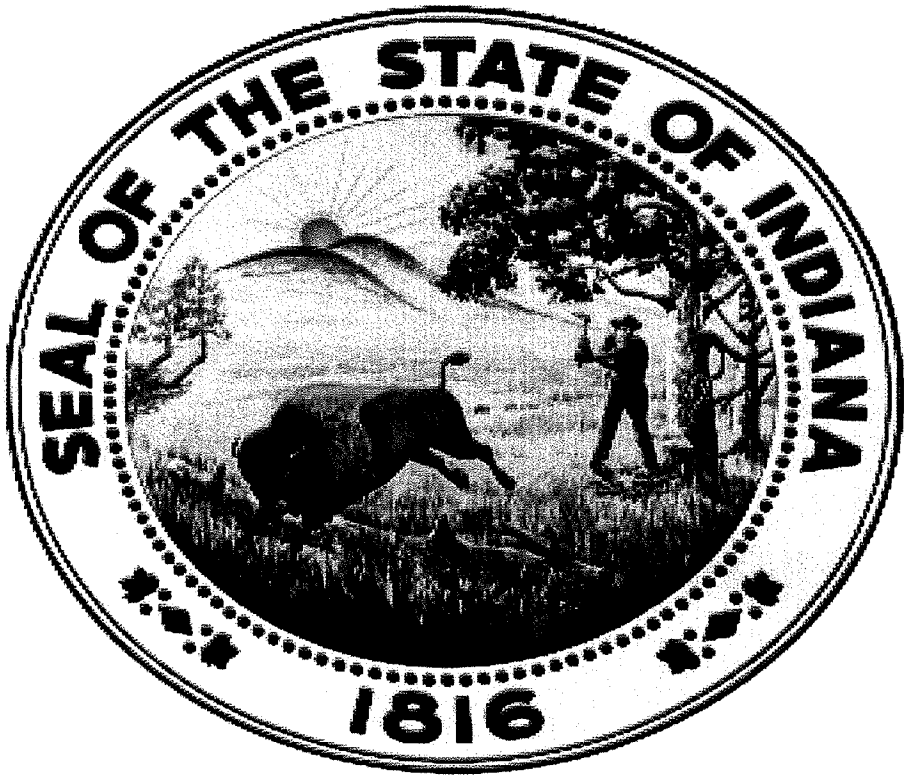
COMMUNITY SERVICES BLOCK GRANT



STATE PLAN
FISCAL YEARS 2006 & 2007

STATE OF INDIANA

OFFICE OF LT. GOVERNOR REBECCA S. SKILLMAN

GRANT SERVICES

COMMUNITY SERVICES BLOCK GRANT STATE PLAN FISCAL YEARS 2006 & 2007

GRANTEE ADDRESS:

Julia Cunningham Holloway, Director
Grant Services
Office of Lt. Governor Rebecca S. Skillman
One North Capitol, Suite 600
Indianapolis, Indiana 46204
Phone: (317) 232-0604
Email: jholloway@lg.in.gov

CONTACT PERSON:

Elizabeth A. Surgener, CSBG & Special Projects Manager
Grant Services
Office of Lt. Governor Rebecca S. Skillman
One North Capitol, Suite 600
Indianapolis, Indiana 46204
Phone: (317) 232-7305
Email: esurgener@lg.in.gov

FEDERAL EMPLOYER ID # 35-6000158

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EXECUTIVE SUMMARY

A. CSBG STATE LEGISLATION

The Indiana Statute (IC 12-14-23-1), revised 2001, defines community action agencies and community action programs, including the components of the program (range of services). It also has tripartite board requirements, a requirement to consult neighborhood based organizations to assist in planning, conducting, and evaluating the program. The 2001 update changed the protocol for selecting new agencies and added the faith-based organization language as included in the CSBG Reauthorization Act of 1998. (See Appendix A. for Statutory Authority and Designation of Lead Agency.)

B. DESIGNATION OF LEAD AGENCY

In the 2006 Legislative Session, the General Assembly of the State of Indiana enacted HB1261 designating the Lt. Governor's Office as the Lead Agency for several social services, including the Community Service Block Grant Program. Specifically, under the Lt. Governor's Office, Grant Services administers this program. This designation was authorized by the Governor in June of 2006. A copy of this letter may be found in Appendix - B.

Designated State Lead Agency:
The Office of Lt. Governor Rebecca S. Skillman

Agency Contact:
Julia Cunningham Holloway

C. PUBLIC HEARING REQUIREMENTS

1. **Public Hearing**: The Public Hearing was held on July 31, 2006. A Public Hearing Notice was distributed on a statewide basis through a newspaper. (Hearing Notice and distribution list attached - Appendix C.) All eligible entities were notified directly through Exact Target E-mail dated July 21, 2006.

2. **Legislative Hearing**: A legislative hearing was last completed in 2003 for the previous two-year CSBG State Plan. A copy of hearing comments from the Budget Committee has been provided in Appendix – D.

   The current hearing was held on Friday, August 12, 2005.

3. **Public Inspection of State Plan**: As noted in the Public Hearing Notice, an overview of the Plan was provided to the public at the hearing on July 31, 2006, and the final CSBG State Plan will be distributed after the public comment period has closed on August 14, 2006. A copy of the state plan was also placed on the Lt. Governor's website for additional public review and participation. An address and phone number were provided for obtaining information or copies. As noted above, a copy of the overview was made available to each community action agency. Twenty copies of the completed CSBG State Plan are also presented to the State Library, and will be made available for public view.

