CSBG State Plan

Program Name: Community Services Block Grant
Grantee Name: IN ST Housing and Community Development Authority
Report Name: CSBG State Plan
Report Period: 10/01/2018 to 09/30/2019
Report Status: Saved

Report Sections>

1. *CSBG Cover Page (SF-424M)* 2
2. *Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter* 4
3. *Section 2: State Legislation and Regulation* 6
4. *Section 3: State Plan Development and Statewide Goals* 7
5. *Section 4: CSBG Hearing RequirementsÂ* 9
6. *Section 5: CSBG Eligible Entities* 10
7. *Section 6: Organizational Standards for Eligible Entities* 12
8. *Section 7: State Use of Funds* 14
9. *Section 8: State Training and Technical Assistance* 18
10. *Section 9: State Linkages and Communication* 20
11. *Section 10: Monitoring, Corrective Action, and Fiscal Controls* 23
12. *Section 11: Eligible Entity Tripartite Board* 27
13. *Section 12: Individual and Community Eligibility Requirements* 28
14. *Section 13: Results Oriented Management and Accountability (ROMA) System* 29
15. *Section 14: CSBG Programmatic Assurances and Information Narrative* 31
16. *Section 15: Federal CertificationsÂ* 34

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:06/30/2021

COVER PAGE

* 1.a. Type of Submission: Plan	* 1.b. Frequency: Annual	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: Initial
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION

* a. Legal Name: Indiana Housing Community Development & Authority

* b. Employer/Taxpayer Identification Number (EIN/TIN): 35-1485172 | * c. Organizational DUNS: 086870479

* d. Address:

* Street 1:	30 South Meridian	Street 2:	
* City:	Indianapolis	County:	MARION
* State:	IN	Province:	
* Country:	United States	* Zip / Postal Code:	46204 -

e. Organizational Unit:

Department Name: | Division Name: Community Programs

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Lauren	Middle Name:	* Last Name: Perry
Suffix:	Title: Director of Community Programs	Organizational Affiliation:	
* Telephone Number: (317) 234-6977	Fax Number	* Email: laperry@ihcda.in.gov	

* 8a. TYPE OF APPLICANT:
A: State Government

b. Additional Description:

* 9. Name of Federal Agency:

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 07 | b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal ($): $0	b. Match ($): $0

* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?
a. This submission was made available to the State under the Executive Order 12372
Process for Review on :
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	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)

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)

Form Approved
OMB No:0970-0382
Expires:06/30/2021

SECTION 1

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

1.1 Identify whether this is One-Year or a Two-Year Plan	○ One-Year ◉ Two-Year	
1.1a Provide the Federal Fiscal Years this plan covers:	**Year One**2019	**Year Two**2020

1.2.Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act.

Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency has changed since the last submission of the state plan? ◉ Yes ○ No

If yes, provide the date of change and select the fields that have been updated01/01/2018

☐	**Lead Agency**	☑	**Department Type**	☐	**Department Name**
☑	**Authorized Official**	☐	**Street Address**	☐	**City**
☐	**Zip Code**	☐	**Business Number**	☐	**Fax Number**
☐	**Email Address**	☐	**Website**		

1.2a. Lead agency	

1.2b. Cabinet or administrative department of this lead agency ***[Select one option and narrative where applicable]***

- ◉ Community Services Department
- ○ Human Services Department
- ○ Social Services Department
- ○ Governor's Office
- ○ Community Affairs Department
- ○ Health Department
- ○ Housing Department
- ○ Other, describe

1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official			
1.2d. Authorized official of the lead agency			
Name: Lauren Perry	**Title:** Director, Community Programs		
1.2e. Street Address			
1.2f. City		**1.2g. State**	**1.2h. Zip zip**
1.2i. Telephone number and extension ( ) - ext.	**1.2j. Fax number: ( ) -**		
1.2k. Email address	**1.2l. Lead agency website**		

1.3. Designation Letter:
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.**

1.4. CSBG Point of Contact: Provide the following information in relation to the designated State CSBG point ofcontact.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 in regards to the state point of contact has changed since the last submission of the state plan? (•) Yes ( ) No

If yes, Proide the date of change and select the fields that have been updatedDate Picker and Check all the apply08/20/2018

☐	Agency Name	☑	Point of Contact	☐	Street Address
☐	City	☐	Zip Code	☐	Office Number
☐	Fax Number	☐	Email Address	☐	Website

1.4a. Agency Name

1.4b Point of Contact Name

Name: Lauren Perry	Title: Director, Community Programs		
1.4c. Street address			
1.4d. City		1.4e. State	1.4f. Zip 46202

1.4g. Telephone Number ( ) - ext. 1.4h. Fax Number ( ) -

1.4i. Email Address 1.4j. Agency Website

1.5. Provide the following information in relation to theState Community Action Association.

There is currently a state Community Action Association within the state. (•) Yes ( ) No

Has Information in regards to the state Community Action Association has changed since the last submission of the state plan? (•) Yes ( ) No

If yes, Provide the date of change and select the fields that have been updatedDate Picker and Check all the apply01/01/2018

☑	Agency Name	☑	Executive Director	☑	Street Address
☑	City	☑	State	☑	Zip Code
☑	Office Number	☑	Fax Number	☑	Email Address
☑	Website	☐	RPIC Lead		

1.5a. Agency Name Indiana Community Action Association

1.5b Executive Director or Point of Contact

Name: Ed Gerardo	Title: Executive Director		
1.5c. Street address	1845 West 18th Street		
1.5d. City	Indianapolis	1.5e. StateIN	1.5f. Zip 46202

1.5g. Telephone number (317) 638 - 4232 ext. 1.5h. Fax number (317) 634 - 7947

1.5i. Email Address egerardo@incap.org 1.5j. State Association Website http://www.incap.org/

1.5k. State Association serves as the Regional Performance Innovation Consortia (RPIC) lead ( ) Yes ( ) 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)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

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.***

Indiana Code reference for CSBG Authorization: http://iga.in.gov/legislative/laws/2016/ic/titles/004/articles/004/chapters/033/ Indiana Code reference for State Regulation: http://iga.in.gov/legislative/laws/2016/ic/titles/012/articles/014/chapters/023/ IC 4-4-33 Chapter 33. Miscellaneous Community Development Programs IC 4-4-33-1 Administration by lieutenant governor Sec. 1. The lieutenant governor shall administer the following: (1) The Housing Assistance Act of 1937 (42 U.S.C. 1437). (2) Community services programs, including the Community Services Block Grant under 42 U.S.C. 9901 et seq. (3) Home energy assistance programs, including the Low Income Home Energy Assistance Block Grant under 42 U.S.C. 8621 et seq. (4) Weatherization programs, including weatherization programs and money received under 42 U.S.C. 6851 et seq. (5) Migrant and farm worker programs and money under 20 U.S.C. 6391 et seq., 29 U.S.C. 49 et seq., and 42 U.S.C. 1397 et seq. (6) Emergency shelter grant programs and money under 42 U.S.C. 11371 et seq. (7) Shelter plus care programs and money under 42 U.S.C. 11403 et seq. As added by P.L.181-2006, SEC.12. Amended by P.L.156-2011, SEC.1. Indiana Code 2015 IC 12-14-23 Chapter 23. Community Action Agencies; Community Action Boards. Defines Community Agencies and their functions.

