

## CSBG State Plan

**Program Name:** Community Services Block Grant

**Grantee Name:** HAWAII DEPARTMENT OF LABOR & IND

**Report Name:** CSBG State Plan Revision # 1

**Report Period:** 10/01/2025 to 09/30/2026

**Report Status:** Submission Accepted by CO (Revision #1)

### Report Sections

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# CSBG Cover Page (SF-424M)

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

**Form Approved  
OMB No: 0970-0382  
Expires:08/31/2027**

## COVER PAGE

<p>* 1.a. Type of Submission:  <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)</p>		<p>* 1.b. Frequency:  <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)</p>		<p>* 1.c. Consolidated Application/Plan/Funding Request?  <input type="radio"/> Explanation:</p>		<p>* 1.d. Version:  <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update</p>	
				<p>2. Date Received:</p>		<p>State Use Only:</p>	
				<p>3. Applicant Identifier:</p>			
				<p>4a. Federal Entity Identifier:</p>		<p>5. Date Received By State:</p>	
				<p>4b. Federal Award Identifier:</p>		<p>6. State Application Identifier:</p>	
<p><b>7. APPLICANT INFORMATION</b></p>							
<p>* a. Legal Name: <b>HAWAII DEPARTMENT OF LABOR &amp; IND</b></p>							
<p>* b. Employer/Taxpayer Identification Number (EIN/TIN):  <b>1990266120B4</b></p>				<p>* c. Organizational UEI: <b>QRYWK6AKF2D8</b></p>			
<p>* d. Address:</p>							
<p>* Street 1:</p>	<p>OFFICE OF COMMUNITY SERVICES</p>	<p>Street 2:</p>	<p>DEPARTMENT OF LABOR AND INDUSTRIAL RELATION</p>				
<p>* City:</p>	<p>HONOLULU</p>	<p>County:</p>	<p>HONOLULU</p>				
<p>* State:</p>	<p>HI</p>	<p>Province:</p>					
<p>* Country:</p>	<p>United States</p>	<p>* Zip / Postal Code:</p>	<p>96813 -</p>				
<p>e. Organizational Unit:</p>							
<p>Department Name: <b>Department of Labor and Industrial Relations</b></p>				<p>Division Name: <b>Office of Community Services</b></p>			
<p>f. Name and contact information of person to be contacted on matters involving this application:</p>							
<p>Prefix:</p>	<p>* First Name:  <b>Rey</b></p>	<p>Middle Name:</p>	<p>* Last Name:  <b>Domingo</b></p>				
<p>Suffix:</p>	<p>Title:  <b>Executive Director</b></p>	<p>Organizational Affiliation:</p>					
<p>* Telephone Number:  <b>(808) 586-8678</b></p>	<p>Fax Number</p>	<p>* Email:  <b>rey.domingo@hawaii.gov</b></p>					
<p>* 8a. TYPE OF APPLICANT:  <b>A: State Government</b></p>							
<p>b. Additional Description:</p>							
<p>* 9. Name of Federal Agency:</p>							
<p>Administration for Children and Families, Office of Community Services</p>							
		<p>Catalog of Federal Domestic Assistance Number:</p>		<p>CFDA Title:</p>			
<p>10. CFDA Numbers and Titles</p>		<p><b>93569</b></p>		<p>Community Services Block Grant</p>			
<p>11. Descriptive Title of Applicant's Project</p>							
<p>12. Areas Affected by Funding:</p>							
<p>13. CONGRESSIONAL DISTRICTS OF:</p>							
<p>* a. Applicant  <b>HI</b></p>				<p>b. Program/Project:</p>			
<p>Attach an additional list of Program/Project Congressional Districts if needed.</p>							
<p>14. FUNDING PERIOD:</p>				<p>15. ESTIMATED FUNDING:</p>			
<p>a. Start Date:  <b>10/01/2025</b></p>		<p>b. End Date:  <b>09/30/2026</b></p>		<p>* a. Federal (\$):  <b>\$0</b></p>		<p>b. Match (\$):  <b>\$0</b></p>	
<p>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</p>							
<p>a. This submission was made available to the State under the Executive Order 12372</p>							
<p>Process for Review on :</p>							

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

\* 17. Is The Applicant Delinquent On Any Federal Debt?

YES  
 NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

**\*\*I Agree**

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official Rey Domingo	18c. Telephone (area code, number and extension)
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18d. Email Address  
rey.domingo@hawaii.gov

18b. Signature of Authorized Certifying Official 	18e. Date Report Submitted (Month, Day, Year) 09/15/2025
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**Attach supporting documents as specified in agency instructions.**

**Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

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

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**SECTION 1**  
**CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

1.1. Identify whether this is a One-Year or a Two-Year Plan		<input checked="" type="radio"/> one-year <input type="radio"/> two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One2026	Year Two2027
1.2. Lead Agency and Authorized Official: Update the following information in relation to the lead agency and authorized official designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act.			
<i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan? <input checked="" type="radio"/> Yes <input type="radio"/> No			
If yes, select the fields that have been changed [Check all that apply]			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input checked="" type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input checked="" type="checkbox"/> Office Number	<input type="checkbox"/> Fax Number	
<input checked="" type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		State of Hawaii Department of Labor and Industrial Relations - Office of Community Services	
1.2b. Cabinet or administrative department of this lead agency [Check one and provide a narrative where applicable]			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Community Services Department			
<input type="radio"/> Governors Office			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input checked="" type="radio"/> Other, describe Department of Labor and Industrial Relations			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Office of Community Services	
1.2d. Authorized Official of the Lead Agency			
Name: Rey Domingo		Title: Executive Director	
1.2e. Street Address		830 Punchbowl Street, Room 420	
1.2f. City		Honolulu	1.2g. State HI 96813
1.2i. Telephone number 808 586 - 8680 ext.		1.2j. Fax number 808 586 - 8685	
1.2k. Email address rey.domingo@hawaii.gov		1.2l. Lead agency website www.labor.hawaii.gov/ocs	
1.3. Designation Letter: <i>Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.</i>			
1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.			

