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>

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CSBG Cover Page (SF-424M)

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

COVER PAGE

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Plan</td>
<td>Annual</td>
<td>Explanation:</td>
<td>Initial</td>
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<th>2. Date Received:</th>
<th>State Use Only:</th>
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<thead>
<tr>
<th>3. Applicant Identifier:</th>
<th>4a. Federal Entity Identifier:</th>
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<tr>
<td></td>
<td>5. Date Received By State:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>4b. Federal Award Identifier:</th>
<th>6. State Application Identifier:</th>
</tr>
</thead>
</table>

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:

<table>
<thead>
<tr>
<th>* Street 1:</th>
<th>30 South Meridian</th>
</tr>
</thead>
<tbody>
<tr>
<td>* City:</td>
<td>Indianapolis</td>
</tr>
<tr>
<td>* State:</td>
<td>IN</td>
</tr>
<tr>
<td>* Country:</td>
<td>United States</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>County:  MARION</td>
</tr>
</tbody>
</table>

* Zip / Postal Code: 46204

<table>
<thead>
<tr>
<th>* e. Organizational Unit:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department Name:</td>
</tr>
<tr>
<td>Division Name: Community Programs</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>* Prefix:</th>
<th>* First Name:</th>
<th>* Middle Name:</th>
<th>* Last Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Lauren</td>
<td></td>
<td>Perry</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* Suffix:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Director of Community Programs</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* * Telephone Number: (317) 234-6977</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Fax Number</th>
</tr>
</thead>
</table>

* Email: lsperry@ihcdas.in.gov

* g. TYPE OF APPLICANT:

A: State Government

b. Additional Description:

* 9. Name of Federal Agency:

Catalog of Federal Domestic Assistance Number: 93569

<table>
<thead>
<tr>
<th>CFDA Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Services Block Grant</td>
</tr>
</tbody>
</table>

10. CFDA Numbers and Titles

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:

<table>
<thead>
<tr>
<th>a. Start Date:</th>
<th>b. End Date:</th>
</tr>
</thead>
</table>

15. ESTIMATED FUNDING:

<table>
<thead>
<tr>
<th>* a. Federal ($)</th>
<th>b. Match ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>50</td>
<td>50</td>
</tr>
</tbody>
</table>
**16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

<table>
<thead>
<tr>
<th>a. This submission was made available to the State under the Executive Order 12372</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process for Review on:</td>
</tr>
<tr>
<td>b. Program is subject to E.O. 12372 but has not been selected by State for review.</td>
</tr>
<tr>
<td>c. Program is not covered by E.O. 12372.</td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>18a. Typed or Printed Name and Title of Authorized Certifying Official</th>
<th>18c. Telephone (area code, number and extension)</th>
</tr>
</thead>
<tbody>
<tr>
<td>18b. Signature of Authorized Certifying Official</td>
<td>18d. Email Address</td>
</tr>
<tr>
<td>18e. Date Report Submitted (Month, Day, Year)</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration for Children and Families</td>
</tr>
<tr>
<td>Community Services Block Grant (CSBG)</td>
</tr>
</tbody>
</table>

**SECTION 1**

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

1. Identify whether this is One-Year or a Two-Year Plan
   - [ ] One-Year
   - [ ] Two-Year

1.1 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 updated 01/01/2018

- [ ] 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: Laureka Perry
Title: Director, Community Programs

1.2e. Street Address

1.2f. City

1.2g. State

1.2h. Zip code

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 of contact. The State CSBG point of contact
Has Information in regards to the state point of contact 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 updated Date Picker and Check all the apply 08/20/2018

<table>
<thead>
<tr>
<th>Agency Name</th>
<th>Point of Contact</th>
<th>Street Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>City</td>
<td>Zip Code</td>
<td>Office Number</td>
</tr>
<tr>
<td>Fax Number</td>
<td>Email Address</td>
<td>Website</td>
</tr>
</tbody>
</table>

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 the State 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 updated Date Picker and Check all the apply 01/01/2018

<table>
<thead>
<tr>
<th>Agency Name</th>
<th>Executive Director</th>
<th>Street Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>City</td>
<td>State</td>
<td>Zip Code</td>
</tr>
<tr>
<td>Office Number</td>
<td>Fax Number</td>
<td>Email Address</td>
</tr>
<tr>
<td>Website</td>
<td>RPIC Lead</td>
<td></td>
</tr>
</tbody>
</table>

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. State IN 1.5f. Zip 46202

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

1.5i. Email Address edgerardo@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) |

**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 State Regulation: [http://iga.in.gov/legislative/laws/2016/ic/titles/012/articles/014/chapters/023/]

- Miscellaneous Community Development Programs IC 4-4-33-1 Administration by lieutenant governor Sec. 1. The lieutenant governor shall administer the following:  
  (2) Community services programs, including the Community Services Block Grant under 42 U.S.C. 9001 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.  
  (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.  