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**

2.4c. Designation: State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency (•) **Yes** ( ) **No**

Section 3: State Plan Development and Statewide Goals

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:06/30/2021

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.

To provide housing opportunities, promote self-sufficiency, and strengthen communities. IHCDA maintains oversight of the Indiana CSBG funding through approved distribution formulas, and monitoring of the Community Action Agencies on compliance with both State and Federal Standards.

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.)

The goals of IHCDA and the Community Action Network in Indiana are to improve the lives of citizens through efforts to enhance employment, promote education, instruct better income management, improve housing, ensure the availability of emergency services, improve good nutrition, provide linkages to other service providers, promotion of self-sufficiency and improved health. IHCDA spent the previous year researching best practices across the country and plans to compile these best practices for implementation over FY2019 and 2020. Specifically, IHCDA is seeking to provide better assistance to the Community Action Agencies in regards to meeting and exceeding the Organizational Standards (IM138) and State Standards as provided in the Comprehensive Administrative Review (CAR Tool). This assistance would come in various forms, but organizational stability, strategic planning, and revenue diversification will be points of emphasis. Indiana has also been researching best practices in Community Action innovation and plans to assist the network in providing innovative solutions to problems identified in the Community Needs Assessment. As Indiana prepares for the release of new census data, 2019 and 2020 will serve in partnership with the Community Action Agencies and the Indiana Community Action Association, as a period of analysis, reflection and possible alterations to the CSBG allocation formula. In regards to the CSBG allocation formula, IndianaÂs goal over the next two fiscal years is to be prepared, regardless of actual formula changes, for the impact of updated census data to the CSBG approved formula. Finally, IHCDA continues to improve on past ACSI scores. IHCDA has been and will continue working with the Community Action Agencies on areas of improvement in the state oversight of the funding. IHCDA hopes to see an increase in participation in the survey from respondents, as well as an increase in the overall ratings and score. Please see the attached action items that have been taken thus far in response to the latest ACSI score.

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 and narrative where applicable]***

- [x] **State Performance Indicators and/or National Performance Indicators (NPIs)**
- [x] **U.S. Census data**
- [x] **State performance management data** ***(e.g., accountability measures, ACSI survey information, and/or other information from annual reports)***
- [x] **Monitoring Visits/Assessments**
- [ ] **Tools not identified above** ***(specify)***

3.3b. Analysis of local-level tools ***[Check all that apply and narrative where applicable]***

- [x] **Eligible entity community needs assessments**
- [x] **Eligible entity community action plans**
- [x] **Public Hearings/Workshops**
- [ ] **Tools not identified above (e.g., State required reports)**[specify]

3.3c Consultation with[Check all that applies and narrative where applicable]

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

☐ **Organizations not identified above** [Specify]

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

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

IHCDA posted the State Plan on our website so that all CAAs could make comments and ask questions. In addition a copy of the State Plan was emailed to all the Executive Directors of each CAA asking that they circulate with their Tripartite Board to further obtain commentary. For the second consecutive year, Indiana sent the plan to all CAA Executive Directors to be reviewed with the tri-partite boards. As part of the ACSI survey, the CAAs requested more communication and input from the CAAs on such items as the Annual Plan. We believe giving CAAs the opportunity for a comment period on the State Plan before submission helped greatly in addressing that portion of the ACSI feedback. IHCDA plans to continue these efforts into the next year by attending more meetings of the CSBG Committee, INCAA (Indiana Community Action Association) Board Meetings, and a roundtable discussion. IHCDA also has and plans to engage the CSBG Committee specifically regarding the ACSI feedback for further information and also plans to circulate the CSBG Comprehensive Administrative Review Tool, Indiana's monitoring template, for review and 30-day comment period among the Community Action Agencies and their Boards. Finally, IHCDA will use the ACSI survey to engage more directly with the CAAs in regards to what training and technical assistance they require through surveys from the CSBG Committee Chair as well as open bidding for technical assistance.

3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous 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.

(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)

IHCDA sent the State Plan to all Community Action Agencies on July 25, 2018 in order to allow for circulation among the network and the Community Action Agency Board members. Agencies were given until August 23, 2018 (30 days) to provide responses. On August 6, 2018, a Public Hearing was held at IHCDAÂs offices to allow for any comments to be made.

3.5. Eligible Entity Overall Satisfaction:
Provide the State's target for eligible entity Overall Satisfaction during the performance period:

Year One	68	**Year Two**	80

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

Section 4: CSBG Hearing RequirementsÂ

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:06/30/2021

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.

The plan was posted to the IHCDA website and a copy placed at the IHCDA front desk 2 weeks prior (7/25/2018) to the Public Hearing on 8/6/2018. Additionally, a link to the State Plan draft was sent to IHCDA's list serve and to all CAA Executive Directors for review. The Executive Directors will be instructed to circulate the draft plan to their Tripartite Boards for comments.

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 underSection 676(a)(2)(B) of the CSBG Act.

The Public Notice was posted on IHCDA's website on July 25, 2018 and the Public Hearing was held on August 6, 2018.

