

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: Kansas Housing Resources

Report Name: Model State Plan(CSBG) Revision # 2

Report Period: 10/01/2016 to 09/30/2017

Report Status: Submission Accepted by CO (Revision #2)

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CSBG Cover Page (SF-424M)

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

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

COVER PAGE

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

* a. Legal Name: Kansas Housing Resources Corporation			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 710950729		* c. Organizational DUNS: 137043662	
* d. Address:			
* Street 1:	611 S. Kansas Ave.	* Street 2:	
* City:	Topeka	* County:	SHAWNEE
* State:	KS	* Province:	
* Country:	United States	* Zip / Postal Code:	66603 -

e. Organizational Unit:	
Department Name:	Division Name: Housing With Supportive Services

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

Prefix:	* First Name: Douglas	Middle Name: D	* Last Name: Wallace
Suffix:	Title: CSBG Program Manager	Organizational Affiliation:	
* Telephone Number: (785) 217-2044	Fax Number:	* Email: dwallace@kshousingcorp.org	

* 8a. TYPE OF APPLICANT: A: State Government
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b. Additional Description:

* 9. Name of Federal Agency:

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

11. Descriptive Title of Applicant's Project By formula, Kansas Community Services Block Grant funds are sublet to Community Services Block Grant-eligible entities for use in locally developed programming and activities designed to mitigate the causes and conditions of poverty.
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12. Areas Affected by Funding: Kansas


13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 02	b. Program/Project:
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Attach an additional list of Program/Project Congressional Districts if needed.

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

* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?

a. This submission was made available to the State under the Executive Order 12372	
Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation: To the best of our knowledge.	
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 <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official 	18e. Date Report Submitted (Month, Day, Year) 11/17/2016
Attach supporting documents as specified in agency instructions.	

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

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

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SECTION 1

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

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency	Kansas Housing Resources Corporation		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
<p>Other, describe State Housing Agency. The designated lead agency for CSBG in Kansas is the Kansas Housing Resources Corporation (KHRC). KHRC is a subsidiary corporation of the Kansas Development Finance Authority (KDFA). The President of KDFA is Timothy M. Shallenburger; Dennis L. Mesa is the KHRC Executive Director. Letters of designation have been supplied as an OLDC attachment. Administration of the Kansas CSBG was officially assigned to the Kansas Department of Social and Rehabilitation Services in the 1980s. A series of administrative moves resulted in transfer of CSBG responsibilities, along with the Weatherization Assistance Program, to the Kansas Department of Commerce and Housing. In 2003, the Kansas Department of Commerce became a stand-alone public agency. Executive Reorganization Order #30 created KHRC. Housing Division programs, including CSBG, were then transferred from the Department of Commerce to KHRC.</p>			
1.1c. Division, bureau, or office of the CSBG authorized official	Executive Director		
1.1d. Authorized official of lead agency	Dennis L. Mesa		
1.1e. Street Address	611 S. Kansas Ave.		
1.1f. City	Topeka	1.1g. State KS	1.1h. Zip 66603
1.1i. Telephone number and extension (785) 217 - 2001 ext.	1.1j. Fax number: (785) 232 - 8084		
1.1k. Email address dmesa@kshousingcorp.org	1.1l. Lead agency website www.kshousingcorp.org		
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Kansas Housing Resources Corporation		
1.2b. Name of the point of contact	Douglas Wallace		
1.2c. Street address	611 S. Kansas Ave.		
1.2d. City	Topeka	1.2e. State KS	1.2f. Zip 66603
1.2g. Point of contact telephone number (785) 217 - 2044 ext.	1.2h. Fax number (785) 232 - 8084		
1.2i. Point of contact email address dwallace@kshousingcorp.org	1.2j. Point of contact agency website www.kshousingcorp.org		
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

2.3. If yes was selected in item 2.1 and/or 2.2, *attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.*

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No

2.4b. Did the State establish or amend regulations for CSBG last year? Yes No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? 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)**

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

Kansas Housing Resources Corporation (KHRC) is a self-supporting, public corporation which serves as the primary administrator of Federal housing programs for the State of Kansas. Our mission is to increase the availability of affordable, decent and accessible housing for lower-income Kansans. To achieve our goal, KHRC collaborates with many partners across the state, including lenders, developers, builders, real estate agents, service providers, homeless advocates, non-profit organizations and government agencies.