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)

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. IHCD A 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 IS10@ and pre-populates the State's Annual Report, Module 1, Item B.1.)

The goals of IHCD A 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. IHCD A spent the previous year researching best practices across the country and plans to compile these best practices for implementation over FY2019 and 2020. Specifically, IHCD A 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, Indiana’s 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, IHCD A continues to improve on past ACSI scores. IHCD A has been and will continue working with the Community Action Agencies on areas of improvement in the state oversight of the funding. IHCD A 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]
- ✔ State Performance Indicators and/or National Performance Indicators (NPIs)
- ✔ U.S. Census data
- ✔ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ✔ Monitoring Visits/Assessments
- ☐ Tools not identified above (specify)

3.3b. Analysis of local-level tools [Check all that apply and narrative where applicable]
- ✔ Eligible entity community needs assessments
- ✔ Eligible entity community action plans
- ✔ Public Hearings/Workshops
- ☐ Tools not identified above (e.g., State required reports) (specify)

3.3c. Consultation with [Check all that apply and narrative where applicable]
- ✔ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ✔ State Association
- ✔ National Association for State Community Services Programs (NASCSP)
- ✔ Community Action Partnership (The Partnership)
- ✔ Community Action Program Legal Services (CAPLAW)
- ✔ CSBG Tribal Training and Technical Assistance (T/T/A) provider
- ✔ Regional Performance Innovation Consortium (RPIC)
- ✔ Association for Nationally Certified ROMA Trainers (ANCRT)
- ✔ Federal CSBG Office
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 (SAM) and may pre-populate the State's annual report form)

IHCDA posted the State Plan on our website so that all CAAAs could make comments and ask questions. In addition a copy of the State Plan was emailed to all 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 CAAAs requested more communication and input from the CAAAs on such items as the Annual Plan. We believe giving CAAAs 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 CAAAs 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 Adjustments: 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 (SAM) and may 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 IHCDA 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:

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>68</td>
<td>80</td>
</tr>
</tbody>
</table>

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 (SAM) and may pre-populate the State's annual report form)
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(c)(2) of the Act.

The plan was posted on the IHICDA website and a copy placed at the IHICDA front desk 2 weeks prior (7/23/2018) to the Public Hearing on 8/6/2018. Additionally, a link to the State Plan draft was sent to IHICDA'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 under Section 676(a)(2)(B) of the CSBG Act.

The Public Notice was posted on IHICDA'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 the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Type of Hearing</th>
<th>If a combined hearing was held. confirm that the public was invited</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/03/2018</td>
<td>Indiana Housing Community Development and Authority</td>
<td>Public</td>
<td>✔️</td>
</tr>
</tbody>
</table>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
### Section 5: CSBG Eligible Entities

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

**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 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

<table>
<thead>
<tr>
<th>#</th>
<th>CSBG Eligible Entity</th>
<th>Geographical Area Served by county</th>
<th>Public or Nonprofit</th>
<th>Type of Entity [choose all that apply]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Area IV Agency on Aging and Community Programs, Inc.</td>
<td>Carroll, Clinton, Tippecanoe, White</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>2</td>
<td>Area Five Agency on Aging and Community Services, Inc.</td>
<td>Cass, Howard, Miami, Tipton, Wabash</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>3</td>
<td>Community Action of Greater Indianapolis, Inc.</td>
<td>Boone, Hamilton, Hendricks, Marion</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>4</td>
<td>Community Action of Northeast Indiana, Inc.</td>
<td>Allen, DeKalb, LaGrange, Noble, Steuben, White</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>5</td>
<td>Community Action Program of Evansville and Vanderburgh County, Inc.</td>
<td>Gibson, Posey, Vanderburg</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>6</td>
<td>Community Action of Southern Indiana, Inc.</td>
<td>Clark, Floyd, Harrison</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>7</td>
<td>Community and Family Services, Inc.</td>
<td>Adams, Blackford, Huntington, Jay, Randolph, Wells</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>8</td>
<td>Community Action Program, Inc. of Western Indiana</td>
<td>Benton, Fountain, Montgomery, Parke, Vermillion, Warren</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>9</td>
<td>Human Services, Inc.</td>
<td>Bartholomew, Decatur, Jackson, Johnson, Shelby</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>10</td>
<td>Hoosier Uplands Economic Development Corp.</td>
<td>Lawrence, Martin, Orange, Washington</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>11</td>
<td>Interlocal Community Action Program, Inc.</td>
<td>Delaware, Fayette, Hancock, Henry, Rush, Wayne</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>12</td>
<td>Job Source - Central Indiana Community Action Program</td>
<td>Grant, Madison</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>13</td>
<td>Lincoln Hills Development Corporation</td>
<td>Crawford, Perry, Spencer</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>14</td>
<td>North Central Community Action Agencies, Inc.</td>
<td>LaPorte, Pulaski, Starke</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>15</td>
<td>Northwest Indiana Community Action Corp.</td>
<td>Jasper, Lake, Newton, Porter</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>16</td>
<td>Ohio Valley Opportunities Inc.</td>
<td>Jefferson, Jennings, Scott</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>18</td>
<td>REAL Services, Inc.</td>
<td>Elkhart, Fulton, Kosciusko, Marshall, St. Joseph</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>19</td>
<td>South Central Community Action Program, Inc.</td>
<td>Brown, Monroe, Morgan, Owen</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>20</td>
<td>Southeastern Indiana Economic Opportunity Corp.</td>
<td>Dearborn, Franklin, Ohio, Ripley, Switzerland, Union</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>21</td>
<td>Dubois-Pike-Warrick Economic Opportunity</td>
<td>Dubois, Pike, Warrick</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
<tr>
<td>22</td>
<td>Western Indiana Community Action Agency, Inc.</td>
<td>Clay, Putnam, Vigo</td>
<td>Non-Profit</td>
<td>Community Action Agency</td>
</tr>
</tbody>
</table>