Has Information regarding to the state point of contact has changed since the last submission of the State Plan? <input checked="" type="radio"/> Yes <input type="radio"/> No			
If yes, select the fields that have changed [check all the apply]			
<input checked="" type="checkbox"/> Agency Name	<input checked="" type="checkbox"/> Point of Contact	<input checked="" type="checkbox"/> Street Address	
<input checked="" type="checkbox"/> City	<input checked="" type="checkbox"/> Zip Code	<input checked="" type="checkbox"/> Office Number	
<input checked="" type="checkbox"/> Fax Number	<input checked="" type="checkbox"/> Email Address	<input checked="" type="checkbox"/> Website	
1.4a. Agency Name State of Hawaii Department of Labor and Industrial Relations - Office of Community Services			
1.4b Point of Contact Name			
Name: Courtney Lee		Title: Program and Evaluation Administrator	
1.4c. Street Address		830 Punchbowl Street, Room 420	
1.4d. City		Honolulu	1.4e. StateHI
1.4g. Telephone Number 808 586 - 8682 ext.		1.4h. Fax Number 808 586 - 8685	
1.4i. Email Address courtney.n.ho@hawaii.gov		1.4j. Agency Website www.labor.hawaii.gov	
1.5. Provide the following information in relation to the State Community Action Association.			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? <input checked="" type="radio"/> Yes <input type="radio"/> No			
If yes, select the fields that have been changed [Check all the apply]			
<input checked="" type="checkbox"/> Agency Name	<input checked="" type="checkbox"/> Executive Director	<input checked="" type="checkbox"/> Street Address	
<input checked="" type="checkbox"/> City	<input checked="" type="checkbox"/> State	<input checked="" type="checkbox"/> Zip Code	
<input checked="" type="checkbox"/> Office Number	<input checked="" type="checkbox"/> Fax Number	<input checked="" type="checkbox"/> Email Address	
<input type="checkbox"/> Website	<input type="checkbox"/> RPIC Lead		
1.5a. Agency Name Maui Economic Opportunity, Inc.			
1.5b. Executive Director or Point of Contact			
Name: Debbie Cabebe		Title: Chief Executive Officer	
1.5c. Street Address		99 Mahalani Street	
1.5d. City		Wailuku	1.5e. StateHI
1.5g. Telephone number 808 243 - 4300 ext.		1.5h. Fax number 808 243 - 4300	
1.5i. Email Address debbie.cabebe@meoinc.org		1.5j. State Association Website	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input type="radio"/> Yes <input checked="" type="radio"/> No			

## Section 2: State Legislation and Regulation

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

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### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

State has a statute authorizing CSBG  Yes  No

**2.2. CSBG State Regulation:**

State has regulations for CSBG  Yes  No

**2.3. Legislation/Regulation Document:** *Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.*

**2.4. State Authority:**

*Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:*

2.4a. Authorizing Legislation: State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year  Yes  No

2.4b. Regulation Amendments: State established or amended regulations for CSBG last federal fiscal year  Yes  No

## Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
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### 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.*

Hawaii OCS was established by the Legislature in Chapter 371K, Hawaii Revised Statutes. The statutory purpose is to provide an array of community-based services to enable low-income people, immigrants, and refugees to attain self-sufficiency. Hawaii OCS, administratively attached to the Department of Labor and Industrial Relations, has been designated by the Governor of the State of Hawaii as the lead agency for the administration of CSBG in the State of Hawaii. Any change in the Governor requires a new designation letter. Hawaii OCS, in conjunction with the four local CAAs, develops an annual CSBG State Plan to oversee and monitor the work of the CAAs at all stages of the annual CSBG grant, and to report on the program's performance to Federal and State authorities. Hawaii OCS presents this plan to the legislature and public for hearing, then submits the State Plan to Federal OCS for acceptance and approval.

#### 3.2. State Plan Goals:

*Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.*

*(Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)*

Hawaii OCS's CSBG specific goals are as follows: 1. Ensure compliance with federal and state requirements through consistent communication with each CAA and the State Association (HCAPDA), on-site monitoring visits, and providing T&TA as necessary to address areas of improvement; 2. Facilitate linkages between CAAs, Hawaii OCS, and other State government agencies to better serve Hawaii's most vulnerable populations; and 3. Establish and strengthen collaborative relationships and partnerships among each CAA and with other organizations, both within and outside the State of Hawaii. All CAAs facilitate the exchange of resources, expertise, and best practices, leading to increased capacity for Hawaii's CSBG network by fostering transparency and improving communication across CAAs.

#### 3.3. State Plan Development:

*Indicate the information and input the state accessed to develop this State Plan.*

##### 3.3a. Analysis of state-level tools [Check all that apply applies and provide additional information where applicable]

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data
- State Performance Management Data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Monitoring Visits/Assessments
- Tools Not Identified Above (specify)

##### 3.3b. Analysis of local-level tools [Check all that applies and provide additional information where applicable]

- Eligible Entity Community Needs Assessments
- Eligible Entity Community Action Plans
- Public Hearings/Workshops
- Tools Not Identified Above (e.g., State required reports)[specify]

##### 3.3c. Consultation with [Check all that applies applies and provide additional information where applicable]

- Eligible Entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State Association
- National Association for State Community Services Programs (NASCSP)
- Community Action Partnership (NCAP)
- Community Action Program Legal Services (CAPLAW)
- CSBG Tribal Training and Technical Assistance (T/TA) provider
- Regional Performance Innovation Consortium (RPIC)
- Association for Nationally Certified ROMA Trainers (ANCRT)
- Federal CSBG Office
- Organizations not identified above [Specify]

<b>3.4. Eligible Entity Involvement</b>			
<b>3.4a. State Plan Development</b> Describe the specific steps the State took in developing the State Plan to involve the eligible entities.			
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>			
Hawaii OCS coordinated a work group comprised of each CAAs CSBG direct program staff to discuss specific sections of the CSBG State Plan to increase awareness of details contained in the CSBG State Plan. The CAAs reviewed the State Plan and offered input and revisions before the final submission. The work group met about once every other month from November 2024 through April 2025 via Zoom. The work group had their first meeting on November 4, 2024.			
<b>3.4b. Performance Management Adjustment:</b> Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to:			
1) encourage eligible entity participation and 2) 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.			
<i>(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)</i>			
Hawaii OCS continued to emphasize open communication and transparency to allow the CAAs to share their needs, which are reflected in this State Plan. Hawaii OCS also continued to involve the CAAs in the development of the State Plan by starting a work group comprised of each CAAs CSBG direct program staff to encourage CAA participation and ensure the CSBG State Plan reflects input from the CAAs.			
<b>3.5. Eligible Entity Overall Satisfaction:</b> <i>Provide the State's target for eligible entity Overall Satisfaction during the performance period:</i>			
Year One	92	Year Two	92
Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.			
<i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i>			

## Section 4: CSBG Hearing Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### SECTION 4 CSBG Hearing Requirements

#### 4.1. Public Inspection:

Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

In January 2025, Hawaii OCS reviewed the previously submitted State Plan for FFY 2025 and highlighted sections to update in the State Plan for FFY 2026 and 2027. Hawaii OCS proceeded to start a work group with direct program staff from each CAA to gain participation and support in the development of Hawaii's CSBG State Plan. Each work group meeting focused on no more than 3 sections of the State Plan to ensure that there was sufficient time to discuss the sections and for feedback to be provided. Hawaii OCS coordinated with the House and Senate offices as well as the CAAs to hold a public and legislative hearing and provided copies of the State Plan on Hawaii OCS's website. In June 2025, Hawaii OCS drafted a revised State Plan for FFY 2026 and 2027 to reflect the feedback provided during work group meetings. Hawaii OCS also circulated the draft State Plan for FFY 2026 and 2027 to all of the CAAs for review and comment, and posted the draft State Plan to Hawaii OCS's website with the link to the public hearing on August 7, 2025 as well as instructions on how the public can submit comments and how the public can access a copy of the State Plan. The work group first met on November 4, 2024 on Zoom to discuss the purpose of the work group and brainstorm statewide CSBG goals for FFY 2026 - 2027.