3.2. State Plan Goals:

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

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

1. The Kansas CSBG Program elicits positive changes in the lives of low-income Kansans throughout the State. 2. The Kansas Housing Resources Corporation (KHRC) allocates 90% of the CSBG funds to CSBG eligible entities. 3. KHRC allocates 5% of the CSBG funds to discretionary projects that meet the intent of the CSBG legislation. 4. KHRC awards CSBG funds to high performing organizations that produce quality work. 5. KHRC delineates expectations and supports CSBG-eligible entities to perform at a high level. 6. Training and technical assistance will be made available in order to help eligible entities establish and maintain high performing programs. 7. KHRC will monitor the CSBG eligible entities to ensure sound grants management and program practices that comply with the CSBG Organizational Standards. 8. Technology supports the work of each CSBG-eligible entity. Meaningful data is collected and guides continuous improvement and effective practice. 9. KHRC supports those seeking the CCAP credential and ROMA certification. 10. KHRC carries out its obligation to provide oversight that is meaningful to eligible entities, meets the requirements of the Federal funder and provides Congress with an assurance that CSBG funds impact the causes and effects of poverty. 11. KHRC's performance as the CSBG State agency, as reported using the American Customer Satisfaction Index (ACSI), will improve. 12. KHRC will solicit the input and involvement of the Kansas community action agencies in the development of the CSBG State Plan. 13. KHRC will be transparent in the distribution of CSBG discretionary funds. 14. KHRC will coordinate the delivery of effective training to help promote high performing community action agencies. 15. KHRC, in partnership with the Kansas Association of Community Action Programs (KACAP), will develop and maintain effective linkages at the state level to ensure increased access and resource acquisition for CSBG Eligible Entities and their customers.

3.3. State Plan Development:

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

3.3a. Analysis of [Check all that apply and 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)



Other data [describe] KHRC has conducted on-site monitoring visits with all eight Community Action agencies in Kansas to assess their compliance toward the Organizational Standards



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

Anecdotal information gleaned from various interactions with members of the Kansas CSBG network.

3.3b. Consultation with [Check all that apply and narrative where applicable]



Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe) Workforce Services, Kansas Department of Commerce. See Item 9.4b.



National organizations(describe) Information gathered during the Kansas Performance Management Summit. Attendees for the summit included staff from KHRC, KACAP, Community Action Agencies, Community Action Partnership, NASCSP, and OCS



Federal Office of Community Services



Other(describe)

3.4. Eligible Entity Involvement

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

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

KHRC gathered information for the FFY2017 State Plan during the following activities: 1) Throughout the year, KHRC staff, including the Director of Housing with Supportive Services, CSBG Program Manager and the CSBG ROMA Coordinator, attend the KACAP Board of Director meetings to gather information from the Community Action Network and to provide updates and announcements about the CSBG Program. 2) Kansas Housing Resources Corporation(KHRC) and the Kansas Association of Community Action Programs (KACAP) has a monthly collaboration meeting to discuss the training and technical assistance needs of the Community Action Network. 3) A Kansas Performance Management Summit was held on July 19, 2016 with the Kansas Community Action Agencies. This event included staff and Board

members from each of the Kansas Community Action Agencies, KACAP, KHRC and representatives from each of the three national partners; Office of Community Services, NASCSP, and Community Action Partnership. The goals for the Performance Management Summit were to create an opportunity for each community action agency to develop their own performance management action plan and for the state to develop a statewide performance management action plan. 4) The CSBG Program Manager solicited input on the development of the CSBG State plan via email communication with the Community Action Network. 5) Community Action agencies were given an opportunity to provide input on the state plan during the exit meetings of the on-site monitoring reviews conducted between June-August, 2016. 6) KHRC scheduled two public hearings to develop the FY2017 CSBG Model State Plan. A preliminary public meeting scheduled on August 2, 2016 at the Topeka and Shawnee County Public Library. This meeting was intended to allow for an open discussion to give Community Action Agencies an additional opportunity to provide input on the development of the state plan. The preliminary public hearing was held at the Topeka and Shawnee County Public Library and was open to the public. This hearing was scheduled to coincide with the KACAP Board of Directors meeting to maximize participation of the Community Action network. The second and final public hearing was held on August 18, 2016 at the KHRC Office. During this formal public hearing, KHRC presented the final FFY2017 CSBG State Plan to the public for comment.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and**
- 2) to ensure the State Plan reflects input from eligible entities?**