4.3. Public and Legislative Hearings:
In the table below, Specify thedate(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) andSection 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	08/03/2018	Indiana Housing Community Development and Authority	Public	☑

4.4. Attach supportingdocumentationor a hyperlink for the public and legislative hearings.
https://www.in.gov/myihcda/files/PN 18-15 CSBG State Plan Review and Public Hearing_updated July 31 2018.pdf

Section 5: CSBG Eligible Entities

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:06/30/2021

SECTION 5
CSBG Eligible Entities

5.1. CSBG Eligible Entities:
In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity.
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	Area IV Agency on Aging and Community Programs, Inc.	Carrol, Clinton, Tippacanoe, White	Non-Profit	Community Action Agency
2	Area Five Agency on Aging and Community Services, Inc.	Cass, Howard, Miami, Tipton, Wabash	Non-Profit	Community Action Agency
3	Community Action of Greater Indianapolis, Inc.	Boone, Hamilton, Hendericks, Marion	Non-Profit	Community Action Agency
4	Community Action of Northeast Indiana, Inc.	Allen, DeKalb, LaGrange, Noble, Steuben, Whitley	Non-Profit	Community Action Agency
5	Community Action Program of Evansville and Vanderburgh County, Inc.	Gibson, Posey, Vanderburg	Non-Profit	Community Action Agency
6	Community Action of Southern Indiana, Inc.	Clark, Floyd, Harrison	Non-Profit	Community Action Agency
7	Community and Family Services, Inc.	Adams, Blackford, Huntington, Jay, Randolph, Wells	Non-Profit	Community Action Agency
8	Community Action Program, Inc. of Western Indiana	Benton, Fountain, Montgomery, Parke, Vermillion, Warren	Non-Profit	Community Action Agency
9	Human Services, Inc.	Bartholomew, Decatur, Jackson, Johnson, Shelby	Non-Profit	Community Action Agency
10	Hoosier Uplands Economic Development Corp.	Lawrence, Martin, Orange, Washington	Non-Profit	Community Action Agency
11	Interlocal Community Action Program, Inc.	Delaware, Fayette, Hancock, Henry, Rush, Wayne	Non-Profit	Community Action Agency
12	Job Source - Central Indiana Community Action Program	Grant, Madison	Non-Profit	Community Action Agency
13	Lincoln Hills Development Corporation	Crawford, Perry, Spencer	Non-Profit	Community Action Agency
14	North Central Community Action Agencies, Inc.	LaPorte, Pulaski, Starke	Non-Profit	Community Action Agency
15	Northwest Indiana Community Action Corp.	Jasper, Lake, Newton, Porter	Non-Profit	Community Action Agency
16	Ohio Valley Opportunities Inc.	Jefferson, Jennings, Scott	Non-Profit	Community Action Agency
17	PACE Community Action Agency, Inc.	Daviess, Greene, Knox, Sullivan	Non-Profit	Community Action Agency
18	REAL Services, Inc.	Elkart, Fulton, Kosciusko, Marshall, St. Joseph	Non-Profit	Community Action Agency
19	South Central Community Action Program, Inc.	Brown, Monroe, Morgan, Owen	Non-Profit	Community Action Agency
20	Southeastern Indiana Economic Opportunity Corp.	Dearborn, Franklin, Ohio, Ripley, Switzerland, Union	Non-Profit	Community Action Agency
21	Dubois-Pike-Warrick Economic Opportunity	Dubois, Pike, Warrick	Non-Profit	Community Action Agency
22	Western Indiana Community Action Agency, Inc.	Clay, Putnam, Vigo	Non-Profit	Community Action Agency

5.2 Total number of CSBG eligible entities 22

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
- [x] No Changes to Eligible Entities List

5.3a Designation and Re-Designation: Identify any new entities that have beendesignated 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 each listed in the prior year 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
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

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]***

- [x] **Regulation**
- [x] **Policy**
- [x] **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)***
- [x] **Self-assessment** ***(with validation by the State or State-authorized third party)***
- [x] **Self-assessment/peer review with State risk analysis**
- [ ] **State-authorized third party validation**
- [x] **Regular, on-site CSBG monitoring**
- [ ] **Other**

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

Indiana conducts a comprehensive administrative review at a minimum of every 3 years for each of the CAAs. Indiana has utilized a Comprehensive Administrative Review (CAR) monitoring tool that includes organizational standards, and has implemented a Risk Assessment Tool that may result in different frequencies and follow up steps to monitoring. Additionally, during onsite 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 reports are distributed within 30 days from the exit interview. The agencies are given 30 days to respond in which then IHCDA follow-up is completed. Agencies are monitored through the information submitted in their annual plan along with the ROMA assessment in CAR, and other program reviews to assess the status of the agency's administration and major programs. When a new agency is designated, IHCDA will conduct an onsite review at the end of the entity's first year of service. Follow-up reviews including return visits occur when appropriate and may have different frequencies depending upon the outcome scoring of the risk

assessment and/or if there are less favorable outcomes from the site visit on goals and requirements. This is conducted to verify compliance with recommendations made on CAR reviews or Annual Plan submissions. Other reviews are conducted as appropriate including reviews of CAAs with programs that have had other federal, state or local grants terminated. If we implement any material procedure changes to our monitoring plan, we will submit a State Plan revision. If a CAA does not respond within the 30 days, the IHCDA monitor will send a reminder email or call to the CAA Executive Director. IHCDA makes every effort to work with CAAs in the event there are challenges with responding or with sufficient responses. If a response is received that is incomplete or unacceptable, a letter is sent outlining the unacceptable portions and providing detailed guidance to complete their response. In addition, timely report submission will be included in the monitoring report for 2018-19, meaning that not submitting any requested report on time will affect a Monitoring Report Score. Agencies also complete a self-assessment review and IHCDA conducts a risk assessment of each CAA. No peer review is conducted however, unless opted into by the CAA.

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

6.5. Performance Target: 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	95%	**Year Two**	95%

Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.

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:06/30/2021

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.

Base + Formula

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.
IndianaÂs formula begins with a base amount of $50,000 per agency. A Percounty base ($15,712.60) is also determined based on the number of counties (92) in Indiana and the Community Action Agencies (22) in the state. The majority of the allocation (65%) is determined based on the % of individuals at or below 125% of poverty in the service area of the counties.