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
☒ No Changes to Eligible Entities List

5.3a Designation and Re-Designation: Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Type</th>
<th>Start Date</th>
<th>Geographical Area Served</th>
<th>Delete</th>
</tr>
</thead>
</table>

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).

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Reason</th>
<th>Delete</th>
</tr>
</thead>
</table>

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.

<table>
<thead>
<tr>
<th>Original CSBG Eligible Entities</th>
<th>Surviving CSBG Eligible Entity</th>
<th>New Name (as applicable)</th>
<th>DUNS No.</th>
<th>Delete</th>
</tr>
</thead>
</table>


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)

SECTION 6
Organizational Standards for Eligible Entities

Note: Reference IM 138, State Establishment of Organizational Standards for CSBG Eligible Entities, for more information on Organizational Standards. Click HERE for IM 138.

6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period

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

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

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

6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards:
1) provide any changes from the last set provided during the previous State Plan submission;
2) describe the reasons for using alternative standards; and
3) describe how they are at least as rigorous as the COE-developed standards

☐ There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

6.2 Implementation: Check the box that best describes how the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State’s administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

☐ Regulation
☐ Policy
☐ Contracts with eligible entities
☐ Other, describe:

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

☐ Peer-to-peer review (with validation by the State or State-authorized third party)
☐ Self-assessment (with validation by the State or State-authorized third party)
☐ Self-assessment/peer review with State risk analysis
☐ State-authorized third party validation
☐ Regular, on-site CSBG monitoring
☐ Other

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

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 IHICDA 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, IHICDA 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 CAA 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 IHCD monitor will send a reminder email or call to the CAA Executive Director. IHCD makes every effort to work with CAA's 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 submissions 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 IHCD conducts a risk assessment of each CAA. No peer review is conducted however, unless opt 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

<table>
<thead>
<tr>
<th>CSRG Eligible Entity</th>
<th>Description / Justification</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Year One</th>
<th>95%</th>
<th>Year Two</th>
<th>95%</th>
</tr>
</thead>
</table>

*Note: Item 6.5 is associated with State Accountability Measures 65a and prepulate the Annual report, Module I, Table D.2.*
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.
Indiana’s formula begins with a base amount of $50,000 per agency. A Parental base ($15,712.00) 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. Status: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? ☐ Yes ☑ No

7.2. Planned Allocation:
Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than 90 percent funds" as described under Section 675C(a) of the CSBG Act.
In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

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

<table>
<thead>
<tr>
<th>Year One</th>
<th>90.00%</th>
<th>Year Two</th>
<th>90.00%</th>
</tr>
</thead>
</table>