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

As described in section 3.4, Kansas Housing Resources Corporation enhanced efforts to increase the participation of Community Action agencies in the development of the State Plan. The following activities led to increased input from the Community Action network. 1) KHRC and KACAP have monthly collaborative meetings to discuss training/technical assistance needs of the Community Action network. 2) KHRC staff attends the KACAP Board of Directors meetings to provide updates and receive input from the network. 3) KACAP brought in a national consultant to help the state create a statewide theory of change and strategic plan. 4) With support from KHRC, KACAP hosted a Kansas Performance Management Summit with attendees from each of the Kansas Community Action agencies, KHRC, KACAP, OCS, Community Action Partnership and NASCSP. The summit provided a forum to identify Strengths, Weaknesses, Opportunities and Threats at a local level and at a statewide level. 5) Input on the state plan was requested during face-to-face meetings, phone meetings and through email communication. 6) KHRC scheduled a preliminary public hearing with the Community Action network and other attendees to review the draft of the FFY2017 State plan in order to provide input to KHRC prior to the submission of the plan. The preliminary hearing was scheduled to coincide with a KACAP Board of Directors meeting to maximize participation of the Community Action agencies. 7) KHRC scheduled a second public hearing to review the final draft of the FFY2017 State Plan and to receive public comment.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's target for eligible entity Overall Satisfaction during the performance period: 55

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

Section 4: CSBG Hearing Requirements^Â

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

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

A preliminary public hearing for the CSBG Model State Plan was held on August 2, 2016 at 10:00am at the Topeka and Shawnee County Public Library. KHRC coordinated the date, time and location of the public comment hearing with the Kansas Association of Community Action Agencies so that the meeting was held immediately prior to the KACAP Board of Directors meeting to encourage participation of the Community Action Agencies. The purpose of the preliminary public hearing was to gather input from the community action agencies and the public regarding the development of the FFY2017 CSBG State Plan. A save the date notice of the public hearing was sent to the Community Action network on July 8, 2016. Notice of the Preliminary public hearing was published in the Kansas Register (Vol 35_No30_July_28_2016_pages_667-684) on July 28, 2016. A second and final public hearing was held at 2:00 pm on August 18 to present the final FFY2017 CSBG State plan to the public for comment. The CSBG Program Manager alerted the Community Action Agencies of the schedule for the final public comment hearing by email communication on July 28, 2016. KHRC posted notice of the public hearing on the KHRC website and posted a notice of the public hearing in the Kansas Register on August 4th. The purpose of the final public hearing was to gather public comment on the FFY2017 CSBG State Plan prior to submission.

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.

A save the date notice of the preliminary public hearing was emailed to the Community Action network on July 8, 2016. KHRC posted a notice of the preliminary public hearing on the KHRC website on July 19, 2016. A notice of the preliminary public hearing was posted in the Kansas Register on July 28, 2016. The preliminary public hearing was held at the Topeka & Shawnee County Public Library on August 2, 2016 and was open to the public. The CSBG Program Manager notified the Community Action network of the final public comment hearing on July 28, 2016. KHRC posted the notice of the public hearing on the KHRC website on August 9, 2016. A notice of the public hearing was posted in the Kansas Register on August 4, 2016. The date of the final public hearing was August 18, 2016. Comments were received during the preliminary public hearing on August 2nd and during the final public comment hearing held on August 18th. Meeting minutes from the preliminary public hearing on August 2nd, the official transcript of the public hearing on August 18th, as well as the written testimony received by KHRC are attached to this form. In response to the comments received during the public hearings, KHRC adjusted the plan for the use of discretionary funds. The proposed amount of discretionary funds allocated for training and technical assistance was reduced and the amount available for innovative projects was increased. KHRC also continued its commitment to attend the KACAP Affinity group meetings, including the KACAP Board of Directors meeting to sustain a high level of communication between KHRC and the network. The increased communication with the CSBG network will lead to greater coordination with the development of state linkages, more targeted training/technical assistance efforts and greater transparency regarding the use of discretionary funds.

4.3. Public and Legislative Hearings:

Specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing [Select an option]
1	03/15/2016	Senate Ways and Means Committee, Kansas State Capital.	Legislative
2	08/02/2016	Topeka & Shawnee County Public Library	Public
3	08/18/2016	Kansas Housing Resources Corporation, 611 S. Kansas Ave, Topeka, Kansas 66603	Public

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

Statewide Notice - Notice for the August 18, 2016 public hearing: http://www.kssos.org/Pubs/register/2016/Vol_35_No_31_August_4_2016_pages_685-704.pdf Notice for the August 2, 2016 public hearing: http://www.kssos.org/Pubs/register/2016/Vol_35_No_30_July_28_2016_pages_667-684.pdf Public Hearing (Aug. 18, 2016) Transcript - Attached. Public Hearing Written Testimony Received - SEK-CAP - Attached Public Hearing Written Testimony Received - NEK-CAP - Attached. Senate Ways and Means Committee Testimony - Attached.