STATEMENT OF FEDERAL AND CSBG ASSURANCES

As a part of the annual or biannual application required by subsection 676 of the Community Services Block Grant Act (The Act), as amended, (42 U.S.C. 9901 et seq.), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act--

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

(a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S. C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:

(i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of Title IV of the Social Security Act);

(ii) secure and retain meaningful employment;

(iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;

(iv) make better use of available income;

(v) obtain and maintain adequate housing and a suitable living environment;

(vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs, and;

(vii) 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 document best practices based on methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as 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 after-school child care programs; and

(c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [676(b) (1)]

(2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program. [676(b) (2)]

(3) To provide information provided by eligible entities in the State, including:

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

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

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

(d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the Community Services Block Grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [676(b) (3)]

(4) To ensure 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. [676(b) (4)]

(5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. [676(b)(5)]

(6) To ensure coordination between anti-poverty programs in each community in the State, and ensure, where appropriate, that emergency crisis intervention programs under Title XXVI (relating to low-income home energy assistance) are conducted in such communities. [676(b) (6)]

(7) To permit and cooperate with Federal investigations undertaken in accordance with Section 678D of the Act. [676(b) (7)]

(8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant program 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) of the Act. [676(b) (8)]

(9) 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. [676(b) (9)]

(10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, 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. [676(b) (10)]

(11) To secure from each eligible entity in the State, as a condition to receipt of funding, 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. [676(b) (11)]

(12) 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, performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. [676(b) (12)]

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

B. Administrative Assurances

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

(1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. [675A (b)]

(2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the Community Services Block Grant program and to make such funds available to eligible entities for obligation during the fiscal year and succeeding fiscal year, subject to the provisions regarding recapture and redistribution of un-obligated funds outlined below. [675(a) (1) and (2)]

(3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a) (1) when un-obligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private nonprofit organization located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. [675C (a) (3)]

(4) To spend no more than $55,000 or 5 percent of its grant received under section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. [675C (b) (2)]

(5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to

qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [675(c)]

(6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or 675B for the period covered by the State plan. [676(a) (2)(B)]

(7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State Community Services Block Grant Program activities. [676(a) (1)]

(8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. [676(a) (3)]

(9) To make available for public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [676(e) (2)]

(10) To conduct the following review of eligible entities:

(a) full onsite review of each such entity at least once during each three-year period;

(b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant Program;

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State, or local grants (other than assistance provided under the Community Services Block Grant Program) terminated for cause. [678B (a)]

(11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the Community Services Block Grant Program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

(a) inform the entity of the deficiency to be corrected;

(b) require the entity to correct the deficiency;

(c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate:

(d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;

(e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [678(C) (a)]

(12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D (a) (2) of the Act.

(13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled to under the Community Services Block Grant program. [678D (a) (3)]

(14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. [678E (a) (1)]

(15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a) (2) of the Act.

(16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.

(17) To ensure that programs assisted by Community Services Block Grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [678F (b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with Community Services Block Grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678F (c)]

(19) Section 679, Operational Rule

(a) Religious Organizations included as Nongovernmental Providers.--For any program carried out by the Federal Government, or by a State or local government under this subtitle, the government shall consider, on the same basis as other non-governmental organizations to provide the assistance under the program, so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution. Neither the Federal Government nor the State or local government receiving funds under this subtitle shall discriminate against an organization that provides assistance under, or applies to provide assistance under, this subtitle, on the basis that the organization has a religious character.

(b) Religious Character and Independence.

(1) In General.--A religious organization that provides assistance under a program described in subsection (a) shall retain its religious character and control over the definition, development, practice, and expression of its

religious beliefs.

(2) Additional Safeguards.--Neither the Federal Government nor a State or local government shall require a religious organization--

(A) To alter its form of internal governance, except for purposes of administration of the Community Services Block Grant program as provided in section 676; or

(B) to remove religious art, icons, scripture or other symbols: in order to provide assistance under a program described in subsection (a).

(c) Limitation on Use of Funds for Certain Purposes.--

No funds provided directly to a religious organization to provide assistance under any program described in subsection (a) shall be expended for sectarian worship, instruction, or proselytization.

(d) Fiscal Accountability.--

(1) In General.--Except as provided in paragraph (2), any religious organization providing assistance under any program described in subsection (a) shall be subject to the same regulations as other nongovernmental organizations to account in accord with generally accepted accounting principles for the use of such funds provided under such program.

(2) Limited Audit.--Such organization shall segregate government funds provided under such program into a separate account. Only the government funds shall be subject to audit by the government.

(e) Treatment of Eligible Entities and Other Intermediate Organizations.--If an eligible entity or other organization (referred to in this subsection as an 'intermediate organization'), acting under a contract, or grant or other agreement, with the Federal Government or a State or local government, is given the authority under the contract or agreement to select nongovernmental organizations to provide assistance under the programs described in subsection (a), the intermediate organization shall have the same duties under this section as the government."

C. Other Administrative Certifications

The State also certifies the following:

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of Community Services Block Grant program funds.

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

Signature

8-28-06
Date

Rebecca S. Skillman, Lt. Governor, State of Indiana

NARRATIVE STATE PLAN

A. Administrative Structure

1. State Administrative Agency:

a. The office of Lieutenant Governor is created by Article 5, Sec. 2 of the Indiana Constitution. The term of office is four years, the same as that of the Governor. Candidates for Lieutenant Governor are nominated at an annual party convention. The party's nominees for Governor and Lieutenant Governor then run as a team, ensuring that those elected will be of the same political party and governing philosophy.

Under the Indiana Constitution, the Lieutenant Governor is charged with presiding over the Senate during its session as well as casting deciding votes in the event of a tie. In addition, the Lieutenant Governor is charged with assuming the role of Governor if the sitting Governor becomes unable to fulfill the duties of office or if the office falls vacant due to death.

b. With the creation of the Indiana Economic Development Corporation in 2005, other responsibilities of the Lieutenant Governor have been recently reconfigured to include:

- Executive Office
- Business Office – Grant Services
- Agriculture
- Housing and Community Development Authority
- Tourism Development
- Energy and Defense Development
- Community and Rural Affairs
- Counter Terrorism and Security Council

2. Eligible Entities

Below are listed the eligible entities, acronym, and geographic area (counties) served. All 92 of Indiana's counties are served by eligible entities.