#### 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 Section 676(a)(2)(B) of the CSBG Act.

On August 7, 2025, Hawaii OCS posted the public and legislative hearing notice 7 business days prior to the public hearing regarding the draft State Plan for FFY 2026 and 2027. Once the combined public and legislative hearing date was set, Hawaii OCS posted the final draft of the State Plan on Hawaii OCS's website and provided copies of the State Plan upon request. The hearing notice provided information on how the public can submit comments in writing prior to the date of the public and legislative hearing.

#### 4.3. Public and Legislative Hearings:

In the table below, 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.

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	08/19/2025	State Capitol Conference Room 309, 415 South Beretania Street, Honolulu, HI 96813	Combined	<input checked="" type="checkbox"/>

*NOTE : States can add rows as needed for each hearing as needed*

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.  
<https://labor.hawaii.gov/ocs/service-programs-index/csbg/>

## Section 5: CSBG Eligible Entities

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

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### SECTION 5 **CSBG Eligible Entities**

#### **5.1. CSBG Eligible Entities:**

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

*Note: Table 5.1 pre-populates the Annual Report, Module 1, Table C.1.*

**Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other**

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	HI County Economic Opportunity Council	Hawaii County	Non-Profit	Community Action Agency
2	Honolulu Community Action Program, Inc.	City and County of Honolulu	Non-Profit	Community Action Agency
3	Kauai Economic Opportunity, Incorporated	Kauai County	Non-Profit	Community Action Agency
4	Maui Economic Opportunity, Inc.	Maui County	Non-Profit	Community Action Agency

#### **5.2. Total number of CSBG eligible entities 4**

#### **5.3. Changes to Eligible Entities List:**

Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: [Check all that apply].

- Designation and/or Re-Designation
- De-Designations and/or Voluntary Relinquishments
- Mergers
- No Changes to Eligible Entities List

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any

eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

**5.3b. Designation and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)

CSBG Eligible Entity	Reason	Delete

**5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were individually listed in the prior State Plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete

## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### 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:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period

COE CSBG Organizational Standards  Modified version of COE CSBG Organizational Standards  Alternative set of Organizational Standards

**6.1a. Modified Organizational Standards:** In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

**6.1b. Alternative Organizational Standards:** If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

**6.1c. Alternative Organizational Standards Changes:** If using an alternative set of organizational standards:

- 1) provide any changes from the last set provided during the previous State Plan submission;
- 2) describe the reasons for using alternative standards; and
- 3) describe how they are at least as rigorous as the COE-developed standards

There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

**6.2. Implementation:** Check the box that best describes how 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 apply and narrative where applicable]*

Regulation

Policy

Contracts with eligible entities

Other, describe:

**6.3. Organizational Standards Assessment:** Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). *[Check all that apply.]*

Peer-to-peer review (*with validation by the State or state-authorized third party*)

Self-assessment (*with validation by the State or state-authorized third party*)

Self-assessment/peer review with state risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

**6.3a. Assessment Process:** Describe the planned assessment process.

The process to assess the CAAs against the Organizational Standards were updated in the CSBG policies and procedures. Hawaii OCS will integrate CAP's State Assessment Tool for Organizational Standards into the monitoring procedures with the CAAs. When Hawaii OCS works with each CAA to set up an on-site monitoring date, Hawaii OCS requests fiscal and program documents to review that may prove the CAA meets Organizational Standards along with other monitoring requirements.

**6.4. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)?  Yes  No

**6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption**

Total Number of Exempt Entities: 0

CSBG Eligible Entity	Description / Justification	Delete
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<b>6.5. Performance Target:</b> Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period			
Year One	50%	Year Two	50%
<i>Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.</i>			

## Section 7: State Use of Funds

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

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2027

### SECTION 7 State Use of Funds

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

**7.1. Formula:**

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

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

**7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities.  
Hawaii OCS utilizes the 1989 Community Services Administration allotment as the base allocation and the most current Small Area Income and Poverty Estimates for Hawaii to distribute the remaining funds.

**7.1b. Statue:** Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities?  Yes  No

**7.2. Planned Allocation:**

Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than 90 percent funds" as described under Section 675C(a) of the CSBG Act.

In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Note: This information pre-populates the state's Annual Report, Module 1, Table E.2.

Year One	90.00%	Year Two	90.00%
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#### Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
HI County Economic Opportunity Council	\$783,555	
Honolulu Community Action Program, Inc.	\$2,116,918	
Kauai Economic Opportunity, Incorporated	\$269,849	
Maui Economic Opportunity, Inc.	\$449,401	
<b>Total</b>	<b>\$3,619,723</b>	

#### CSBG Eligible Entity Year Two

CSBG Eligible Entity	Year Two Funding Amount \$	Delete
HI County Economic Opportunity Council	\$783,555	
Honolulu Community Action Program, Inc.	\$2,116,918	
Kauai Economic Opportunity, Incorporated	\$269,849	
Maui Economic Opportunity, Inc.	\$449,401	
<b>Total</b>	<b>\$3,619,723</b>	

**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).

In July preceding the start of the Federal Fiscal Year (FFY), Hawaii OCS sends a letter to each eligible entity with the estimated funding per the Base + Formula allocation for the upcoming FFY based on the total funding for the prior FFY. The eligible entities provide budgets and outcomes for their respective allocation in roughly 20 days, which are then used in their CSBG contract with Hawaii OCS and executed prior to the start of the FFY. Upon release of quarterly state awards by DHHS, the eligible entities are informed of their current available funds. Eligible entities request reimbursement for allowable expenditures by providing a payment request and expenditure report using Hawaii OCSs internal forms. The requests are checked for accuracy by the assigned Program Specialist and processed through the State system, which includes the Department of Budget and Finance and Department of Accounting and General Services. Checks for reimbursement are received by the eligible entity in a timely manner from the time the Program Specialist approves the payment request.