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 of 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%

Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount $	Delete
Area IV Agency on Aging and Community Programs, Inc.	$418,038	
Area Five Agency on Aging and Community Services, Inc.	$344,290	
Community Action of Greater Indianapolis, Inc.	$1,351,614	
Community Action of Northeast Indiana, Inc.	$674,121	
Community Action Program of Evansville and Vanderburgh County, Inc.	$362,260	
Community Action of Southern Indiana, Inc.	$292,409	
Community and Family Services, Inc.	$291,018	
Community Action Program, Inc. of Western Indiana	$347,723	
Human Services, Inc.	$296,014	
Hoosier Uplands Economic Development Corp.	$394,495	
Interlocal Community Action Program, Inc.	$264,897	
Job Source - Central Indiana Community Action Program	$534,277	
Lincoln Hills Development Corporation	$164,645	
North Central Community Action Agencies, Inc.	$257,019	
Northwest Indiana Community Action Corp.	$845,138	
Ohio Valley Opportunities Inc.	$2,083,390	
PACE Community Action Agency, Inc.	$275,797	
REAL Services, Inc.	$7,381,790	
South Central Community Action Program, Inc.	$411,961	

Southeastern Indiana Economic Opportunity Corp.	$2,791,570	
Dubois-Pike-Warrick Economic Opportunity	$183,186	
Western Indiana Community Action Agency, Inc.	$3,053,500	
Total	$23,019,152	

CSBG Eligible Entity Year Two

CSBG Eligible Entity	Year Two Funding Amount $	Delete
Area IV Agency on Aging and Community Programs, Inc.	$418,038	
Area Five Agency on Aging and Community Services, Inc.	$344,290	
Community Action of Greater Indianapolis, Inc.	$1,351,614	
Community Action of Northeast Indiana, Inc.	$674,121	
Community Action Program of Evansville and Vanderburgh County, Inc.	$336,226	
Community Action of Southern Indiana, Inc.	$292,409	
Community and Family Services, Inc.	$291,018	
Community Action Program, Inc. of Western Indiana	$347,723	
Human Services, Inc.	$296,014	
Hoosier Uplands Economic Development Corp.	$394,495	
Interlocal Community Action Program, Inc.	$264,897	
Job Source - Central Indiana Community Action Program	$534,277	
Lincoln Hills Development Corporation	$164,645	
North Central Community Action Agencies, Inc.	$257,019	
Northwest Indiana Community Action Corp.	$845,138	
Ohio Valley Opportunities Inc.	$208,339	
PACE Community Action Agency, Inc.	$275,797	
REAL Services, Inc.	$738,179	
South Central Community Action Program, Inc.	$411,961	
Southeastern Indiana Economic Opportunity Corp.	$279,157	
Dubois-Pike-Warrick Economic Opportunity	$183,186	
Western Indiana Community Action Agency, Inc.	$305,350	
	$0	
Total	$9,213,893	

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).

During 2019 the Community Services Block Grant funds will be allocated as follows: CAAs Allocation 90%; IHCDA Admin 5%; CSBG-D Training Technical and Special Projects 5%. Total 100%. Step 1 (3 days): Total Allocation Received DHHS Minus 5 percent for State Administrative Funds; Minus 5 percent for State Discretionary Funds. Step 2 (3 days): Calculate the Basic and Award Allocation to CAAs X 35 percent equals the base amount; Total Allocation to CAAs X 65 percent equals the award allocations based on 125 percent of poverty by county. Step 3 (3 days): Calculate the Base Amount by agency base amount (total 35 percent) (minus) ($50,000 times 22 agencies) Step 4 (3 days): Management Review of Total CAA Allocation Step 5 (3 days) IHCDA Executive Director Review of Total Allocation (Approval Request) and award disbursement. Grant agreements period of performance follows calendar year.

7.4. Distribution Timeframe:
Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ◉ **Yes** ○ **No**

7.4a. Distribution Consistency: If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

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

7.5. Performance Management Adjustment:
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.

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

In FY2019, IHCDA will begin utilizing electronic signatures to increase the efficiency in which contracts and contract amendments are processed at both the CAP and State level. IHCDA issues contract amendments as OCS provides additional allotments throughout the year. These contracts can be burdensome to process and can delay an agencyÂs ability to utilize the additional funding. IHCDA also plans on closer monitoring of funding during the first year of availability to prevent large carryover amounts overlapping program years.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]
Note: *This information pre-populates the state's Annual Report, Module 1, Table E.4.*

7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.

Year One (0.00%)	Year Two (0.00%)	5.00%	

7.7. State Staff: 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

Year One	5.00	Year Two	5.00

7.8. State FTEs: Provide the number of State Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan

Year One	1.00	Year Two	1.00

7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described inSection 675C(b)(1) of the CSBG Act?
(●) Yes ( ) No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

Year One (0.00%)	5.00%	Year Two (0.00%)	5.00%

Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)

Note: This response will link to the correspondingassurance, Item 14.2.

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.

Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.

Remainder/Discretionary Fund Uses	Year One Planned $	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	$200,000.00	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	
7.9e. Asset-building programs	$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	$150,000.00	Request for Proposal will be released for Innovative ideas to improve the lives of citizens in poverty.
7.9g. State charity tax credits	$0.00	
7.9h. Other activities, specify in column 3	$50,000.00	Indiana may be investing in research into innovative solutions to decrease poverty.
Total	$400,000.00	

Remainder/Discretionary Fund Uses	Year Two Planned $	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	$200,000.00	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	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	$150,000.00	Request for Proposal will be released for Innovative ideas to improve the lives of citizens in poverty.
7.9g. State charity tax credits	$0.00	

7.9h. Other activities, specify in column 3	$50,000.00	Indiana will be investing in research into innovative solutions to decrease poverty.
Total	$400,000.00	

7.10. Remainder/Discretionary Funs Partnerships: 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.
[Check all that apply and narrative where applicable]

- [ ] **The state directly carries out all activities (No Partnerships)**
- [x] **The state partially carries out some activities**
- [x] **CSBG eligible entities** ***(if checked, include the expected number of CSBG eligible entities to receive funds)*** 3
- [x] **Other community-based organizations**
- [x] **State Community Action association**
- [ ] **Regional CSBG technical assistance provider(s)**
- [x] **National technical assistance provider(s)**
- [x] **Individual consultant(s)**
- [ ] **Tribes and Tribal Organizations**
- [ ] **Other**

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

7.11. Performance Management Adjustment:
Describe any adjustments the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans.Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

The 2019 and 2020 Discretionary funds will support three target areas. The first target area will be providing Training and Technical Assistance for the CAAs on such topics as: leadership, federal compliance, OMB, organizational capacity, program evaluation, fund development and financial management. The second target area will be in Innovation Grant initiatives designed to strengthen self-sufficiency for low income citizens. No feedback was received from the public during public or legislative hearing concerning adjustments. Finally, in 2019, an adjustment will be made to conducting research on renewable energy solutions to individuals at or below 125% of poverty. This has not been an area of exploration in the past, and Indiana feels it would be worthwhile to research these type of solutions as alternative energy mechanisms.