Action, Inc. of Delaware and Grant Counties (ACTION)
Delaware and Grant Counties

Area IV Agency on Aging & Community Action Programs, Inc. (Area IV)
Carroll, Clinton, Tippecanoe and White Counties

Area V Agency on Aging & Community Services, Inc. (Area V)
Cass, Howard, Miami, Tipton and Wabash Counties

Community Action of Greater Indianapolis, Inc. (CAGI)
Boone, Hamilton, Hendricks and Marion Counties

Community Action of East Central Indiana, Inc. (CAECI)
Fayette, Union and Wayne Counties

Community Action of Northeast Indiana, Inc. (CANI)
Allen, LaGrange, Noble, Whitley, Steuben and DeKalb Counties

Community Action of Southern Indiana (CASI)
Clark, Floyd and Harrison Counties

Community Action Program, Inc. of Western Indiana (COWI)
Benton, Fountain, Montgomery, Parke, Vermillion and Warren Counties

Community Action Program of Evansville and Vanderburgh County, Inc. (CAPE)
Gibson, Posey and Vanderburgh Counties

Community and Family Services, Inc. (C&FS)
Adams, Blackford, Huntington, Jay, Randolph and Wells Counties

Hoosier Uplands Economic Development Corp. (HUEDC)
Lawrence, Martin, Orange and Washington Counties

Human Services, Inc. (HSI)
Bartholomew, Decatur, Jackson, Johnson and Shelby Counties

Interlocal Community Action Program, Inc. (ICAP)
Hancock, Henry and Rush Counties

The Board of Madison County Commissioners - Job Source (JS)
Madison County

Lincoln Hills Development Corp. (LHDC)

Crawford, Perry and Spencer Counties

North Central Community Action Agencies, Inc. (NCCAA)
LaPorte, Pulaski and Starke Counties

Northwestern Indiana Community Action (NWICA)
Jasper, Lake, Newton and Porter Counties

Ohio Valley Opportunities, Inc. (OVO)
Jefferson, Jennings and Scott Counties

Real Services, Inc. (REAL)
Elkhart, Fulton, Kosciusko, Marshall and St. Joseph Counties

South Central Community Action Program, Inc. (SCCAP)
Brown, Monroe, Morgan and Owen Counties

Southeastern Indiana Economic Opportunity Corp. (SIEOC)
Dearborn, Franklin, Ohio, Ripley and Switzerland Counties

Dubois-Pike-Warrick Economic Opportunity Committee, Inc. (Tri-CAP)
Dubois, Pike and Warrick Counties

Wabash Valley Human Services, Inc. (WVHS)
Daviess, Greene, Knox and Sullivan Counties

Western Indiana Community Action Agency, Inc. (WICAA)
Clay, Putnam and Vigo Counties

3. Distribution and Allocation of Funds

The FFY 2007 Community Services Block Grant funds will be allocated as follows:

Eligible Entities	90%	$8,220,936
State Administration	5%	456,718
CSBG-Discretionary Funds	5%	456,718
Total CSBG Grant	100%	$9,134,372

States are required to allocate 90 percent of the federal CSBG funds to local Community Action Agencies. No more than five percent of the federal funds may be used by the States to administer the grant, and another five percent may be used to support state discretionary programs.

B. Description of Criteria and Distribution Formula

Funding to the eligible entities is allocated with a base plus formula, based on the population of the service area and the poverty population (i.e. individuals at or below 125% of the OMB Poverty Guidelines). The base allocation will be equal to $50,000 per agency plus an additional $15,000 for each county served. The percentage of low income individuals will be based on the 2000 census.

Unexpended allocations to eligible entities at the end of the program year are carried over by the same agencies for use in the following year. Unless carry-over funding exceeds the amount that can/will be expended in the succeeding year, the funding is not recaptured and reallocated. To date, this has never been necessary.

C. Distribution and Use of Restricted Funds

Eligible entities are required to submit an annual plan, describing their intended use of funds, and indicating in which of the CSBG service categories funds will be expended. An annual report is then submitted to verify program expenditures and results.

The distribution of funds to the eligible entities for 2006 and the anticipated distribution of funds for 2007 is included in Appendix E.2. Funding amounts are based on the current award and are subject to adjustment if funding is increased or decreased. Carry-over amounts from 2005 are included in the amounts listed for 2006. It is not anticipated that any recapture/redistribution of carry-over funds will be necessary.

D. Distribution and Use of Discretionary Funds

Discretionary funding is used for two major purposes: Training and Technical Assistance (T&TA), and to support innovative community and neighborhood-based initiatives.

For 2006, an estimated amount of 3.0% (273,000) of the total funding will be used for T&TA. This will include the training and certification of Family Development Specialists for self-sufficiency/case management programs.

In their annual plan, agencies are asked to submit suggestions for training. The most requested training is in ROMA, Family Development, general administrative and supervisory skills. Additional training requested includes conflict resolution, computer software, and board training.

Additionally, in for 2006, approximately 1.5% (143,000) will be used to help ten Shelter Plus Care agencies cover their administrative expenses. This is through a monthly fee paid to the agencies of $40 per voucher per month.

As part of this program IHCDA will be training agencies on housing quality standards, as well as assist them in locating suitable housing units.

The balance of the CSBG-D funding for 2006 will be added to carry-over Discretionary funding and used for innovative community and neighborhood-based initiatives, and other client-oriented services. Applications may be submitted by non-profit agencies, including eligible entities and faith-based organizations. These applications are reviewed and a determination made regarding eligibility for CSBG funding and value of the project to the community. In addition, the Sate of Indiana implemented a "Best Practices" program in 2004 which awards agencies for providing high-quality, innovative programs. The Best Practices Program will be provided through the Indiana Community Action Association's Indiana Training Institute, and an independent source will be used to judge the agencies participating in the process.

For 2007, it is anticipated Requests for Proposals (RFP) will be solicited for Training and Technical Assistance and activities that are consistent with previous years. Additionally, it is anticipated that a portion of the CSBG-D funding will again be allocated to the Shelter Plus Care Agencies. The remainder of the CSBG-D funding will be released through an RFP to agencies for innovative community and neighborhood-based initiatives. Specific proposals have not been solicited at this time.