**7.3a Distribution Method:** Select the option below that best describes the distribution method the state uses to issue CSBG funds to eligible entities:

- Reimbursement
- Advance

<input checked="" type="radio"/> Hybrid													
<input type="radio"/> Other													
<p><b>7.4. Distribution Timeframe:</b>            Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? <input checked="" type="radio"/> Yes  <input type="radio"/> No</p>													
<p><b>7.4a. Distribution Consistency:</b> If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.</p> <p><i>Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.</i></p>													
<p><b>7.5. Distribution of Funds Performance Management Adjustment:</b>            Describe the state's strategy for 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.</p> <p><i>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</i></p>													
<p>Based on the results of the most recent ACSI survey and other feedback from the network, under the FFY 2026 and 2027 State Plan Hawaii OCS will continue to coordinate work group meetings with the eligible entities to ensure their involvement in the development of the CSBG State Plan as well as Hawaiis CSBG policies and procedures. Hawaii OCS will continue to communicate any procedural changes and collaborate with the State Association and the eligible entities. Hawaii OCS will continue to work closely with each eligible entity to execute contracts annually with the effective date of October 1. Each contract will integrate the estimated funding per the Base + Formula allocation for the upcoming FFY based on the total funding from the prior FFY and the estimated carryover from the previous contract period. By including the estimated carryover from the previous contract period, each eligible entity will be able to continue to expend funds from the prior FFY without disruption during the grant cycle.</p>													
<b>Administrative Funds [Section 675C(b)(2) of the CSBG Act]</b>													
<p><i>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</i></p>													
<p><b>7.6. Allocated Funds:</b> Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.</p>													
Year One (0.00%)	5.00	Year Two (0.00%)	5.00										
<p><b>7.7. State Staff:</b> Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan</p>													
Year One	8.00	Year Two	8.00										
<p><b>7.8. State FTEs:</b> Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan</p>													
Year One	0.00	Year Two	0.00										
<p><b>7.9. Remainder/Discretionary Funds Use:</b> Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>													
<p>If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.</p>													
Year One (0.00%)	5.00%	Year Two (0.00%)	5.00%										
<b>Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)</b>													
<p><i>Note: This response will link to the corresponding assurance, Item 14.2.</i></p>													
<p><i>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 Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i></p>													
<p><i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i></p>													
<table border="1"> <thead> <tr> <th>Remainder/Discretionary Fund Uses</th> <th>Year One Planned \$</th> <th>Brief description of services/activities and/or activities</th> </tr> </thead> <tbody> <tr> <td>7.9a. Training/technical assistance to eligible entities</td> <td>\$80,000.00</td> <td>These planned services/activities will be described in State Plan Item 8.1.</td> </tr> <tr> <td>7.9b. Coordination of state-operated programs and/or local programs</td> <td>\$0.00</td> <td>These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.</td> </tr> <tr> <td>7.9c. Statewide coordination and communication among eligible entities</td> <td>\$0.00</td> <td>These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.</td> </tr> </tbody> </table>		Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities	7.9a. Training/technical assistance to eligible entities	\$80,000.00	These planned services/activities will be described in State Plan Item 8.1.	7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities											
7.9a. Training/technical assistance to eligible entities	\$80,000.00	These planned services/activities will be described in State Plan Item 8.1.											
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.											
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.											

7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	Not applicable.
7.9e. Asset-building programs	\$0.00	Not applicable.
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$52,000.00	CAAs will utilize these funds to assist in accomplishing CSBG program goals or for uses associated with Section 675C(b)(1) of the CSBG Act.
7.9g. State charity tax credits	\$0.00	Not applicable.
7.9h. Other activities, specify in column 3	\$67,085.00	Hawaii OCS plans on providing a statewide CSBG training in-person for Hawaii's CAA network.
<b>Total</b>	<b>\$199,085.00</b>	
<b>Remainder/Discretionary Fund Uses</b>	<b>Year Two Planned \$</b>	<b>Brief description of services/activities</b>
7.9a. Training/technical assistance to eligible entities	\$80,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	Not applicable.
7.9e. Asset-building programs	0	Not applicable.
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$52,000.00	CAAs will utilize these funds to assist in accomplishing CSBG program goals or for uses associated with Section 675C(b)(1) of the CSBG Act.
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$67,085.00	Hawaii OCS plans on providing a statewide CSBG training in-person for Hawaii's CAA network.
<b>Total</b>	<b>\$199,085.00</b>	
<b>7.10. Remainder/Discretionary Funds Partnerships:</b> Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. <i>[Check all that apply and narrative where applicable]</i>		
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)		
<input type="checkbox"/> The state partially carries out some activities		
<input checked="" type="checkbox"/> CSBG eligible entities ( <i>if checked, include the expected number of CSBG eligible entities to receive funds</i> ) 4		
<input checked="" type="checkbox"/> Other community-based organizations		
<input checked="" type="checkbox"/> State Community Action association		
<input checked="" type="checkbox"/> Regional CSBG technical assistance provider(s)		
<input checked="" type="checkbox"/> National technical assistance provider(s)		
<input checked="" type="checkbox"/> Individual consultant(s)		
<input type="checkbox"/> Tribes and Tribal Organizations		
<input type="checkbox"/> Other		
<b>Note:</b> <i>This response will link to the corresponding CSBG assurance, item 14.2.</i>		
<b>7.11. Use of Remainder/Discretionary Funds Performance Management Adjustment:</b> Describe any adjustments the state will make to 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.		
<b>Note:</b> <i>This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i>		
Based on the current prices of training and technical assistance registration costs, airfare, and lodging costs, Hawaii OCS continues to allocate sufficient funds to ensure that each eligible entity can participate in national conferences and host internal training and technical assistance for the agency as needed.		

## Section 8: State Training and Technical Assistance

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

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### SECTION 8 State Training and Technical Assistance

**8.1. Training and Technical Assistance Plan:** Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. The T/TA plan should include all planned CSBG T/TA activities funded through the administrative or remainder/discretionary funds of this CSBG award (as reported in Section 7). The CSBG T/TA plan should include training and technical assistance conducted directly by the state or through partnerships (as specified in 8.3). Add a row for each activity; indicate the timeframe; whether it is training, technical assistance, or both; and the topic.

*Note: This information is associated with State Accountability Measure 3Scand pre-populates the Annual Report, Module 1, Table F.1.*

#### Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q3	Both	Fiscal	
2	FY1-Q3	Both	ROMA	
3	FY1-Q3	Both	Reporting	
4	Ongoing / Multiple Quarters	Technical Assistance	Other	Ongoing communication with each CAA to discuss allowable expenses, meeting Organizational Standards, and reporting.

#### Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Other	Communication with the eligible entities to discuss allowable expenses and meeting Organizational Standards.
2	FY2-Q3	Both	Fiscal	
3	FY2-Q3	Both	Reporting	
4	FY2-Q3	Both	Organizational Standards - General	

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

Year One	\$80,000	Year Two	\$80,000
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**8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.

Hawaii OCS will conduct a training and technical assistance survey for each eligible entity to complete based on training needs identified by the Program Specialist, and the results of the survey will be compiled to determine which training needs to prioritize for the Federal Fiscal Year. Topics will be prioritized through input from the eligible entities, which may differ from the training topics reported in Section 8.1 of Hawaii's CSBG State Plan for FY 2026 and 2027. Hawaii OCS coordinates with NASCSP to determine the best training service providers to provide specific training and technical assistance sessions to the eligible entities. NCAF, CAPLAW, and ANCRT may also be consulted with to provide training sessions. CSBG discretionary funds will be utilized to host in-person trainings for Hawaii's CSBG network each year.

**8.2. Organizational Standards Technical Assistance:** Does the state have Technical Assistance Plans (TAPs) in place for all eligible entities with unmet organizational standards, if appropriate?  Yes  No

*Note: 8.2 is associated with State Accountability Measure 6Sb. The state should put a TAP in place to support eligible entities with one or more unmet organizational standards.*

**8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. If Hawaii OCS identifies any deficiencies as the result of an Organizational Standards review or monitoring visit, then Hawaii OCS may require corrective action. Hawaii OCS will take the steps prescribed in IM #116 with the inclusion of the Technical Assistance Plan in IM #138. Hawaii OCS will identify any deficiencies in writing as part of the on-site monitoring report or review of the Organizational Standards. If appropriate, Hawaii OCS will offer training and technical assistance to help the eligible entity correct the identified deficiency(s). If the deficiency(s) is not corrected in the timeline agreed upon by the eligible entity and Hawaii OCS, then the eligible entity shall be placed on a Technical Assistance Plan (TAP). The TAP shall include the planned corrective activities, inclusive of training and technical assistance, the progress over time, responsible parties, and timeframe for completion. The TAP must be submitted by the eligible entity to Hawaii OCS within 60 days of receipt of written notification that a TAP is required. Hawaii OCS shall respond within 30 days of receipt of the TAP and indicate whether the TAP is approved for action or will not meet the deficiency(s). Hawaii OCS and the eligible entity shall work collaboratively on the TAP to ensure appropriate training and technical assistance is provided and the deficiency(s) is corrected. If the TAP is not met, then a Quality Improvement Plan (QIP) will be required. The development of the QIP shall follow the same process of the TAP.

**8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. *[Check all that apply.]*



All T/TA is conducted by the state

<input checked="" type="checkbox"/> CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) 4	
<input type="checkbox"/> Other community-based organizations	
<input checked="" type="checkbox"/> State Community Action association	
<input checked="" type="checkbox"/> Regional CSBG technical assistance provider(s)	
<input checked="" type="checkbox"/> National technical assistance provider(s)	
<input checked="" type="checkbox"/> Individual consultant(s)	
<input type="checkbox"/> Tribes and Tribal Organizations	
<input type="checkbox"/> Other	
<p><b>8.4.CSBG-Funded T/TA Performance Management Adjustment:</b> Describe adjustments the state made to 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.</p> <p><i>Note: This information is associated with State Accountability Measures 3Sd may pre-populate the state's annual report form</i></p>	
<p>Hawaii OCS continues to ensure that the eligible entities have sufficient support and funds to participate in national training and technical assistance opportunities as well as additional training and technical assistance specific to the agency's needs.</p>	

## Section 9: State Linkages and Communication

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

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### SECTION 9 State Linkages and Communication

*Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(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 intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

*Describe additional information as needed.*

*Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa andand pre-populates the Annual Report, Module 1, Item G.1.*

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

Hawaii OCS works with the State Low Income Home Energy Assistance Program (LIHEAP) office to administer the LIHEAP weatherization program with the same CAAs that provide the LIHEAP Utility Assistance Program and the DOE Weatherization Assistance Program (WAP). Hawaii OCS works with the State Weatherization office to provide WAP and WAP Bipartisan Infrastructure Law/Infrastructure Investment and Jobs Act (IIJA). Hawaii OCS works with the State budget office to reimburse each CAA for federal funds utilized and to ensure that federal funds are spent on allowable expenses. Although Hawaii OCS does not work directly with the State Workforce Innovation and Opportunity Act (WIOA) agency, some of the CAAs work with the State WIOA agency and Hawaii OCS supports these partnerships.

#### 9.2. State Linkages and Coordination at the Local Level:

Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) - (6))

*Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.*

Hawaii OCS will continue to work with the State LIHEAP office to provide LIHEAP Weatherization services. Hawaii OCS will also continue to work with the CAAs to support their existing partnerships and help foster new ones with other local organizations. Hawaii OCS encourages the CAAs to collaborate extensively with government entities, local nonprofits, mental and physical health providers, schools, public safety providers, and other organizations to design, implement, and provide services to low-income individuals and families addressing local community needs. The CAAs offer information and referrals to the public and are key participants in their respective ROMA or related performance management cycle, serving as community hubs that link low-income people with comprehensive and holistic services. The CAAs maintain partnerships and collaborations within the community to prevent 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 eligible entities will partner and collaborate with public and private sector organizations to assure the effective delivery 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)).

*Note: This response will link to the corresponding CSBG assurance, item 14.5.and pre-populates the Annual Report, Module 1, Item G.3a.*

Hawaii OCS receives quarterly program reports that include narratives detailing work the CAAs accomplish in collaboration with other organizations to meet goals based on the National Performance Indicator (NPI) data. Hawaii OCS also participates on monthly HCAPDA conference calls where the CAAs share updates on programs, trainings attended, and any new grants awarded. Through these reports and monthly conference calls, Hawaii OCS monitors the coordination of linkages to reduce gaps in service between CAAs and their linkages/partnerships.

#### 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.

**Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.**

The CAAs currently provide referral services that are reflected in their program progress reports. The CAAs continue to maintain partnerships with various state organizations, such as the Temporary Assistance for Needy Families (TANF) office, State education department, Head Start state office, and the State housing office to name a few, to ensure that comprehensive services are provided and accessible to CSBG clients. The CAAs also participate in various coalitions and work groups with other local organizations that meet regularly to share program updates, information on services already available, and any gaps in services within the community.

**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

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

**9.4a. WIOA Combined Plan:** 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. Employment and Training Activities:** 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.

Some of the CAAs that provide employment services also provide employment training and work with the American Job Center. Employment training includes helping clients determine their strengths and weaknesses, skills and experience, values and interest, how to conduct job searches online, how to write a resume, mock interviews, and basic money management. Through employment services, the CAAs provide personalized one-on-one employment counseling services, job readiness training, tuition assistance for vocational school, and job placement to unemployed and underemployed individuals.