**Planned CSBG 90 Percent Funds**

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Year One Funding Amount $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area IV Agency on Aging and Community Programs, Inc.</td>
<td>$418,038</td>
</tr>
<tr>
<td>Area Five Agency on Aging and Community Services, Inc.</td>
<td>$344,290</td>
</tr>
<tr>
<td>Community Action of Greater Indianapolis, Inc.</td>
<td>$1,351,614</td>
</tr>
<tr>
<td>Community Action of Northeast Indiana, Inc.</td>
<td>$674,121</td>
</tr>
<tr>
<td>Community Action Program of Evansville and Vanderburgh County, Inc.</td>
<td>$362,260</td>
</tr>
<tr>
<td>Community Action of Southern Indiana, Inc.</td>
<td>$292,409</td>
</tr>
<tr>
<td>Community and Family Services, Inc.</td>
<td>$291,018</td>
</tr>
<tr>
<td>Community Action Program, Inc. of Western Indiana</td>
<td>$347,723</td>
</tr>
<tr>
<td>Human Services, Inc.</td>
<td>$296,014</td>
</tr>
<tr>
<td>Hoosier Uplands Economic Development Corp.</td>
<td>$394,495</td>
</tr>
<tr>
<td>Interlocal Community Action Program, Inc.</td>
<td>$264,897</td>
</tr>
<tr>
<td>Job Source - Central Indiana Community Action Program</td>
<td>$354,277</td>
</tr>
<tr>
<td>Lincoln Hills Development Corporation</td>
<td>$164,645</td>
</tr>
<tr>
<td>North Central Community Action Agencies, Inc.</td>
<td>$257,019</td>
</tr>
<tr>
<td>Northwest Indiana Community Action Corp.</td>
<td>$845,138</td>
</tr>
<tr>
<td>Ohio Valley Opportunities Inc.</td>
<td>$2,083,390</td>
</tr>
<tr>
<td>PACE Community Action Agency, Inc.</td>
<td>$275,797</td>
</tr>
<tr>
<td>REAL Services, Inc.</td>
<td>$7,381,790</td>
</tr>
<tr>
<td>South Central Community Action Program, Inc.</td>
<td>$411,961</td>
</tr>
<tr>
<td>CSBG Eligible Entity Year Two</td>
<td>Year Two Funding Amount $</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>Area IY Agency on Aging and Community Programs, Inc.</td>
<td>$418,038</td>
</tr>
<tr>
<td>Area Five Agency on Aging and Community Services, Inc.</td>
<td>$344,290</td>
</tr>
<tr>
<td>Community Action of Greater Indianapolis, Inc.</td>
<td>$1,351,614</td>
</tr>
<tr>
<td>Community Action of Northeast Indiana, Inc.</td>
<td>$674,121</td>
</tr>
<tr>
<td>Community Action Program of Evansville and Vanderburgh County, Inc.</td>
<td>$336,226</td>
</tr>
<tr>
<td>Community Action of Southern Indiana, Inc.</td>
<td>$292,409</td>
</tr>
<tr>
<td>Community and Family Services, Inc.</td>
<td>$291,018</td>
</tr>
<tr>
<td>Community Action Program, Inc. c/o Western Indiana</td>
<td>$347,723</td>
</tr>
<tr>
<td>Human Services, Inc.</td>
<td>$296,014</td>
</tr>
<tr>
<td>Hoosier Uplands Economic Development Corp.</td>
<td>$394,495</td>
</tr>
<tr>
<td>Interlocal Community Action Program, Inc.</td>
<td>$264,897</td>
</tr>
<tr>
<td>Job Source - Central Indiana Community Action Program</td>
<td>$534,277</td>
</tr>
<tr>
<td>Lincoln Hills Development Corporation</td>
<td>$164,645</td>
</tr>
<tr>
<td>North Central Community Action Agencies, Inc.</td>
<td>$257,019</td>
</tr>
<tr>
<td>Northwest Indiana Community Action Corp.</td>
<td>$845,138</td>
</tr>
<tr>
<td>Ohio Valley Opportunities Inc.</td>
<td>$208,339</td>
</tr>
<tr>
<td>PACE Community Action Agency, Inc.</td>
<td>$275,797</td>
</tr>
<tr>
<td>REAL Services, Inc.</td>
<td>$738,179</td>
</tr>
<tr>
<td>South Central Community Action Program, Inc.</td>
<td>$411,961</td>
</tr>
<tr>
<td>Southeastern Indiana Economic Opportunity Corp.</td>
<td>$279,157</td>
</tr>
<tr>
<td>Dubois-Pike-Warrick Economic Opportunity</td>
<td>$183,186</td>
</tr>
<tr>
<td>Western Indiana Community Action Agency, Inc.</td>
<td>$305,350</td>
</tr>
<tr>
<td>Total</td>
<td>$9,213,893</td>
</tr>
</tbody>
</table>

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: CAs Allocation 90%; IHCDA Admin 5%; CSBG-D Training Technical and Special Projects 5%. Total 100%. Step 1 (2 days): Total Allocation Received DHHS Minus 5 percent for State Discretionary Funds; Minus 5 percent for State Discretionary Funds. Step 2 (3 days): Allocate 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 25a 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 25b 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 agency’s 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.
### 7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.