See CSBG-D Budget for 2006 and 2007 in Appendix E.4.

E. Use of Administrative Funds

A total of 5% of the funding available is set aside for administrative expenses. These expenses include CSBG-related program administration, personnel, supplies, equipment, and travel expenses. Any un-obligated funds remaining at the end of the fiscal year will either remain in State Administration for use in the following year, or will be added to the CSBG-Discretionary carryover funding. At this time, there are no plans to use CSBG funds for a State Charity Tax Credit Program. See Planned Administrative Budget for 2006/2007 in Appendix E.5.

F. State Community Services Program Implementation

1. Program Overview:

a. The Service Delivery System

Service to low-income individuals and families is provided through the 24 community action agencies as listed previously under Eligible Entities and as described in Appendix J. These

24 agencies cover from one to seven counties each, and maintain outreach offices in each county, during all, or part, of the year. All 92 counties in the state are served by the 24 agencies.

b. Linkages

While each agency is responsible for developing its own linkage programs, in accordance with the needs of the local communities, there are some general trends in such services. Many agencies have their own transportation program or work with other agencies in the local community to provide transportation services to those in need. Child care is a major priority in the state, and agencies are participating in state and federal programs to provide child care, or make referrals to appropriate child care programs within their area. Some of the local community action agencies are dual agencies, also serving as the local Area Agency on Aging. Serving as the local Area Agency on Aging, or working with the local Area on Aging helps to keep the elderly aware and involved in appropriate agency programs.

Self-sufficiency/case management programs have been a priority of the Housing and Community Services Section. All agencies are encouraged to include this as a material part of their service. To this end, the Family Development Plan, using a ROMA matrix approach to case management, has been developed. All agencies are providing case management services of some type, and many are using the above-mentioned plan.

c. Coordination with Other Public and Private Resources

Agencies provide a list of public and private partners in constituent services in their grantee packets, and report on funding received from these entities in their annual reports.

Through the use of referral services in the case management programs, and sharing of information with various local providers and funders, agencies have been able to coordinate services and resources.

Additionally, the public and private sector representatives on the CAA Boards help to achieve these partnerships. The local area partners include, but are not limited to Area Agency on

Aging, Workforce Development offices, schools, community centers, local emergency services, homeless shelters, medical services, law enforcement programs, food banks, pantries, and soup kitchens. Further, the community action agencies are the primary providers of Weatherization, Energy Assistance, Section 8 Housing, and other low-income programs, so that services for these programs can easily be coordinated within each agency. A combination of food banks and community action agencies are used as distribution points for The Emergency Food Assistance Program (TEFAP). The TEFAP Program is also housed in the Lt. Governor's Office.

d. Innovative Community and Neighborhood-based Initiatives

Many local agency programs already address community and neighborhood-based concerns. The use of community needs assessments helps to determine where needs are greatest, and identify services that would be beneficial to the communities. As noted previously, it is our intention to provide CSBG-D funding for agencies for start-up or expansion of such projects, consistent with those described under Program Assurances, Part (a)(vii).

A list of programs currently being provided is included in Appendix F. Program Categories and Programs.

2. Community Needs Assessment:

Each CSBG eligible entity is required to submit a Community Needs Assessment at least once every three years. These assessments are developed and implemented by each individual agency and then are submitted to Indiana Housing and Community Development Authority (IHCDA) no later than May 31 of the following year and are a part of a contractual arrangement with the Lt. Governor's Office and IHCDA. These assessments are kept on file by IHCDA and are available for submission the Secretary upon request. The most recent needs assessments on file were completed in 2005 and were submitted to FSSA's HCSS in 2006. These documents have since been transferred to IHCDA's files.

In 2006, the Indiana Community Action Association (INCAA) completed a cumulative community needs assessment that is to be utilized by all Community Action Agencies to provide more consistent and cumulative information to the state and other interested parties. This assessment is on file with the State and is available for

submission to the Secretary, if requested.

Research for the needs assessment was conducted in two parts, the first portion was completed by conducting background research using data that was available from federal, state, and local resources. Secondly, a survey was given directly to clients who use the services provided by the CAAs and was administered to a random sampling of the 180,705 households and 424,730 individuals served by Indiana Community Action Agencies in 2004. In total, 12,273 surveys were returned. The findings and conclusions are being utilized by the INCAA board, the Lt. Governor's staff, IHCDA staff, local agency personnel, and other stakeholders that want to better understand the needs of low-income Hoosiers, especially the needs of families with the lowest household incomes.

After all the data was collected from the data resources and surveys, each of the 24 CAAs received their own individual report with a county by county breakdown of the issues identified by client surveys as needs in the community. Additional exploration of the identified issues was conducted through strategic planning trainings based on survey findings. A summary of key findings of the state-wide needs assessment were:

- Increase the number of hours worked each week by low-income households. Nearly half (43%) of all household heads that CAAs serve are working. Yet of these, over half (61.7%) worked less than 36 hours per week.

- Education is key to moving families out of poverty. Among individuals that CAAs surveyed, earning a Bachelor's Degree increases income potential nearly 40%. In Indiana 19.4% of individuals 25 and older had at least a Bachelor's Degree in 2000, which was lower than the national average (24.4%) and 43rd in the nation.

- A leading indicator of poverty is single parent female households, particularly with children under age 5. The percentage of this family type is growing substantially in Indiana, increasing 23.3% from 1990 to 2000. Almost half of all single mother families with children under 5 live in poverty, a far higher percentage than other family types. This is particularly important to note because the percentage of this type of family is growing, putting increased pressure on poverty numbers.

3. Tripartite Boards:

The tripartite requirement is included in Indiana's CSBG regulations. In their proposals, eligible entities are required to submit lists of their board members, along with the sector each represents. This ensures adherence to the requirement, prior to execution of the CSBG sub-agreement. Board vacancies that occur must be filled within 90 days.