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)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 8
State Use of Funds

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

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-Q2	Training	Communication	
2	FY1-Q2	Training	Other	Customer Service- Working with Difficult Clients
3	FY1-Q3	Training	Organizational Standards - General	
4	FY1-Q3	Training	Communication	
5	FY1-Q1	Training	Fiscal	
6	FY1-Q1	Training	Other	Generating Unrestricted Funds

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	All quarters	Both	Other	Likely a combination of those topics listed

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	$200,000	Year Two	$200,000

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.

In FY2018, the State Association (INCAA) conducted a needs assessment for the type of trainings that would be most beneficial to the Community Action Agency. In FY2019 and FY2020, these trainings will be carried out through a partnership between IHCDA, INCAA, and various consultant groups with specializations.

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

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

8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. IHCDA offers technical assistance year round to the Community Action Agencies on a first come first serve basis upon request. However, when an agency is identified as having unmet organizational standards after a Comprehensive Administrative Review, the agency may be required to obtain TA through a selected contractor paid through CSBG Discretionary funds. The following process is utilized for Community Action Agencies to request TA year-round:

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.]*

- [x] **CSBG eligible entities** *(if checked, provide the expected number of CSBG eligible entities to receive funds)* **22**
- [x] **Other community-based organizations**
- [x] **State Community Action association**
- [x] **Regional CSBG technical assistance provider(s)**
- [x] **National technical assistance provider(s)**
- [x] **Individual consultant(s)**
- [ ] **Tribes and Tribal Organizations**

☐ **Other**

8.4. Performance Management Adjustment: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.

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

In 2017 we released a Request For Proposal (RFP) for training to CAAs. Three different agencies were awarded contracts through IHCDA's CSBG-D fund to provide training to CAAs on a variety of topics. These topics were largely determined by expressed need and risk assessment scores. Due to feedback from the ACSI, IHCDA recently met with the CSBG Committee to discuss the training needs for the CAA network. The network expressed that they felt that the State Association should be more involved in the training process. The State Association will have the opportunity before and RFP is released once again for the technical assistance program to survey all CAAs on what training they feel is most appropriate. This should allow them to submit a strong response to the T/TA RFP released by IHCDA.

Section 9: State Linkages and Communication

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:06/30/2021

SECTION 9
State Linkages and Communication

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

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

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

- [x] **State Low Income Home Energy Assistance Program (LIHEAP) office**
- [ ] **State Weatherization office**
- [ ] **State Temporary Assistance for Needy Families (TANF) office**
- [ ] **State Head Start office**
- [ ] **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**
- [x] **State housing office**
- [ ] **Other**

9.2. State Linkages and Coordination at the Local Level:
Describe the linkages and coordination at the local level that the State to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under SectionsSections 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.

Through the use of referral services in the case management programs, and sharing of information with various local providers and funders, CAAs have been able to coordinate services and resources in the community. Additionally, the public and private sector representatives on the CAA Boards help to achieve those partnerships. The local area partners include, but are not limited to Area Agency on Aging, Workforce Development offices, Head Start programs, schools, community centers, local emergency services, homeless shelters, medical services, law enforcement programs, food banks, pantries and soup kitchens. IHCDA has made efforts in connecting CAAs with regional partners including workforce development and health care services. IHCDA plans to continue to provide this service.

9.3. Eligible Entity Linkages and Coordination

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

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

CAAs must provide a list of public and private partners in constituent services in their Grantee Plan Packets (Annual Plan) and report on funding received from those entities in their annual reports. IHCDA has, also, helped to cultivate relationships that offer family support and development programs such as Indiana Permanent Supportive Housing. In 2018 we are going to evaluate our Family Development Program to focus on self-sufficiency.

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.

In addition to addressing family goals through direct and survey questions, a handful of CAAs utilize a Family Development Matrix. The Family Development Matrix is a 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. In 2019 IHCDA will continue to evaluate the statewide Family Development Program to focus on self-sufficiency. The CSBG Annual Report, Community Needs Assessment and Sub-grantee Plan Packet will also be used to ensure that local entities are researching the gaps in services within their area.

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.

These efforts in coordination of employment and training activities will be carried out by local agreements between the Community Action Agencies and the local Workforce Development Boards. IHCDA is available to the Community Action Agencies for assistance in these negotiations.

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.

IHCDA administers The Low-Income Home Energy Assistance Program (LIHEAP) in Indiana. Funding is provided to LSPs 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, summer, cooling and leveraging. These agencies serve all 92 counties within the state. The LSPs work closely with utility companies and private vendors to serve those in need of energy assistance.

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.

Indiana CAAs commonly work with various religious organizations, charitable groups and community organizations. The CAAs submit a Sub-grantee Plan Packet (Annual Plan) annually that emphasizes the importance of building partnerships and linkages in the community to best serve clientele. CAAs are required to respond with a list of partnerships in regards to faith-based organizations, charitable groups, and community organizations.

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 State of Indiana's fiscal controls automatically obligates 90% of CSBG funds to CAAs to be used for direct programs for low-income citizens. The individual CAA CSBG grant agreement emphasizes the importance of coordinating CSBG funds with other private and public funds. Agencies are required to submit revenue diversification plans that outlines other sources of funding that are used to support their programs.

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.

All of the CAAs in the State of Indiana are members of the Indiana Community Action Association (INCAA). INCAA, who is contracted through IHCDA, provides technical assistance, training, service delivery models and resources to help CAAs increase network capacity.

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	Biannual	Meetings/Presentation	
State Plan Development	Annually	Email	
Organizational Standards Progress	Biannual	Meetings/Presentation	
State Accountability Measures Progress	Biannual	Meetings/Presentation	
Community Needs Assessments/Community Action Plans	Triennial	Meetings/Presentation	
State Monitoring Plans and Policies	Annually	Website	
			These are evaluated each year based on responses and

Training and Technical Assistance (T/TA) Plans	Annually	Other	assessments done throughout the Community Action network.
ROMA and Performance Management	Annually	Meetings/Presentation	
State Interagency Coordination	Annually	Meetings/Presentation	
CSBG Legislative/Programmatic Updates	Annually	Email	
Tripartite Board Requirements	Annually	Email	

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Upcoming Public and/or Legislative Hearings	As needed	Meetings/Presentation	

9.10. Feedback to Eligible Entities and State Community Action Association:
Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii). and will pre-populate the Annual Report, Module 1, Item G.6

Feedback from the State Accountability Measures will be emailed to the Executive Director's of CAAs within 30 days of receiving the report. In addition, IHCDA attends all monthly INCAA Board Meetings and will provide additional updates and request additional feedback in that forum.