<table>
<thead>
<tr>
<th>Year One (0.00%)</th>
<th>Year Two (0.00%)</th>
<th>5.00%</th>
</tr>
</thead>
</table>

### 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.

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.00</td>
<td>5.00</td>
</tr>
</tbody>
</table>

### 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.

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.00</td>
<td>1.00</td>
</tr>
</tbody>
</table>

### 7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act?

- [ ] Yes
- [x] No

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

<table>
<thead>
<tr>
<th>Year One (0.00%)</th>
<th>Year Two (0.00%)</th>
<th>5.00%</th>
</tr>
</thead>
</table>

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

**Note:** This response will link to the corresponding assurance, 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 35a and pre-populates the annual report Module 1, Table E.7.

### Remainder/Discretionary Fund Uses

<table>
<thead>
<tr>
<th>Remainder/Discretionary Fund Uses</th>
<th>Year One Planned $</th>
<th>Brief description of services/activities and/or activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9a. Training/technical assistance to eligible entities</td>
<td>$200,000.00</td>
<td>These planned services/activities will be described in State Plan Item 8.1.</td>
</tr>
<tr>
<td>7.9b. Coordination of State-operated programs and/or local programs</td>
<td>$0.00</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication.</td>
</tr>
<tr>
<td>7.9c. Statewide coordination and communication among eligible entities</td>
<td>$0.00</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication.</td>
</tr>
<tr>
<td>7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>7.9e. Asset-building programs</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>7.9f. Innovative programs/activities by eligible entities or other neighborhood groups</td>
<td>$150,000.00</td>
<td>Request for Proposal will be released for Innovative ideas to improve the lives of citizens in poverty.</td>
</tr>
<tr>
<td>7.9g. State charity tax credits</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>7.9h. Other activities, specify in column 3</td>
<td>$50,000.00</td>
<td>Indiana may be inventing in research into innovative solutions to decrease poverty.</td>
</tr>
</tbody>
</table>

**Total** $400,000.00

### Remainder/Discretionary Fund Uses

<table>
<thead>
<tr>
<th>Remainder/Discretionary Fund Uses</th>
<th>Year Two Planned $</th>
<th>Brief description of services/activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9a. Training/technical assistance to eligible entities</td>
<td>$200,000.00</td>
<td>These planned services/activities will be described in State Plan Item 8.1.</td>
</tr>
<tr>
<td>7.9b. Coordination of State-operated programs and/or local programs</td>
<td>$0.00</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication.</td>
</tr>
<tr>
<td>7.9c. Statewide coordination and communication among eligible entities</td>
<td>$0.00</td>
<td>These planned services/activities will be described in State Plan Section 9, State Linkages and Communication.</td>
</tr>
<tr>
<td>7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>7.9e. Asset-building programs</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>7.9f. Innovative programs/activities by eligible entities or other neighborhood groups</td>
<td>$150,000.00</td>
<td>Request for Proposal will be released for Innovative ideas to improve the lives of citizens in poverty.</td>
</tr>
<tr>
<td>7.9g. State charity tax credits</td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>
7.9.b. Other activities, specify in column 3

<table>
<thead>
<tr>
<th>Activity</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$50,000.00</td>
</tr>
</tbody>
</table>

**Total** $400,000.00

Indiana will be investing in research into innovative solutions to decrease poverty.

7.10. Remainder/Discretionary Funds 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)
- [ ] The state partially carries out some activities
- [ ] CSBG eligible entities (if checked, indicate the expected number of CSBG eligible entities to receive funds) 3
- [ ] Other community-based organizations
- [ ] State Community Action association
- [ ] Regional CSBG technical assistance provider(s)
- [ ] National technical assistance provider(s)
- [ ] Individual consultant(s)
- [ ] Tribes and Tribal Organizations
- [ ] Other

Note: This response will link to the corresponding CSBG assurance, Item 14.13.

7.11. Performance Management Adjustment:
Describe any adjustments the State making 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 35b, 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 CAA's 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)

### 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. Remaining/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remaining/discretionary funds.)

Note: This information is associated with State Accountability Measure 35C and pre-populates the Annual Report, Module 1, Table F.1.