Twenty-three of the eligible entities are private non-profit community action agencies. All 23 private non-profits were already in compliance with the tripartite board requirements. The only public organization receiving funds under this subtitle is the Board of Madison County Commissioners (Jobsource). They have a separate Community Action Program Council which serves as the board of directors. Jobsource bylaws regarding the Tripartite Board requirement have been submitted and are on file.

4. State Charity Tax Program

The state has not yet implemented a state charity tax program, and is not expected to do so.

G. Programmatic Assurances

1. Assurance '676(b)(1)

In general, CSBG funds are made available to eligible entities to support the all of the program categories listed. Through our Family Development Plan (ROMA scale), which covers 12 life-areas of services, all of the areas are addressed. This document also provides feed-back on how individuals and families have succeeded in achieving their objectives.

Our Comprehensive Agency Review includes a review of programs provided under each category of service reported. A list of some programs provided through each category is found in Appendix F. Specifically, funds made available through the grant or allotment will be used as follows:

a. To support activities that are designed to assist low-income families and individuals in:

(i) **Self-sufficiency** is addressed through self-sufficiency/case management services provided by the agencies. In addition to general case management, there are several specific programs provided. Programs

such as the Energy Assistance Program (EAP)

Outreach Education Assistance and Section 8 Self-Sufficiency are provided through the eligible entities, and use the Family Development Plan in providing self-sufficiency assistance. The Plan is mandatory in EAP Outreach. Although the Plan is not mandatory in Section 8 Self-Sufficiency, agencies do receive a higher rate of payment when it is used.

(ii) **Employment** programs have always been an important part of the services provided by eligible entities. With CSBG being a mandatory participant in the Workforce Investment Act, that relationship has been reinforced. Many of the eligible entities have job programs, employment counseling services, micro-enterprise programs, and referral agencies with which they work. Some of the agencies are also Workforce Development sites.

(iii) **Education** projects and referrals are a priority of many agencies. Projects include Head Start programs, adult and childhood literacy, programs to help low-income adults pass the GED or get into training programs.

(iv) **Better use of available income** or income maintenance is provided through a variety of services. Projects include budget counseling, savings programs (such as Individual Development Accounts), case management programs, and projects to help families reduce utility expenses (such as Weatherization).

(v) **Housing Programs** available to low-income individuals and families include Section 8 Housing, Transitional housing, rental projects, and owner occupied rehab. Housing counseling is also provided, along with assistance in obtaining low cost loans to purchase or repair housing.

(vi) **Emergency Assistance** through loans, grants, and assistance programs (including energy assistance) is provided by the agencies. Additionally, many agencies also have or help support homeless shelters, domestic violence shelters, soup kitchens and food pantries.

(vii) **Participation in the affairs of the communities** has always been a priority of the agencies. Partnerships

with housing authorities, schools, medical facilities and law enforcement to provide needed services are common practice.

b. Youth in Low-Income Communities

Several agencies are already working with youth programs, including those to prevent or reduce crime, provide youth mentoring, life skills training, job creation, entrepreneurship programs, after-school child care, and Kids Café food services.

c. Coordination with Other Programs

CSBG funding enables the eligible entities to operate a variety of programs and provides core administrative funding, including, but not limited to:

- Low-Income Energy Assistance Programs (LIHEAP)
- Weatherization (LIHEAP & DOE)
- The Emergency Food Assistance Programs (TEFAP)
- Soup Kitchen/Food Pantry Programs
- Section 8 Housing (including Section 8 Self-sufficiency, Homeownership, Family Unification, and the Mainstream Program for Disabled Individuals and Families)
- Homeless Shelters
- Domestic Violence and Sexual Assault Services
- Head Start and Early Head Start

We have been able to encourage the use of our Family Development Plan (ROMA scale) in a variety of case management programs. This scale includes 12 life areas that include energy use, nutrition, housing, employment, income, domestic violence, substance abuse, child and adult education and support services, among others.

Therefore, it not only can be used in a variety of programs, but also brings all of the programs into consideration when agencies work with low income clients moving toward self sufficiency.

Other programs offered by the Lieutenant Governor's Agencies include:

- Community Development Block Grants (CDBG)
- Rural Development Administration Fund (RDAF)
- Rural Development Council Fund (RDCF)
- Community Food and Nutrition Program (CFNP)
- The Emergency Food Assistance Program (TEFAP)
- State Energy Program (SEP)
- Alternative Power and Energy (AP&E)
- Biofuels Grant Program
- Alternative Fuel Vehicle Grant Program
- Public Facility Improvement Grant (PFI)
- Individual Development Accounts (IDA)
- Emergency Shelter Grants (ESG)
- Housing Opportunities for Persons With HIV/AIDS (HOPWA)
- Shelter Plus Care
- HOME Investment Partnerships Program (HOME)
- Affordable Housing and Community Development Fund (Development Fund)
- Rental Housing Tax Credit Program (RHTC)
- Multi-Family Private Activity Bond Volume Program
- Single-Family Revenue Bonds – First Home & First Home Plus
- Mortgage Credit Certificates (MCC)
- Neighborhood Assistance Program (NAP)
- Improving Neighborhoods Through Revitalization Program (INTR)

2. **Assurance '676(b)(4):**

The State provides, 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 hunger and malnutrition among low-income individuals through the TEFAP Program. The State contracts with Emergency Feeding Organizations (EFOs) to provide food to the local food pantries and soup kitchens for distribution to those in need. Both community action agencies and food banks serve as EFOs.

3. **Assurance '676(b)(5):**

The requirements of the Workforce Investment Act of 1998 are being met through the Workforce Investment Plan. All of the mandatory parties were involved in meetings to set up the plan for participation. Local eligible entities sit on the Workforce Investment boards, and have signed Memorandums of Understanding to be one-stop partners, participating in the provision of services to clients. All

participating agencies have provided a list of services that they have available, and those services have been identified as core services or intensive services. Some community action agencies house the Workforce Development sites.