9.11. Performance Management Adjustment:
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.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.

The State continues to move toward hosting more in-person meetings and routine conference calls with the CAA program staff, in addition to other general communication methods. We are increasing our purposeful email announcements to increase awareness on initiatives, training opportunities, and other notable details. Webinars will be utilized for selected announcements and training opportunities when applicable. Additionally, IHCDA attends the CSBG CAA Committee and conducts regular calls with the Committee Chair. As part of the ACSI survey, the CAAs requested more communication and input from the CAAs on such items as the Annual Plan. We believe given them the opportunity for a comment period on the State Plan before submission helped greatly in addressing that portion of the ACSI feedback. IHCDA plans to continue these efforts into the next year by attending more meetings of the CSBG Committee and INCAA Board Meetings. IHCDA also has and plans to engage the CSBG Committee specifically regarding the ACSI feedback for further information. IHCDA will continue use the ACSI survey to engage more directly with the CAAs in regards to what training and technical assistance they require through surveys from the CSBG Committee Chair as well as open bidding for TA. Finally, IHCDA has revamped the CSBG partner website and plans to update it with more frequency throughout the year.

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)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 10
State Use of Funds

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	Area IV Agency on Aging and Community Programs, Inc.	Full On-site	Onsite Review	FY1 Q2	06/07/2017	06/09/2017	
2	Area Five Agency on Aging and Community Services, Inc.	No review	Desk Review	FY1 Q4			
3	Community Action of Greater Indianapolis, Inc.	No review	Desk Review	FY1 Q4			
4	Community Action of Northeast Indiana, Inc.	No review	Desk Review	FY1 Q4			
5	Community Action Program of Evansville and Vanderburgh County, Inc.	Full On-site	Onsite Review	FY1 Q2	11/15/2016	11/17/2016	
6	Community Action of Southern Indiana, Inc.	No review	Desk Review	FY1 Q4			
7	Community and Family Services, Inc.	No review	Desk Review	FY1 Q4			
8	Community Action Program, Inc. of Western Indiana	No review	Desk Review	FY1 Q4			
9	Human Services, Inc.	No review	Desk Review	FY1 Q4			
10	Hoosier Uplands Economic Development Corp.	Full On-site	Onsite Review	FY1 Q3	05/17/2016	05/19/2016	
11	Interlocal Community Action Program, Inc.	Full On-site	Onsite Review	FY1 Q1	11/17/2015	11/19/2015	
12	Job Source - Central Indiana Community Action Program	Full On-site	Onsite Review	FY1 Q1	10/25/2017	10/27/2017	
13	Lincoln Hills Development Corporation	Full On-site	Onsite Review	FY1 Q3	10/04/2016	10/06/2016	
14	North Central Community Action Agencies, Inc.	Full On-site	Onsite Review	FY1 Q4	07/26/2016	07/28/2016	
15	Northwest Indiana Community Action Corp.	Full On-site	Onsite Review	FY1 Q4	08/16/2016	08/18/2016	
16	Ohio Valley Opportunities Inc.	No review	Desk Review	FY1 Q4			
17	PACE Community Action Agency, Inc.	No review	Desk Review	FY1 Q4			
18	REAL Services, Inc.	No review	Desk Review	FY1 Q4			
19	South Central Community Action Program, Inc.	No review	Onsite Review	FY1 Q4			
20	Southeastern Indiana Economic Opportunity Corp.	No review	Desk Review	FY1 Q4			
21	Dubois-Pike-Warrick Economic Opportunity	Full On-site	Onsite Review	FY1 Q1	10/05/2015	10/17/2017	
22	Western Indiana Community Action Agency, Inc.	No review	Desk Review	FY1 Q4			

	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	Area IV Agency on Aging and Community Programs, Inc.	No review	Desk Review	FY2 Q4			
2	Area Five Agency on Aging and Community Services, Inc.	No review	Desk Review	FY2 Q4			
3	Community Action of Greater Indianapolis, Inc.	Full On-site	Onsite Review	FY2 Q1	05/09/2018	05/11/2018	
4	Community Action of Northeast Indiana, Inc.	No review	Desk Review	FY2 Q4			
5	Community Action Program of Evansville and Vanderburgh County, Inc.	No review	Desk Review	FY2 Q4			
6	Community Action of Southern Indiana, Inc.	Full On-site	Onsite Review	FY2 Q1	04/03/2018	04/05/2018	
7	Community and Family Services, Inc.	No review	Desk Review	FY2 Q4			
8	Community Action Program, Inc. of Western Indiana	No review	Desk Review	FY2 Q4			
9	Human Services, Inc.	No review	Desk Review	FY2 Q4			
10	Hoosier Uplands Economic Development Corp.	No review	Desk Review	FY2 Q4			
11	Interlocal Community Action Program, Inc.	No review	Desk Review	FY2 Q4			
12	Job Source - Central Indiana Community Action Program	No review	Desk Review	FY2 Q4			
13	Lincoln Hills Development Corporation	No review	Desk Review	FY2 Q4			
14	North Central Community Action Agencies, Inc.	No review	Desk Review	FY2 Q4			
15	Northwest Indiana Community Action Corp.	No review	Desk Review	FY2 Q4			
16	Ohio Valley Opportunities Inc.	Full On-site	Onsite Review	FY2 Q1	09/13/2016	09/15/2016	
17	PACE Community Action Agency, Inc.	No review	Desk Review	FY2 Q4			
18	REAL Services, Inc.	No review	Desk Review	FY2 Q4			
19	South Central Community Action Program, Inc.	No review	Desk Review	FY2 Q4			
20	Southeastern Indiana Economic Opportunity Corp.	No review	Desk Review	FY2 Q4			
21	Dubois-Pike-Warrick Economic Opportunity	No review	Desk Review	FY2 Q4			
22	Western Indiana Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q1	04/26/2016	04/28/2016	

10.2. Monitoring Policies:
Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

https://www.in.gov/myihcda/files/IHCDA_csbg_car_TOOL_2018_FINAL.pdf

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.

30

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.