### Training and Technical Assistance - Year One

<table>
<thead>
<tr>
<th>Planned Timeframe</th>
<th>Training, Technical Assistance, or Both</th>
<th>Topic</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 FY1-Q2</td>
<td>Training</td>
<td></td>
<td>Communication</td>
</tr>
<tr>
<td>2 FY1-Q2</td>
<td>Training</td>
<td>Other</td>
<td>Customer Service- Working with Difficult Clients</td>
</tr>
<tr>
<td>3 FY1-Q3</td>
<td>Training</td>
<td></td>
<td>Organizational Standards - General</td>
</tr>
<tr>
<td>4 FY1-Q3</td>
<td>Training</td>
<td></td>
<td>Communication</td>
</tr>
<tr>
<td>5 FY1-Q1</td>
<td>Training</td>
<td>Fiscal</td>
<td>Generating Unrestricted Funds</td>
</tr>
<tr>
<td>6 FY1-Q1</td>
<td>Training</td>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

### Training and Technical Assistance - Year Two

<table>
<thead>
<tr>
<th>Planned Timeframe</th>
<th>Training, Technical Assistance, or Both</th>
<th>Topic</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>All quarters</td>
<td>Both</td>
<td>Other</td>
<td>Likely a combination of those topics listed</td>
</tr>
</tbody>
</table>

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

| 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 HICDA, 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? 

Note: This information is associated with State Accountability Measure 35B. QIPs are described in Section 620C(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. HICDA 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.)

- [ ] CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- [ ] Other community-based organizations
- [ ] State Community Action association
- [ ] Regional CSBG technical assistance provider(s)
- [ ] National technical assistance provider(s)
- [ ] Individual consultant(s)
- [ ] Tribes and Tribal Organizations
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 35, may 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 IHCD'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, IHCD 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 IHCD.
Section 9: State Linkages and Communication

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]

- [ ] 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
- [ ] 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 anti-poverty 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 Sections Sections 676(b)(5) - (6)

Note: This response will link to the corresponding CSBG assurance, Item 14.5., 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, CAAAs have been able to coordinate services and resources in the community. Additionally, the public and private sector representatives on the CAAAs 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. IHCDAs has made efforts in connecting CAAAs with regional partners including workforce development and health care services. IHCDAs 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. IHCDAs 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.3a.

In addition to addressing family goals through direct and survey questions, a handful of CAAAs 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
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)(9) of the CSBG Act)?

- [ ] Yes
- [x] No

Note: This response will link to the corresponding CSBG assurance, Item 145.

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 the state and the eligible entities that 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 anti-poverty 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. IHICDA is available to the Community Action Agencies for assistance in these negotiations.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will ensure, 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 145.

IHICDA 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, Casartelig 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)(c) of the CSBG Act.

Note: This response will link to the corresponding assurance, Item 145.

Indiana CAAAs commonly work with various religious organizations, charitable groups and community organizations. The CAAAs submit a Sub-grantee Plan Packet (Annual Plan) that annually emphasizes the importance of building partnerships and linkages in the community to best serve clientele. CAAAs are required to respond to 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 145.

The State of Indiana's fiscal control automatically obligates 90% of CSBG funds to CAAAs 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 CAAAs in the State of Indiana are members of the Indiana Community Action Association (INCAA). INCAA, who is contracted through IHICDA, provides technical assistance, training, service delivery models and resources to help CAAAs increase network capacity.

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

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 or the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

<table>
<thead>
<tr>
<th>Communication Plan</th>
<th>Subject Matter</th>
<th>Expected Frequency</th>
<th>Format</th>
<th>Brief description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Upcoming Public and/or Legislative Hearings</td>
<td>Biannually</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>State Plan Development</td>
<td>Annually</td>
<td>Email</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Organizational Standards Progress</td>
<td>Biannually</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>State Accountability Measures Progress</td>
<td>Biannually</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Community Needs Assessments/Community Action Plans</td>
<td>Triennial</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>State Monitoring Plans and Policies</td>
<td>Annually</td>
<td>Website</td>
<td></td>
</tr>
</tbody>
</table>

These are evaluated each year based on responses and
<table>
<thead>
<tr>
<th>Training and Technical Assistance (T/TA) Plans</th>
<th>Annually</th>
<th>Other</th>
<th>assessments done throughout the Community Action network.</th>
</tr>
</thead>
<tbody>
<tr>
<td>ROMA and Performance Management</td>
<td>Annually</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td>State Interagency Coordination</td>
<td>Annually</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
<tr>
<td>CSBG Legislative/Programmatic Updates</td>
<td>Annually</td>
<td>Email</td>
<td></td>
</tr>
<tr>
<td>Tripartite Board Requirements</td>
<td>Annually</td>
<td>Email</td>
<td></td>
</tr>
<tr>
<td><strong>Topic</strong></td>
<td><strong>Expected Frequency</strong></td>
<td><strong>Format</strong></td>
<td><strong>Brief Description of “Other”</strong></td>
</tr>
<tr>
<td>1 Upcoming Public and/or Legislative Hearings</td>
<td>As needed</td>
<td>Meetings/Presentation</td>
<td></td>
</tr>
</tbody>
</table>