4. **Assurance '676(b)(6)**

IHCDA administers the Low-income Home Energy Assistance Program (LIHEAP) in Indiana. Funding is provided to eligible entities for provision of both the Energy Assistance Program (EAP) and the LIHEAP portion of the Weatherization Program. EAP services include winter assistance and crisis benefits for heating, a summer fill program for bulk fuels, summer cooling, and leveraging. These agencies serve all 92 counties within the state. The eligible entities work closely with utility companies and private vendors to serve those in need of energy assistance.

In addition, numerous community sites (government buildings, private non-profits, utility sites, faith-based organizations, trustees, schools, and others) are used as enrollment sites for EAP. Clients are referred, as appropriate, to other low-income services for other assistance, or for help in meeting co-payment obligations. Many agencies have local or private funding/donations provided to assist those individuals and families who are not eligible for LIHEAP assistance, but demonstrate an energy need.

5. **Assurance '676(b)(9)**

For descriptions on how programs are coordinated and partnerships formed, refer to "State Community Services Program Implementation", Section 1.c. "Coordination with Other Public and Private Resources", and "Program Assurances", Section 3, "Coordination with Other Programs".

The eligible entities work regularly with various religious organizations, charitable groups, and community organizations. In addition to those programs and partnerships between these organizations and the eligible entities, in various programs, we have partnered with local Housing Authorities, Office of Community and Rural Affairs, Office of Faith Based and Community Initiatives, Department of Corrections, Child Protective Services, Trustee organizations, food banks, faith-based organizations, and others.

H. Fiscal Controls, Audits and Withholdings

1. State Program Monitoring

a. A full onsite review of each entity is conducted every 3 years, with 8 of the 24 agencies being reviewed each year. In completing this review, we use a Thorough Evaluation Agency Monitoring (TEAM) form. This review covers administrative, programmatic, and fiscal areas, as well as all outreach office visits. The review also includes interviews with board members, staff, partners, and community leaders. Exit interviews are held with Executive Directors and/or appropriate staff, and review letters are written. The agencies are given 30-45 days to respond. Follow-up is completed as needed.

Topics covered by the TEAM are:

1. Governance – Public Law 105-285. Section 676B and Section 676(b)(10)
   a. Board of Directors – composition, training, effectiveness, knowledge of roles & responsibilities, attendance, and by-laws

2. Planning – Public Law 105-285. Section 676B(a)(1), Section 676B(b)(2), and Section 676(b)(11)
   a. Agency Mission, Vision, Values
   b. Strategic Planning, Evaluation, and Community Assessment

3. Evaluation – Public Law 105-285. Section 678E and Section 676(b)(12)
   a. ROMA Implementation (Board and Staff) on agency-wide basis as a framework for sound management
   b. Agency outcomes and performance measures
   c. Reporting to funders and Board of Directors
   d. Government Performance Results Act (GPRA) implementation

4. Partnerships – Public Law 105-285. Section 676(b)(9)
   a. Coordination/collaboration/linkages with relevant partners
   b. Subgrantees/delegates
5. Administrative Systems and Procedures – Public Law 105-285. Section 678D. Fiscal Controls, Audits and

Withholdings and Section 678F. Limitations on Uses of Funds and Section 678D.

a. HR & Personnel Policies
b. Records Retention
c. Technology implementation and planning
d. Conflict Resolution and grievance procedures
e. CSBG Assurances and Prohibitions
f. Review of pending and past litigation

6. Fiscal Procedures – Public Law 105-285. Section 678D and Section 678F.

   a. Audit and results of previous/other monitoring/ fiscal issues.

      Additionally, agencies are monitored through the information submitted in their annual plan. The ROMA assessment will be used in conjunction with the TEAM and other program reviews to assess the status of the agency's administration and major programs.

   b. For any newly designated entity, TEAM format will be used to complete an onsite review at the end of the entity's first year of service.

   c. Follow-up reviews, including return visits when appropriate, are completed with agencies that fail to meet goals, standards, and requirements. Follow-up reviews are completed whenever deemed necessary. This may be to verify compliance with recommendations made on TEAM reviews, Annual Plan submissions and Agency Matrix determinations.

   d. Other reviews are conducted as appropriate, including reviews of entities with programs that have had other Federal, State or local grants terminated for cause.

   e. Appendix G lists the last completed independent audit and period covered for each eligible entity. In some cases, an audit is currently being completed, or is scheduled for completion later this year. That information is also noted.

2. Corrective Action, Termination, and Reduction of Funding:

The Lt. Governor's office considers program monitoring as a tool to assess the health of the entire agency and has contracted with IHCDA to monitor CSBG Grantees. The State uses a team approach to problem solving considering the best interest of all parties involved. In the event that the State determines that grantee fails to comply with the terms of an agreement or the State Plan, to provide services under CSBG or to meet appropriate standards, goals, and other requirements established by the State Plan (including performance objectives), the State will proceed with the following actions:

1. Inform the subgrantee of the deficiency to be corrected following the monitoring.
    a. Subgrantee will be required to correct the deficiency and develop a Quality Improvement Plan within 30 days.
2. Using the approved Quality Improvement Plan, the State will establish training and technical assistance (T&TA) as appropriate.
3. Subgrantee will have 30 – 45 days to implement the Quality Improvement Plan.
    a. Once the plan is in place the State will provide follow-up visits to the subgrantee to ensure the deficiencies are corrected.
4. If an agency is still not in compliance the State reserves the right to withhold current or future funding until the deficiency is corrected.
5. After providing adequate notice, sufficient time to complete the corrective action, and an opportunity for a hearing, the State may initiate proceedings to:
    a. Reduce the coverage area of the entity;
    b. Reduce the funding to the eligible entity; and/or
    c. Terminate the designation of the entity

The previous items will be done through written notice, monitoring reviews, follow-up documentation, and/or other notices as necessary. If the subgrantee needs more time to complete responses or the Quality Improvement Plan, the agency must request an extension in writing from IHCDA and approval must be obtained from the Lt. Governor's Grant Services Office.