N/A

10.5. Quality Improvement Plans (QIPs):
Provide the number of eligible entities currently on QIPs, if applicable.

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

4

10.6. Reporting of QIPs:
Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

The Office of Community Services is notified at the same time that the formal notification is sent to the client/agency. Office of Community Service also receives a copy of the monitoring report within 30 days of IHCDA's notification to the CAA. IHCDA has briefed our Project Officer Crystal Crews regarding the current QIP process.

10.7. Assurance on Funding Reduction or Termination:
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 inSection 678C(b)" per Section 676(b)(8). (•) Yes ( ) No

Note: This response will link with the corresponding assurance under item 14.8.

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

10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? ( ) Yes (•) No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

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

The Community Action Agencies were initially designated by the Governor of Indiana. IHCDA would need to collaborate with the Governor of Indiana on a formal process that would designate a new Community Action Agency. IHCDA plans work with the necessary partners to develop this procedure over the next two years.

10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities? ( ) Yes (•) No

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.

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
Indiana follows the federal process for termination as provided by the OCS IM116.

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? ( ) Yes (•) No

10.10a. If Yes, provide the citation(s) of the law and/or regulation.

10.10b. If No, describe State procedures for re-designation of existing eligible entities.
There is currently no process for re-designation for the Community Action Agencies. CAAs remain in their status unless terminated, voluntarily relinquished, or ceased operations.

Fiscal Controls and Audits and Cooperation Assurance

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

Indiana Housing and Community Development Authority has fiscal control and accounting procedures necessary to assure the proper disbursal of and accounting for federal funds. IHCDA is the direct recipient of CSBG funds. These funds are drawn from the U.S. Department of Health and Human Services by IHCDA following receipt of claim vouchers and supporting documentation from CAAs. IHCDA's accounting department is responsible for the computerized system of processing and payment of claims to the CAA for their costs in the administration of programs. IHCDA's Division of Community Programs works closely with the accounting department to verify the claim information submitted by the CAA. The payments are limited to the level of the CAA's budget totals and contracted allocations. Sub-grantees are required to submit program budgets, which project the amounts to be expended for administrative and program activities under Programmatic Assurances above. These budgets are based on allocation of funds to the entities and contracts are issued in the amount of the funding allocations. IHCDA utilizes a board approved funding formula to determine funding amounts for each eligible entity. After grant agreements have been executed, IHCDA will pay claims based on the eligible activities outlined in the Sub-grantee's budget. IHCDA assures that the cost and accounting standards of the Office of Management and Budget are accurately applied to IHCDA and the Sub-grantees that receive CSBG funding. IHCDA uses an independent auditor who completes a program audit as well as a financial statement audit. Appropriate books, documents, papers and records area available to the Secretary and the Controller General of the United States or any authorized representatives to examine, copy or mechanically reproduce any and all related documents upon reasonable request for the items.

10.12. Single Audit Management Decisions:
Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

Note: This information is associated with State Accountability Measure 4Sd.

The procedure is described on page 5 of the State Monitoring Protocol attachment in 10.2.

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.

10.14. 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.

The revised State of Indiana onsite CAR monitoring process utilizes the CSBG Organizational Standards (IM-138), state and federal codes, IHCDA knowledge and previous monitoring experience and best business practices. The CSBG Organizational Standards are the foundation of the CAR tool. In addition, Indiana monitors fiscal management, performance metrics, allocation, procurement and accounting to determine solvency. We are utilizing a risk assessment tool where outcomes result in determining the frequency and additional requirements for monitoring. If we implement any material changes to our monitoring plan, we will submit a revision to the state plan. The State has implemented a scoring system so each agency receives a performance score. This accountability measure provides the ability to track data such as the percentage of eligible entities that met 100 percent of the organizational standards during the performance period and information on technical assistance plans and Quality Improvement Plans for eligible entities not meeting the standards during the performance period. Beginning in 2017, based on an agencies' risk assessment score, IHCDA will monitor high and medium risk agencies on a bi-annual basis and low-risk agencies on a tri-annual basis. All agencies will be required to submit some documentation during off years that is considered of higher importance to monitor on a more frequent basis. As part of the ACSI survey, the CAAs requested more communication and input from the CAAs on such items as the Annual Plan. We believe given them the opportunity for a comment period on the State Plan before submission helped greatly in addressing that portion of the ACSI feedback. IHCDA plans to continue these efforts into the next year by attending more meetings of the CSBG Committee, INCAA Board Meetings. IHCDA also has and plans to engage the CSBG Committee specifically regarding the ACSI feedback for further information and also plans to circulate the CSBG Comprehensive Administrative Review Tool for review and 30-day comment period among the Community Action Agencies and their Boards. Overall, Organizational Management and Organizational Analysis standards are designed to ensure CSBG eligible entities have appropriate organizational capacity to deliver services to low-income individuals in their communities.

Section 11: Eligible Entity Tripartite Board

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:06/30/2021

SECTION 11
State Use of Funds

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**
- [x] **Organizational Standards Assessment**
- [x] **Monitoring**
- [x] **Review copies of Board meeting minutes**
- [x] **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

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.

The Tripartite requirements are included in Indiana's statute regarding Community Action Agencies. CAAs are required to include list of their board members along with the sector each represents in their annual plans. This ensures adherence to the requirement prior to each entity executing its CSBG grant agreement. Board vacancies that affect the tripartite requirement must be filled within 90 days. Twenty-one of the CAAs are private non-profit community action agencies and meet the tripartite board requirements. One CAA, the only public organization receiving funds under this subtitle, is the Board of Madison County Commissioners (JobSource) and is also a Community Action Agency known as Central Indiana Community Action. This agency has 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.

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

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:06/30/2021

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.

CSBG funded programs utilize income verification processes from other federally funded programs such as Energy Assistance, Head Start and Housing Choice Voucher. CAAs use their own client intake forms to determine income eligibility for local programs. Calculations are based on gross income.

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.

Clients certify income information on a signed affidavit. Source documentation includes pay stubs, and award letter. Clients who do not have pay stubs or award letters can provide a wage history from the Indiana Department of Workforce Development.

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).

Annual plans must reflect that each CAA has a presence in low-income communities; secondly CAAs are required to have a Tripartite Board of directors so that the low-income are represented by a third of the board; thirdly, IHCDA reviews CAAs annual reports and newsletter which reflect how they are serving and reaching the low-income community. During the CAR monitoring visit, IHCDA requests CAAs to show documentation that all of the above requirements were met during each program year.

