1998 CSBG Act and subsequent continuing resolutions of the United States Congress.

“**CSBG Act**” refers to the Community Opportunities and Training Act of 1998, Public Law 105-285, *codified at* 42 USC §§9901 *et seq.*, the statute that governs the CSBG program.

“**Decertification**” refers to the process by which a State CSBG agency, such as OCS would request that the Governor declare that an agency that has been eligible to receive CSBG funds shall no longer be eligible to receive such funds or to be designated as such an agency. Such decertification process is governed by CSBG Act Sections 676(b)(8), 676(c), and 678(a), and by applicable regulatory guidance of ACF-OCS including Information Memorandum 116.

“**DHHS**” refers to the United States Department of Health and Human Services.

“**Director**” refers to the Director of the Hawaii Department of Labor and Industrial Relations (“DLIR”), to which Hawaii OCS is administratively attached.

“**Disallowed Costs**” refers to any cost determined to be ineligible for payment or reimbursement according to OMB Circulars A-110 and A-122 and other federal regulations.

“**Division of State Assistance**” (DSA) is the division within the Federal Office of Community Services that has direct contact with State agencies, such as OCS. The division and the Federal OCS are agencies within the Administration for Children and Families (ACF) in the U.S. Department of Health and Human Services.

“**Dispute**” refers to a disagreement between OCS and a particular CAA over an interpretation of the CSBG Act, HRS Chapter 371K, the OCS CSBG State Plan, this Policies and Procedures Manual, and/or the contract between the CAA and OCS.

“**Eligible Entity**” refers to any organization eligible to obtain funds through the Community Services Block Grant Program as specified in the CSBG Act, which serves as the statutory basis for the implementation of the Community Services Block Grant program in the State of Hawaii. Currently, and ordinarily, the “eligible entities” for CSBG funds in the State of Hawaii are the four private non-profit Community Action Agencies in Hawaii’s four counties: Honolulu Community Action Program (HCAP); Hawaii County Economic Opportunity Council (HCEOC); Maui Economic Opportunity (MEO); and Kauai Economic Opportunity (KEO).

“**Federal Office of Community Services**” (usually “**ACF-OCS**”) is the Federal Office of Community Services located in the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services.

“**Governor**” refers to the Governor of the State of Hawaii.

“**Hawaii Office of Community Services**” (usually “**OCS**”) refers to the Office of Community Services established by Act 305 of the 1985 Hawaii Legislature and codified at Hawaii Revised Statutes Chapter 371K. This office is the State agency designated by the Governor of the State of Hawaii pursuant to CSBG Act Section 676(a) to be the “lead agency” for administration of the CSBG program in the State of Hawaii.

“**HRS**” means the “Hawaii Revised Statutes,” which is the current codification of Hawaii State laws of general, long-term applicability. *Cf.*, “SLH,” Session Laws of Hawaii, as in, *e.g.*, Act 305, SLH 1985, which refers to the law enacted by the Hawaii Legislature in 1985 to establish the Hawaii Office of Community Services, and which has been codified as HRS Chapter 371K.

“**Participant**” is a person who receives benefits of a CSBG-supported program. For CSBG purposes, the terms “participant” and “client” are synonymous.

**“Program Manager”** or **“Program Specialist”** refers to the person who is assigned within OCS to manage a specific Program, such as CSBG.

**“Program Support Expenditures”** refers to expenditures that are made to benefit a client but are not either an administrative expenditure or a direct service expenditure. These could include but are not limited to the costs for seasonal personnel such as income tax preparers, the cost of a telephone which would be available to clients for job search, the cost of lunches for grantee volunteers, the cost of kitchen equipment and wages for the congregate feeding program, etc. (Nothing herein is intended to supersede definitions used by the Office of Management and Budget relating to “program support expenditures.”)

**“Reduction in Funding”** refers to the process by which an eligible agency's CSBG funding will be reduced. Such process, when undertaken, shall be in accordance with CSBG Act Sections 676(b)(8), 676(c), and 678C, as well as applicable regulatory guidance of ACF-OCS.

**“ROMA”** refers to the Results-Oriented Management and Accountability principles and methodology developed on behalf of ACF-OCS to comply with the requirements mandated by the Government Performance and Results Act (GPRA) of 1993, and as required by CSBG Act Section 676(b)(12), *codified at* 42 USC §9908(b)(12). This provision of the CSBG Act requires that ROMA principles be contained in every State Application and Plan for CSBG grant funds since 2001.

**“Termination of the Agreement”** refers to the process by which an eligible entity's CSBG Agreement with OCS would be terminated pursuant to Sections 676(b)(8), 676(c), and 678C of the CSBG Act, as well as ACF-OCS Information Memorandum 116, 45 CFR §96.92, and other applicable regulatory guidance from ACF-OCS.

**“Twelve National Indicators”** refers to the National Indicators of Community Action Performance reporting developed by ACF-OCS, as described in, *inter alia*, the statement of the six National Goals and the Twelve National Community Action Performance Indicators. *See, e.g.* <http://www.nyscaaonline.org/BestPracFiles%5CIndicators.pdf>.