3. Fiscal Controls, Audits, and Withholding:

The Lieutenant Governor's office has fiscal controls and fund accounting procedures necessary to assure the proper disbursal of and accounting for federal funds. The Lieutenant Governor's office is the direct recipient of CSBG funds. These funds are drawn from the Lieutenant Governor's office by IHCDA upon receiving claim vouchers and supporting documentation from eligible agencies.

With oversight by the Lt. Governor's Business Office, IHCDA's Accounting department is responsible for the computerized system of processing and payment of claims to the entities for their costs in the administration of the programs. IHCDA's Community Development department works closely with the Accounting department to verify the information submitted by the subgrantee claim process. The payments are made within the subgrantee's budget totals and contracted allocations.

Subgrantees are required to submit program budgets, which project the amounts to be expended for administrative and program activities under Programmatic Assurances (3) above. These budgets are based on allocations of funds to the entities, and contracts are issued in the amount of the funding allocations. IHCDA uses a board of directors to approve all contracts and grant agreements. After contracts have been executed, IHCDA will pay claims based on the eligible activities outlined in the subgrantee's budget.

The Lieutenant Governor's office ensures that the cost and accounting standards of the Office of Management and Budget apply to IHCDA and the subgrantees that receive CSBG funding. The State Board of Accounts conducts annual audits on the Lieutenant Governor's office. IHCDA uses an independent auditor who completes a program audit as well as a financial statement audit. Appropriate books, documents, papers, and records are available to the Secretary and the Comptroller General of the United States or any of their duly authorized representatives, for examination, copying, or mechanical reproduction on or off the premises, upon reasonable request for the items.

Each subgrantee must arrange for an independent audit by a certified public accounting firm each year. Agencies select the independent auditor through a bidding process, and submit information to the State for approval. The independent auditors then complete the annual audits, according to the Single Audit Act. Within 30 days after completion of the audit, a copy is submitted to the entity that was subject of the audit, as well as to the legislature of the State, and to

the Secretary. Auditors must be rotated every three (3) years.

Field monitors from IHCDA will be utilized who provide on-site fiscal monitoring for Community Development programs. Approximately eight agencies per year will be monitored by IHCDA. With twenty-four (24) agencies, this allows for an audit once every three years. In addition to regularly scheduled subgrantee visits, the field monitors also concentrate their expertise in specific problem areas as identified by IHCDA's Community Development Administrators. During the field auditor's visit, a monitoring report is discussed and completed. Based on findings by the field monitor, areas for additional technical assistance are identified and addressed in a letter to the agency.

As appropriate, corrective action will also be applied to fiscal deficiencies.

The state will repay to the United States amounts found not to have been expended appropriate for the program, or will submit information to the Secretary for consideration in offsetting the amount against another amount for this program, to which the State is or may become entitled.

4. Other assurances will be carried out as follows:

a. Assurance '676(b)(7):

The State shall permit and cooperate with any federal investigations undertaken, making available any documents, books, papers or other records, as requested.

b. Assurance '676(b)(8)

Any eligible entity that received funding in the previous fiscal year through a CSBG grant under the CSBG program will not have its funding terminated or reduced below its proportional share received in the previous year, unless previously state corrective action steps have been taken, and just cause exists. See the above plan under "Corrective action, termination, and suspension."

c. Assurance '676(b)(10)

Each eligible entity in the state is required 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 of the entity to petition for adequate representation. A copy of the procedure is required to be submitted with the agency's annual Grantee Packet.

I. Accountability and Reporting Requirements

1. Results Oriented Management and Accountability:

The State is participating in the Results Oriented Management and Accountability (ROMA) System. The six National Goals are addressed through the use of the direct, survey, and scales measures developed by the task force. In addition to those measures, agencies are free to develop their own measures that they deem appropriate for measuring performance under any of the six goals. All agencies are required to submit an annual report, including the ROMA data.

A Family Development Scale and Agency Matrix (scale) was developed and has been utilized for approximately six years. The Agency Matrix was rewritten in 2004. Family, agency, and community goals are being addressed as follows:

a. Family

In addition to addressing family goals through the direct and survey questions, the eligible entities utilized a Family Development Matrix. The Family Development Matrix is part of a Family Development Plan, which is being used in a variety of self-sufficiency/case management programs. The matrix looks at 12 life areas.

The matrix is used to identify each client's area of need, and to measure the client's success in working to achieve their goals. Eligible entities receive financial encouragement for using the Family Development Plan in three ways:

(1) Agencies participating in the Section 8 housing program receive a rate of $35/month/household on Section 8 Housing. Incentives for eligible entities to use the Family Development matrix and HUD prescribed case plan forms are currently being explored.

(2) Agencies are allowed to use 3% of their Energy Assistance funds for case management funding, using the Family Development Plan. Agencies receive $25

per hour for the service and success is tracked with the Development Matrix.

(3) In an effort to upgrade the case management training for agency staff, Family Development Specialist training and certification has been offered through the Indiana Community Action Association Training Institute. This training was developed and provided by the University of Iowa. Training in the use of the Family Development Matrix is provided to all newly certified Family Development Specialists.

b. Agency:

Agencies are reporting on the direct and survey questions under Goals 4 and 5. Questions relating to the direct measures under Goal 5 are included in the Annual Plan packet submitted by the eligible entities to IHCDA.

In a joint effort of the Indiana Community Action Association (INCAA) and the State, an Agency Matrix (scale) was developed. The Agency Matrix looks at three administrative areas and four programs at each agency, to measure effectiveness and overall agency health. Information from administrative and program reviews, audits, and other documentation are used to complete the evaluation. After using the Agency Matrix for a short time, it was determined that revisions were needed in both the scale itself and the process in which it was used. Individual program committees reviewed the matrix and submitted their recommendations. The INCAA Program Committee has reviewed and revised the Agency Matrix Scale and it is now in use at all program monitoring.

c. Community:

Agencies report community outcomes through the use of the measures in Goals 2 and 3, and other indicators developed by the agencies for the programs. Indiana has not developed a statewide community scale. Instead, agencies have been encouraged to develop their own community scale, appropriate for the community in which they provide services.