**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.

**Note: This response will link to the corresponding CSBG assurance, item 14.6.**

Emergency energy crisis intervention programs are discussed in quarterly program reports and monthly calls assuring that each community has access.

**9.6. 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.

**Note: this response will link to the corresponding assurance, item 14.9.**

The CAAs describe the roles various partnerships and coordination with faith-based organizations, charitable groups, and community organizations in their quarterly program reports and monthly HCAPDA conference calls.

**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.

**Note: this response will link to the corresponding assurance, item 14.3c.**

The CAAs submit a Community Action Plan to Hawaii OCS annually that is included in each CAAs CSBG contract. The CAAs also submit quarterly program progress reports demonstrating their progress in meeting the goals and targets established in their respective current CSBG contract. During monthly HCAPDA meetings, each CAA describes program updates and describes how the CAA is coordinating CSBG funds with other public and private resources.

**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.

**Note: This information will pre-populate the Annual Report, Module 1, Item G.5.**

The State Association, Hawaii Community Action Program Directors Association (HCAPDA), has monthly conference calls, which Hawaii OCS participates in. Hawaii COS also supports HCAPDA by assisting where needed and ensuring that efforts are not duplicative.

**9.9. Communication with Eligible Entities and the State Community Action Association:**

In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

**Communication Plan**

Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	1:1	
State Plan Development	Annually	Email Webinar	
Organizational Standards Progress	Annually	Email 1:1	
State Accountability Measures Progress	Quarterly	Email	

<b>Community Needs Assessments/ Community Action Plans</b>	Annually	Email	
<b>State Monitoring Plans and Policies</b>	Annually	Email 1:1 Phone Calls	
<b>Training and Technical Assistance (T/TA) Plans</b>	Annually	Email	
<b>ROMA and Performance Management</b>	Annually	Email Webinar	
<b>State Interagency Coordination</b>	Monthly	Email Webinar Phone Calls	
<b>CSBG Legislative/Programmatic Updates</b>	As needed	Email Webinar Phone Calls	
<b>Tripartite Board Requirements</b>	Annually	Email Webinar	
<b>9.10. Feedback to Eligible Entities and State Community Action Association:</b> Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.			
<i>Note: This information is associated with State Accountability Measure 5S(iii), and will pre-populate the Annual Report, Module 1, Item G.6</i>			
Upon receipt of any feedback from the Office of Community Services, Hawaii OCS forwards the information to the CAAs along with any further information that can be provided, including action items or next steps.			
<b>9.11. Communication Plan Performance Management Adjustment:</b> Describe any adjustments the state made to 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.			
<i>Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.</i>			
Hawaii OCS continues to strive for open communication with the CAAs and the public at large. Hawaii OCS makes an effort to update the state website consistently.			

## Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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### SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

*Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.*

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	HI County Economic Opportunity Council	Follow-up	Desk Review	FY1 Q2	04/01/2024	07/05/2024	
2	Honolulu Community Action Program, Inc.	Follow-up	Desk Review	FY1 Q2	06/10/2024	09/24/2024	
3	Kauai Economic Opportunity, Incorporated	Full On-site	Onsite Review	FY1 Q3	04/14/2023	08/29/2023	
4	Maui Economic Opportunity, Inc.	Full On-site	Onsite Review	FY1 Q3	04/06/2023	06/09/2023	
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	HI County Economic Opportunity Council	Full On-site	Onsite Review	FY2 Q3	04/01/2024	07/05/2024	
2	Honolulu Community Action Program, Inc.	Full On-site	Onsite Review	FY2 Q3	06/10/2024	09/24/2024	
3	Kauai Economic Opportunity, Incorporated	Follow-up	Desk Review	FY2 Q2	04/14/2023	08/29/2023	
4	Maui Economic Opportunity, Inc.	Follow-up	Desk Review	FY2 Q2	04/06/2023	06/09/2023	

**10.2. Monitoring Policies:**

Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

As stated in Hawaii OCSs CSBG Policies and Procedures OCS Performed Monitoring on page 8, Hawaii OCS is required to monitor each CAA on-site at least once every three years, and during the first year for a newly designated CSBG CAA. The purpose of monitoring is to verify compliance with applicable rules and regulations, assess the overall health of the CAA, and to identify areas where training and technical assistance may be necessary. When possible, monitoring shall coincide with a Board of Directors meeting and be completed in one business day. Monitoring shall be inclusive of administrative, programmatic, and fiscal elements. While the on-site monitoring includes the areas covered by the Organizational Standards, it goes beyond the documentation requirement with observation of how those requirements are implemented and put into practice in the CAA's every day operation. Appendix 12 is a crosswalk of the areas covered by monitoring with the related Organizational Standard(s). Prior to conducting an on-site monitoring visit, Hawaii OCS will request specific fiscal documents for fiscal staff to review, and program documents to prove the CAA meets Organizational Standards as well as other monitoring requirements. Hawaii OCS shall review the risk assessment, Organizational Standards met, recent Board of Directors minutes and packets, most recent audit, and program and fiscal reports to identify any areas requiring attention. With the breadth of information provided to Hawaii OCS, many areas of monitoring can be pre-assessed, saving time for both the CAA and Hawaii OCS. Hawaii OCS shall issue a monitoring report to the CAA within 60 days. The report shall indicate areas of strength and weakness based on Hawaii OCSs observations. If corrective action is required, the monitoring report shall also specify the timeline for compliance and available training and technical assistance.

**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?

*Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.*

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#### 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 documenting the closure of findings, included in the State monitoring protocols attached above?  Yes  No