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 Measures (SSBB), and will pre-populate the Annual Report, Module 1, Item C.4.*

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 (SSBB), 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 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)

**SECTION 10**  
State Use of Funds

Monitoring, Corrective Action and Fiscal Controls  
(Section 678B(e) 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 4SN15; this response pre-populates the Annual Report, Module 1, Table II.1.*

<table>
<thead>
<tr>
<th>CSBG Eligible Entity</th>
<th>Monitoring Type</th>
<th>Review Type</th>
<th>Target Quarter</th>
<th>Start Date of Last Full Onsite Review</th>
<th>End Date of Last Full Onsite Review</th>
<th>Brief Description of &quot;Other&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Area IV Agency on Aging and Community Programs, Inc.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q2</td>
<td>06/07/2017</td>
<td>06/09/2017</td>
<td></td>
</tr>
<tr>
<td>2 Area Five Agency on Aging and Community Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Community Action of Greater Indianapolis, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Community Action of Northeast Indiana, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Community Action of Southern Indiana, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Community and Family Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Community Action Program, Inc. of Western Indiana</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Human Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Hoosier Uplands Economic Development Corp.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q3</td>
<td>05/17/2016</td>
<td>05/19/2016</td>
<td></td>
</tr>
<tr>
<td>11 Interlocal Community Action Program, Inc.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q1</td>
<td>11/17/2015</td>
<td>11/19/2015</td>
<td></td>
</tr>
<tr>
<td>12 Job Source - Central Indiana Community Action Program</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q1</td>
<td>10/25/2017</td>
<td>10/27/2017</td>
<td></td>
</tr>
<tr>
<td>13 Lincoln Hills Development Corporation</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q3</td>
<td>10/04/2016</td>
<td>10/06/2016</td>
<td></td>
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<tr>
<td>15 Northwest Indiana Community Action Corp.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q4</td>
<td>08/16/2016</td>
<td>08/18/2016</td>
<td></td>
</tr>
<tr>
<td>16 Ohio Valley Opportunities Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17 PACE Community Action Agency, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18 REAL Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19 South Central Community Action Program, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20 Southeastern Indiana Economic Opportunity Corp.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21 Dubois-Pike-Warrick Economic Opportunity</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY1 Q1</td>
<td>10/05/2015</td>
<td>10/17/2017</td>
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<tr>
<td>22 Western Indiana Community Action Agency, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY1 Q4</td>
<td></td>
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<tr>
<td>CSBG Eligible Entity</td>
<td>Monitoring Type</td>
<td>Review Type</td>
<td>Target Quarter</td>
<td>Start Date of Last Full Onsite Review</td>
<td>End Date of Last Full Onsite Review</td>
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<td>--------------------------------------------------------------</td>
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<td></td>
</tr>
<tr>
<td>Area IV Agency on Aging and Community Programs, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Area Five Agency on Aging and Community Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Action of Greater Indianapolis, Inc.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY2 Q1</td>
<td>05/09/2018</td>
<td>05/11/2018</td>
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</tr>
<tr>
<td>Community Action of Northeast Indiana</td>
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<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Action Program of Evansville and Vanderburgh County, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
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<tr>
<td>Community Action of Southern Indiana</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY2 Q1</td>
<td>04/03/2018</td>
<td>04/05/2018</td>
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<td>Community and Family Services, Inc.</td>
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<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
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<td>Community Action Program, Inc. of Western Indiana</td>
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<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hoosier Uplands Economic Development Corp.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
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<td>FY2 Q4</td>
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<tr>
<td>Job Source - Central Indiana Community Action Program</td>
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<td>Desk Review</td>
<td>FY2 Q4</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Lincoln Hills Development Corporation</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>North Central Community Action Agencies, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Northwest Indiana Community Action Corp.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ohio Valley Opportunities Inc.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY2 Q1</td>
<td>09/13/2016</td>
<td>09/15/2016</td>
<td></td>
</tr>
<tr>
<td>PACE Community Action Agency, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>REAL Services, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>South Central Community Action Program, Inc.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Southeastern Indiana Economic Opportunity Corp.</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dubois-Pike-Warrick Economic Opportunity</td>
<td>No review</td>
<td>Desk Review</td>
<td>FY2 Q4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Western Indiana Community Action Agency, Inc.</td>
<td>Full On-site</td>
<td>Onsite Review</td>
<td>FY2 Q1</td>
<td>04/26/2016</td>
<td>04/28/2016</td>
<td></td>
</tr>
</tbody>
</table>

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/HCDA_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 45(a) and may pre-populate the State's annual report form.