We continue to encourage agencies to use the ROMA process as a diagnostic tool as well as a measurement of success. We also received feed-back from the State-wide Needs Assessment, which

will be used to develop programs and address community needs using the ROMA Indicators. All twenty-four (24) agencies are submitting a ROMA report and are integrating ROMA into the program development process. On-going training and technical assistance is being provided through IHCDA in collaboration with INCAA. The most recent ROMA report from the FY 2005 Annual CSBG/IS Survey is in Appendix H.

2. Annual Report

Annual reports are completed by the eligible entities in the quarter following the end of the contract year, due by March 1. This information is compiled into a single annual report. The most recent annual report was completed in 2005 for the year ending December 31, 2005. Appendix H contains ROMA data from that report.

a. Performance Objectives

1. ROMA Statistics on the six National Goals are listed in Appendix H.

2. Goals for the coming years are to continue to improve upon the collection and reporting of ROMA data. Targeted areas are listed below. Additional information is included in the following section.
   - Management and Leadership training for all eligible entities that will address topics using the ROMA reporting survey.
   - Assisting the CAAs with identifying all the applicable National Indicators to report on in program development.
   - ROMA trainer certification for IHCDA staff.

b. Program Accomplishments and Activities

1. ROMA T&TA

ROMA board training was offered to all twenty-four (24) agencies in 2006. The two day conference explored the ROMA concepts to local agency board members as well as the roles and responsibilities of the board members.

In an effort to improve the provision of case management/self-sufficiency services by the eligible entities, IHCDA continues to offer Family Development

Specialist certification from the Resource Center for Family Centered Practice at The University of Iowa School of Social Work. Training in the use of the Family Development Matrix is provided to all newly certified Family Development Specialists. This training has been provided through INCAA's Indiana Training Institute.

2. **Family Development Scale**

The use of the Family Development Scale has been tremendously successful due to the training and incentive projects to encourage agencies to use the Family Development Plan. The scale is now being used in general case management/self-sufficiency, Energy Assistance case management, and Section 8 Self-Sufficiency Programs under IHCDA.

3. **Needs Assessments**

Agencies are in compliance with the regulations in completing and submitting needs assessments. However, each assessment is different, and addresses different issues.

The Indiana Community Action Association has developed a state-wide assessment that allows them to collect the same or similar data, and allows the State to gather statistics that will be used in reporting to legislators and developing new programs.

c. **Comparison of Planned and Actual Expenditures for Prior Years**

1. **Planned distribution of funds to eligible entities per previous plan vs. actual expenditures**.

The Planned Distribution vs. Actual Expenditures for Eligible Entities, 2004 through 2005 is included in Appendix E.1.

This data shows the carry-over from the previous year, initial allocation (based on previous year's allocation), amended allocation, final allocation (after carry-over), and expenditures. The difference between the allocation and the expenditure for each agency

represents the carry-over amount for that agency in the following year. No funds were recaptured and reallocated. The actual distribution of 2006 Eligible Entity funds for 2006 and the planned distribution of 2007 Eligible Entity funds is in Appendix E.2.

2. **Planned distribution of funds for Discretionary purposes vs. actual expenditures.**

   The proposed and actual allocations for CSBG-D for 2003 and 2004 are in Appendix E.3. In addition to specific proposed usage, some CSBG-D funding is held on account, and is used to meet requests for funding of low-income projects by Community Action Agencies, faith-based organizations, and other providers. We review proposed projects to ensure that usage is appropriate and duplication of service does not occur. The distribution of funds for 2005 and planned distribution for 2006 and 2007 are in Appendix E.4.

3. **Planned distribution of funds for State administration vs. actual expenditures.**

   There have been no carry-over funds from previous year's Administrative portion of the grant. The entire amount was expended in 2002 ($470,992), 2003 ($467,888), 2004 ($465,114), and 2005 ($462,340). Administrative funding for 2006 ($456,718) is also expected to be fully expended this year.

   Should there be any unexpended administrative funding; the remainder will be allocated to the eligible entities as carry-over in the following year.

d. **<u>Profile of participants served:</u>**

Section G of the CSBG/Information Survey for 2005 is in Appendix E.6.

e. **<u>Statistical Report on CSBG Program Services:</u>**

The program expenditure report from Section E of the Annual CSBG/Information Survey is in Appendix E.7. The program support was expended as follows:

Employment	453,949	6%
Education	1,659,478	23%
Income Management	612,089	8%
Housing	693,503	9%
Emergency Services	1,232,531	17%
Nutrition	303,265	4%
Linkages	727,870	10%
Self-Sufficiency	1,252,099	17%
Health	419,946	6%
Other	29,315* (represent less than 1%)	
	$7,384,045	100.00%

Within the above expenditures, $1,214,834 (16.45%) was expended on projects for youth, and $864,108 (11.70%) was expended on projects for seniors.

f. Training and Technical Assistance Provided by the State

Training Activities are listed in Appendix J. This includes training provided directly by State staff and training contracted through the Indiana Community Action Association's (InCAA) Indiana Training Institute and other sources. All training listed is funded all, or in part by CSBG funds.

In addition to training provided directly with CSBG funds, training in program specific areas such as Weatherization, Energy Assistance, housing, and Emergency Domestic Violence Shelter programs were provided by or through InCAA. Because the InCAA training center is supported by CSBG-D funds, including general administrative support, those trainings are also included in Appendix J.

Community Food and Nutrition Program

Indiana elects to apply for the Community Food and Nutrition Program separately.

STATE OF INDIANA

FFY 2006 and 2007 STATE PLAN

FEDERAL CERTIFICATIONS

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 pint 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 not 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 ten 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).

(B) 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.

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