**10.4a. Closing Findings Procedures:** If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

<b>10.5. Quality Improvement Plans (QIPs):</b> Provide the number of eligible entities currently on QIPs, if applicable.
<b>Note: The QIP information is associated with State Accountability Measures 4Sc.</b>
0
<b>10.6. Reporting of QIPs:</b> 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
<b>Note: This item is associated with State Accountability Measures 4Sa(iii).</b>
Hawaii OCS will notify Federal OCS of CAAs on QIPs via email within the requisite number of days.
<b>10.7. Assurance on Funding Reduction or Termination:</b> The state assures, "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)" per Section 676(b)(8). <input checked="" type="radio"/> Yes <input type="radio"/> No
<b>Note: This response will link with the corresponding assurance under item 14.8.</b>
<b>Policies on Eligible Entity Designation, De-designation, and Re-designation</b>
<b>10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No
<b>10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.</b>
Hawaii CSBG Policies and Procedures state, In the event that a CAA is de-designated as a CSBG eligible entity, OCS will issue a Request for Proposals (RFP), pursuant to Chapter 103F, Hawaii Revised Statutes, to select a new provider for that geographic area. The RFP will be inclusive of all eligible entity requirements and may be issued during the period of Federal OCS review of the termination to minimize any potential lapse in service to the CSBG clients, however, no award shall be made until the review is completed. The terminated CAA may reapply for eligible entity status through the RFP process.
<b>10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public</b>
<b>10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities</b> <input checked="" type="radio"/> Yes <input type="radio"/> No
<b>10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.</b>
Hawaii CSBG Policies and Procedures state, Should the Quality Improvement Plan (QIP) not be met, OCS may exercise the right to reduce the funds or terminate the CAAs status as a CSBG eligible entity. OCS shall inform the CAA of its decision in writing and provide the opportunity for a fair hearing. The CAA has 30 days to request the hearing and the hearing shall proceed in accordance with Chapter 91, Hawaii Revised Statutes. If OCS's decision as a result of the fair hearing is to reduce or terminate funding, the CAA may exercise its right for federal review. Federal OCS review must be requested within 30 days of notification of the States decision. OCS may not take any action during the 30 day request period or the time of Federal OCS review. Both the CAA and OCS shall submit all documentation regarding the action to Federal OCS, which must be completed within 90 days.
<b>10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public</b>
<b>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?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No
<b>10.10a. If Yes, provide the citation(s) of the law and/or regulation.</b>
<b>10.10b. If No, describe State procedures for re-designation of existing eligible entities.</b>
Hawaii CSBG Policies and Procedures states, "In accordance with Section 676A of the CSBG Act, if any geographic area within the State of Hawaii is not, or ceases to be, served by a CSBG eligible entity listed above, and if the Chief Executive Officer/Executive Director of the State decides to serve such area, the Chief Executive Officer/Executive Director may solicit applications from, and designate as an eligible entity (1) a private nonprofit organization, which may include an eligible entity, that is geographically located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of the CSBG Act; and (2) a private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area. The process to redesignate an unserved or an additional geographic area to an existing or new eligible entity must follow the procedures outlined in Section 676A of the CSBG Act. An interim redesignation may be noted when an eligible entity has been identified to provide services after a voluntary relinquishment/de-designation pending official designation of a permanent entity consistent with the requirements of Section 676A of the CSBG Act."
<b>Fiscal Controls and Audits and Cooperation Assurance</b>
<b>10.11. Fiscal Controls and Accounting:</b> 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).
All payments to the CAAs are made on a cost-reimbursement basis. The CAAs submit monthly payment requests and expenditure reports. Payment requests are checked for appropriateness and allowability, and processed through the State system. Hawaii OCS maintains records of all payments for a minimum of seven years.
<b>10.12. Single Audit Management Decisions:</b> 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.
<b>Note: This information is associated with State Accountability Measure 4Sd.</b>
If a CAA receives an audit finding requiring a management decision by Hawaii OCS, then Hawaii OCS will send the CAA a formal letter requesting a corrective action plan and timeline in which corrective action must be implemented. Hawaii OCS will coordinate with the CAA to develop a corrective action plan and timeline. Hawaii OCS will offer training and technical assistance to help the CAA correct any audit findings. If the audit finding is not

corrected in the timeline agreed upon by the CAA and Hawaii OCS, or by the next audit report, whichever comes first, the CAA will be placed on a Technical Assistance Plan (TAP). The TAP will include the planned corrective activities, inclusive of training and technical assistance, the progress over time, responsible parties, and timeframe for completion. The TAP must be submitted by the CAA to Hawaii OCS within 60 calendar days of written notification that it is required. Hawaii OCS shall respond within 30 calendar days of the receipt of the TAP and indicate whether the TAP is approved for action or will not meet the deficiency. Hawaii OCS and the CAA will work collaboratively on the TAP to ensure appropriate training and technical assistance is provided, and the deficiency is corrected.

**10.13. Assurance on Federal Investigations:**

The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act.  Yes  No

*Note: This response will link with the corresponding assurance, Item 14.7.*

**10.13a. Federal Investigations Policies:** Are state procedures for permitting and cooperating with federal investigations included in the state monitoring policies attached under 10.2?  Yes  No

**10.13b. Closing Findings Procedures:** If no, describe state procedures for permitting and cooperating with federal investigations.

**10.14. Monitoring Procedures Performance Management Adjustment:**

Describe any adjustments the state made to 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 the state is not making any adjustments, provide further detail.

*Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.*

Hawaii OCS has not made any adjustments to monitoring procedures compared to past plans. Hawaii OCS continues to request that CAAs fiscal and programmatic documents at least 10 days prior to the on-site monitoring date to ensure efficiency when conducting the on-site monitoring visit. Hawaii OCS also continues to utilize NCAPs Organizational Standards assessment tool along with the CSBG monitoring tool.

## Section 11: Eligible Entity Tripartite Board

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Administration for Children and Families  
Community Services Block Grant (CSBG)

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### SECTION 11 Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act/*Check all that applies and narrative where applicable*

- Attend Board meetings
- Organizational Standards Assessment
- Monitoring
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other

11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., *[Select one and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- As it Occurs
- Other      Annually and as changes to board composition occurs

11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act

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

Hawaii OCS reviews each CAA's bylaws or other governing document to ensure that any low-income individual, community organization, or religious organization that considers itself to be inadequately represented has a process by which to petition the board.

11.4. Tripartite Board Alternative Representation: 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 participating 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. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

## Section 12: Individual and Community Eligibility Requirements

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### SECTION 12 Individual and Community Income Eligibility Requirements

#### 12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

*[Check one item below.]*

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

0% **% [Response Option: numeric field]**

#### 12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Hawaii OCS follows the DHHS Poverty Guidelines for Hawaii. The CAAs develop individual systems for qualifications within the 125% guideline that are appropriate for the target population for the particular service provided. However, Hawaii OCS shall comply with any changes in income eligibility as mandated by DHHS and federal law. If Congress and DHHS approve the use of a higher percentage of poverty than the 125% guideline, then Hawaii OCS shall select the highest percentage of poverty permissible as a criterion of eligibility. Per the current CSBG Continuing Resolution, Hawaii OCS is following the 200% of the federal poverty guideline for income eligibility. Since there is no definition of the term "income" in the HHS poverty guidelines and the CSBG Act, Hawaii OCS leaves it up to each CAA to determine which documents will be collected to determine client income eligibility. CAAs may determine which documents are collected to determine eligibility and the timeframe in which eligibility and the timeframe in which eligibility can be determined (i.e., a client met the 125% FPL for the past 3 months). The CAAs follow the federal guidelines specific to each federal program that follow the same income eligibility guidelines as CSBG when determining income eligibility documentation, timelines for new eligibility determination, and treatment of income for households.