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

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:06/30/2021

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

Section 678E(b) of the CSBG Act

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

The State of Indiana participates in the ROMA system by monitoring agency activity of the three national goals and NPI's. The ROMA assessment will be used in conjunction with the CSBG CAR and other program reviews to assess the status of the agency's administration and programs. All agencies are required to submit an annual CSBG Annual report that includes ROMA data and an annual Grantee Plan that links agency programs to the NPI's. Furthermore, the CSBG CAR Monitoring process is based upon IM-138 and reviews programmatic compliance with ROMA objectives (assessment, planning, implementation, achievement of results, and evaluation) such as needs assessments, strategic planning, staff and governing board development/training, customer surveys, etc.

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.

- [x] **CSBG National Performance Indicators (NPIs)**
- [ ] **NPIs and others**
- [ ] **Others**

We will review the Community Needs Assessment with CAAs, CSBG Annual Report data, objectives in the Grantee Plan Packet, and strategic plans and outcomes.

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.

Through a contract with Indiana Community Action Association IHCDA uses Community Services Block Grant Discretionary Funds to train ROMA trainers. Indiana has a total of 7 ROMA trainers. IHCDA provides ROMA training annually to its sub-grantees and makes trainers available to review agency strategic plans.

13.4. Eligible Entity Use of Data:
Describe how is the state plans 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.

The annual Grantee Plan Packet (Annual Plan) requires CAAs to develop and implement strategies to measure and record improvements in the well-being of low-income people and the communities in which they live. These improvements are the results of community action intervention. The Grantee Plan Packet requires CAAs to use the data they collect to analyze outcomes with the board and staff to determine the effectiveness of programs. The Grantee Plan Packet requires CAAs to use the Community Needs Assessment and customer feedback to review programs and adjust offerings according to feedback. Lastly, the Grantee Plan Packets request documentation that the CAAs inform their board of annual long-range planning, agency advocacy, funding, and community partnership activities. The annual plans are reviewed by IHCDA and comments are provided to indicate further information requirements, request to utilize sections as best practice advice, or to encourage CAAs to further explore program outcomes.

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.

CAAs are required to submit a Grantee Plan packet which includes a Community Action Plan. The plan must be submitted by the established due date in order for the CAA to receive the next year's funding. The IHCDA Community Analyst reviews all Grantee Plan Packets to check for programmatic and technical compliance. After completing the analysis, the IHCDA Community Analyst will send the CAA a letter informing them when the review and approval of their plan has been completed. CAAs budget are reviewed and approved upon the return of their signed contract agreement.

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.

Every three years IHCDA coordinates the completion of a Community Needs Assessment for the network which includes CAA regions. These assessments are utilized by each individual agency towards program design and delivery, and data is drawn upon during the completion of the Grantee Plan Packet. The most recent needs assessment was completed in 2018 and is currently under review. It will be provided to CAAs during the 2018 Calendar year. During 2017and 2018 IHCDA will commission the next Community Needs Assessment and data collection will occur, and in 2018 the new assessment will be provided to CAAs. The Community Needs Assessment covers the following areas for each CAA: Demographics, economic status of citizens, housing affordability, mobility of citizens, adult skills and finances, household support and nutrition. CAA are required to provide a list and description of strategic partnerships in their annual Grantee Plan Packet.

Section 14: CSBG Programmatic Assurances and Information Narrative

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:06/30/2021

SECTION 14
State Use of Funds

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;

Eligible entities must use funding for programs described in their approved annual plan that serve low-income individuals and communities. IHCDA monitors claims when CAAs submit expenses for reimbursement. CAAs are required to submit an Annual Plan in their Sub-grantee Plan Packet, and return a budget with the signed grant agreement. IHCDA reviews claims for reimbursement including associated supportive documentation. The Annual Report data submissions area verified against what was submitted in each CAA's Annual Plan.

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;

CAAs address the needs of their communities by a variety of youth programs such as summer programs, mentoring programs, after-school programs and kid food cafes.

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)

[Narrative, 5000 characters] Indiana CSBG funding provides eligible entities the opportunities to operate a variety of programs and provide administrative funding, including, but not limited to: WIC, Workforce Development Training, LIHEAP, Weatherization Program, Housing, Head Start and Individual Development Account.

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;

Service provided to low-income individuals and families are provided through the 22 community action agencies as listed under the Eligible Entities. These agencies cover 92 counties each in the State of Indiana. All 92 counties in Indiana are served by the 22 agencies. The distribution of funding among the agencies will depend on the number of low-income people residing in a particular county and the number of counties that a particular community action agency serves.

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.

In addition to addressing family goals through direct and survey questions, a handful of CAAs utilize a Family Development Matrix. The Family Development Matrix is a 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. In 2019 IHCDA will continue to evaluate the statewide Family Development Program to focus on self-sufficiency. The CSBG Annual Report, Community Needs Assessment and Sub-grantee Plan Packet will also be used to ensure that local entities are researching the gaps in services within their area.

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 State of Indiana's fiscal controls automatically obligates 90% of CSBG funds to CAAs to be used for direct programs for low-income citizens. The individual CAA CSBG grant agreement emphasizes the importance of coordinating CSBG funds with other private and public funds. Agencies are required to submit revenue diversification plans that outlines other sources of funding that are used to support their programs.

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 unde rSection 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

IHCDA uses Community Services Block Grant Discretionary Funds to: a) Provide training and technical assistance to CAAs b) Provide money for innovative programs

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."

IHCDA requires CAAs to connect clients to these resources and allow CAAs to use CSBG funds to supplement these efforts. IHCDA requires eligible entities to provide partnership descriptions and linkages to other organizations who provide these services. Those descriptions are provided in the Sub-grantee Plan Packet.

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.

The Tripartite requirements are included in Indiana's statute regarding Community Action Agencies. CAAs are required to include list of their board members along with the sector each represents in their annual plans. This ensures adherence to the requirement prior to each entity executing its CSBG grant agreement. Board vacancies that affect the tripartite requirement must be filled within 90 days. Twenty-one of the CAAs are private non-profit community action agencies and meet the tripartite board requirements. One CAA, the only public organization receiving funds under this subtitle, is the Board of Madison County Commissioners (JobSource) and is also a Community Action Agency known as Central Indiana Community Action. This agency has 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.

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.**

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:06/30/2021

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

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

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.