30

Corrective Action, Termination and Reduction of Funding and Assurance Requirements
(Section 676C 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 State procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

N/A

10.5. Quality Improvement Plan (QIPs):
Provide the number of eligible entities currently on QIPs, if applicable.
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 proportionate 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 678(c)(b)" per Section 676(b)(8). 6 Yes 1 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? 6 Yes 1 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? 6 Yes 1 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 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 IM16.

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? 6 Yes 1 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 the 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 56.30(a).

Indiana Housing and Community Development Authority has fiscal control and accounting procedures necessary to assure the proper disbursement 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 comptroller's 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 are 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 75.821.

Note: This information is associated with State Accountability Measure 45d.

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(1)(7) of the CSBG Act. 6 Yes 1 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 42b 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 CAAAs requested more communication and input from the CAAAs 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 | Form Approved |
| Administration for Children and Families | OMB No: 0970-0362 |
| Community Services Block Grant (CSBG) | Expires: 06/30/2021 |

**SECTION 11**
State Use of Funds

<table>
<thead>
<tr>
<th>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 676(b)(2) of the CSBG Act (Check all that apply and narrative where applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Attend Board meetings</td>
</tr>
<tr>
<td>☑ Organizational Standards Assessment</td>
</tr>
<tr>
<td>☑ Monitoring</td>
</tr>
<tr>
<td>☑ Review copies of Board meeting minutes</td>
</tr>
<tr>
<td>☑ Track Board vacancies/composition</td>
</tr>
<tr>
<td>☐ Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>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)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annually</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>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</th>
</tr>
</thead>
<tbody>
<tr>
<td>Note: This response will link with the corresponding assurance, Item 14J.</td>
</tr>
</tbody>
</table>

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 plan. 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 676(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. |

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### 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)

**SECTION 12**
Individual and Community Income Eligibility Requirements

<table>
<thead>
<tr>
<th>12.1. Required Income Eligibility:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the income eligibility threshold for services in the state.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>12.1a. Income Eligibility Policy and Procedures:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>12.2. Income Eligibility for General/Short-Term Services:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe how the state ensures eligible entities generally verify income eligibility for those services with limited intake procedures (where individual income verification is not possible or practical), An example of these services is emergency food assistance.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>12.3. Community-targeted Services:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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).</td>
</tr>
</tbody>
</table>

Annual plans must reflect that each CAA has a presence in low-income communities; secondly CAA's 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 CAA's annual reports and newsletter which reflect how they are serving and reaching the low-income community. During the CAR monitoring visit, IHCDA requests CAA's 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: 0970-0362
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 1.1.*

The Results Oriented Management and Accountability (ROMA) System

Section 678E(b) of the CSBG Act

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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 NPIs. 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 NPIs. 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.*

- [ ] 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 IHCCA uses Community Services Block Grant Discretionary Funds to train ROMA trainers. Indiana has a total of 7 ROMA trainers. IHCCA 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 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 IHCCA 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.

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**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 IHCCA Community Analyst reviews all Grantee Plan Packets to check for programmatic and technical compliance. After completing the analysis, the IHCCA Community Analyst will send the CAA a letter informing them when the review and approval of their plan has been completed. CAAs’ budget review is 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 IIICDA 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 2015 and is currently under review. It will be provided to CAA’s during the 2018 Calendar year. During 2017 and 2018 IIICDA will commission the next Community Needs Assessment and data collection will occur, and in 2018 the new assessment will be provided to CAA’s. 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

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. IHCDPA monitors claims when CAAAs submit expenses for reimbursement. CAAAs are required to submit an Annual Plan in their Sub-grantees Plan Packet, and return a budget with the signed grant agreement. IHCDPA reviews claims for reimbursement including associated supportive documentation. The Annual Report data submissions are 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.
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 these assurances under "State Use of Funds: Remaining/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 fellowship consultations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.1b.

In addition to addressing family goals through direct and survey questions, a handful of CAAfs utilize a Family Development Matrix. The Family Development Matrix is a part of a "family Development Program 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 IHCDCA 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 CAAfs 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 remaining/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.18.

IHCDCA 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."

IHCDCA requires CAAfs to connect actors with resources and allow CAAfs to use CSBG funds to supplement these efforts. IHCDCA 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. CAAAs 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.
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.
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 workplace 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]
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 any 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.

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**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.

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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.