#### 12.2. Income Eligibility for General/Short-Term Services:

Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

Hawaii OCS ensures that each CAA verifies income for these services with limited intake upon on-site monitoring visits. Hawaii OCS also allows CAAs to utilize automatic income eligibility if a client already receives assistance from a program with the same income eligibility level as CSBG (200% FPL). To confirm automatic income eligibility, the CAA is required to include documentation that the client is receiving assistance upon application and intake for CSBG related services. If an individual has no income, then a self-attestation is required. However, some federal program funding sources require that the self-attestation of no income be notarized.

#### 12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

Much of the work that the CAAs do is focused on geographic locations with a disparate amount of low-income families. Hawaii OCS reviews program and expenditure reports together to ensure that the CAAs continue to target and benefit low-income communities.

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

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### SECTION 13 Results Oriented Management and Accountability (ROMA) System

#### 13.1. Performance Measurement System:

Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

*Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.*

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

**13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.

Hawaii OCS's CSBG policies and procedures manual describes ROMA as the data collection method that CAAs use and the strategy used to report progress in achieving national performance indicators.

**13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

**13.2. Outcome Measures:** 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.

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

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

The CAAs shall submit quarterly program progress reports to Hawaii OCS within 30 days of the end of each quarter. The program progress reports shall consist of outcomes reflective of the NPIs included in the Attachment 5 Scope of Work of the CAAs contract. Hawaii OCS shall report the outcomes in the CSBG Annual Report noted above. During the submission of the Annual Report, Hawaii OCS may request further information from the CAAs as needed. To the extent possible, Hawaii OCS will ensure that the Attachment 5, Program Report, and Annual Report align.

**13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.

*Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State 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.*

Rather than working with the CAAs to get one person per agency certified as a ROMA Trainer or Implementer, Hawaii OCS will continue to provide ROMA training for the CAAs. Hawaii OCS will also assist in providing resources for the CAAs to work with a certified ROMA professional to review their processes. Due to high staff turnover rates, it has been difficult to request that one staff from each agency be certified as a ROMA Trainer or Implementer. However, Hawaii OCS and HCAPDA will work with PJ Davis or other certified ROMA professionals when developing their respective CNA.

#### 13.4. Eligible Entity Use of Data:

Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?

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

Hawaii OCS validates that the CAAs are using data to improve service delivery through review of the Annual Report data, program progress reports, and regular communication with the CAAs.

#### Community Action Plans and Needs Assessments

**13.5. Community Action Plan:** 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.

*Note: this response will link to the corresponding assurance, Item 14.11.*

The CAAs provide Hawaii OCS with a copy of their respective Community Action Plan prior to finalizing CSBG contracts at the beginning of each Federal Fiscal Year. If a CAA makes any changes or updates, Hawaii OCS is notified prior to the end of the Federal Fiscal Year and a supplemental contract is executed to integrate changes to the eligible entity's Community Action Plan.

#### 13.6. Community Needs Assessment:

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.

*Note: this response will link to the corresponding assurance, Item 14.11.*

The CAAs provide Hawaii OCS with a copy of their respective Community Needs Assessment upon completion and approval by the CAAs board of

directors. If a CAA makes any changes or updates, Hawaii OCS is notified by the end of the Federal Fiscal Year.

## Section 14: CSBG Programmatic Assurances and Information Narrative

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### SECTION 14 CSBG Programmatic Assurance 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 farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
  - (ii) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -
    - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
    - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Hawaii OCS can assure that CSBG funds will be utilized for the items listed above through review of quarterly program reports, CSBG Annual Reports, payment requests, and open communication with the CAAs regarding their various programs.

##### 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 can assure that CSBG funds will be utilized for the items listed above through review of quarterly program reports, CSBG Annual Reports, payment requests, and open communication with the eligible entities regarding their various programs.

##### 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)

Through regular monthly HCAPDA meetings, CAPs, and CNAs, Hawaii OCS assures that CSBG funds are being used to make more effective use of, and to coordinate with, other programs related to the purposes of youth.

##### 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**

## **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..."

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;"

Each CAA describes their respective service delivery system in the Community Action Plan and the CSBG contract. Hawaii OCS reviews Community Action Plans and monitors compliance with the CSBG contract to ensure that outcomes align with the CSBG goals.

## **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.**

The CAAs currently provide referral services that are reflected in their program progress reports. The CAAs continue to maintain partnerships with various state organizations, such as the Temporary Assistance for Needy Families (TANF) office, State education department, Head Start state office, and the State housing office to name a few, to ensure that comprehensive services are provided and accessible to CSBG clients. The CAAs also participate in various coalitions and work groups with other local organizations that meet regularly to share program updates, information on services already available, and any gaps in services within the community.

## **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.**

The CAAs submit a Community Action Plan to Hawaii OCS annually that is included in each CAAs CSBG contract. The CAAs also submit quarterly program progress reports demonstrating their progress in meeting the goals and targets established in their respective current CSBG contract. During monthly HCAPDA meetings, each CAA describes program updates and describes how the CAA is coordinating CSBG funds with other public and private resources.

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

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

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

CAAs utilize the funds to support innovative community and neighborhood-based initiatives with the goal of strengthening families and encouraging parenting is through the Theory of Change. The CAAs programs work with the whole family to encourage responsible parenting and promote self-sufficiency to break the cycle of poverty.

## **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."

Hawaii OCS assures that CSBG funds will provide emergency food and nutrition services through review of quarterly program reports, CSBG Annual Report, payment requests, and open communication with the CAAs regarding their various programs.

## **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.*

### **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." Yes

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

### **Funding Reduction or Termination**

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

*Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.*

### **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.*

Hawaii OCS reviews each CAA's bylaws or other governing document to ensure that any low-income individual, community organization, or religious organization that considers itself to be inadequately represented has a process by which to petition the board.

### **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 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."

*Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.*

### **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 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.*



By checking this box, the state CSBG authorized official is certifying the assurances set out above.

## Section 15: Federal Certifications

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

Form Approved  
OMB No:0970-0382  
Expires:08/31/2027

### SECTION 15 Federal Certifications

#### 15.1. CERTIFICATION REGARDING LOBBYING

##### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

##### Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

## 15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place.

Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant

and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### **Certification Regarding Drug-Free Workplace Requirements**

##### **Alternate I. (Grantees Other Than Individuals)**

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

Place of Performance (Street address, city, county, state, zip code)

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

## Alternate II. (Grantees Who Are Individuals)

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

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

### 15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

### 15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

#### Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

##### Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly

enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the

statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

***Instructions for Certification***

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from

participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

**15.3. Debarment**

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

**15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through state or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

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

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

**THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)**

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.