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

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

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Wichita Sedgwick County Community Action Partnership (WSCCAP), City of Wichita	Public	Local Government Agency	Sedgwick County, Kansas	
2	Southeast Kansas Community Action Program, Inc. (SEK-CAP)	Nonprofit	Community Action Agency (CAA)	Allen, Bourbon, Chautauqua, Cherokee, Crawford, Elk, Labette, Linn, Montgomery, Neosho, Wilson and Woodson counties in Kansas	
3	Economic Opportunity Foundation (EOF)	Nonprofit	Community Action Agency (CAA)	Wyandotte County, Kansas	
4	East Central Kansas Economic Opportunity Corporation (ECKAN)	Nonprofit	Community Action Agency (CAA)	Anderson, Coffey, Douglas, Franklin, Johnson, Lyon, Miami, Osage and Morris counties in Kansas	
5	NEK-CAP, Inc.	Nonprofit	Community Action Agency (CAA)	Atchison, Brown, Doniphan, Jackson, Jefferson, Jewell, Leavenworth, Marshall, Mitchell, Nemaha, Osborne, Pottawatomie, Republic, Riley, Smith and Washington counties in Kansas	
6	Mid-Kansas Community Action Program, Inc.	Nonprofit	Community Action Agency (CAA)	Barber, Butler, Chase, Clark, Comanche, Cowley, Edwards, Greenwood, Harper, Harvey, Kingman, Kiowa, Marion, Pawnee, Pratt, Reno, Rice, Stafford and Sumner counties in Kansas	
7	Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Clay, Cloud, Dickinson, Ellsworth, Geary, Lincoln, McPherson, Ottawa, Russell, Saline, Shawnee and Wabaunsee counties in Kansas	
8	Harvest America Corporation	Nonprofit	Community Action Agency (CAA)	Barton, Cheyenne, Decatur, Ellis, Finney, Ford, Gove, Graham, Grant, Gray, Greeley, Hamilton, Haskell, Hodgeman, Kearney, Lane, Logan, Meade, Morton, Ness, Norton, Phillips, Rawlins, Rooks, Rush, Scott, Seward, Sheridan, Sherman, Stanton, Stevens, Thomas, Trego, Wallace and Wichita counties in Kansas	

5.2 Total number of CSBG eligible entities 8

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

There have not been any changes to the list of eligible entities since the submission of the FFY2016 Model State Plan.

Section 6: Organizational Standards for Eligible Entities

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SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

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

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?[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

6.4a. Describe the assessment process.

During FFY 2016, KHRC conducted on-site monitoring reviews with each eligible entity for the purpose of assessing compliance with CSBG Organizational Standards. The results of the on-site monitoring reviews provided KHRC a baseline for each eligible entity's compliance with the organizational standards. During FFY2017, KHRC will assess each eligible entity's compliance with the Organizational Standards during the CSBG full on-site monitoring reviews conducted annually by the CSBG Program Manager, HWSS Deputy Division Manager/Fiscal Monitor and the CSBG ROMA Coordinator. During these full monitoring reviews, the monitors will assess the eligible entity's compliance with the CSBG Organizational Standards in addition to the items that are already reviewed during the full CSBG monitoring reviews. Section 4100 of the Kansas CSBG Manual of Policies and Procedures (pages 11 - 14) describes in detail the monitoring process, including the process for sharing the results of the monitoring review with the eligible entities. KHRC will engage in discussions with the Kansas Association of Community Action Programs (KACAP) and the KACAP Board of Directors about alternative approaches toward monitoring compliance with the organizational standards for FFY2018 and thereafter. Timeline: June - August, 2016: A baseline review was conducted with all eight Community Action Agencies to determine each agency's compliance with the CSBG Organizational Standards. September, 2016: KHRC issued reports to each eligible entity describing the findings of the on-site reviews. The eligible entities will provide a written response with a plan for meeting the unmet standards within 60 days of the issue date of the report. Planned for FFY2017: KHRC will conduct an on-site review of each eligible entity's compliance with the CSBG Organizational Standards. The reviews will occur during the full on-site CSBG monitoring visits scheduled with the eligible entities. All eight eligible entities in Kansas will receive a monitoring visit during FFY2017. Planned for FFY2017: KHRC will work with KACAP and the KACAP Board of Directors to develop a plan for ongoing reviews of compliance with the CSBG Organizational Standards for FFY2018 and thereafter.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 Yes No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next

year? (Provide as a percentage) 75%

Note: This information is associated with [State Accountability Measures 6Sa](#) and may populate the State's annual report form.

Section 7: State Use of Funds

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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.

Other, describe
See Attachment for Item 7.1.

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? Yes No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Wichita Sedgwick County Community Action Partnership (WSCCAP), City of Wichita	\$0	17.91%	\$0	0.00%
2	Southeast Kansas Community Action Program, Inc. (SEK-CAP)	\$0	8.59%	\$0	0.00%
3	Economic Opportunity Foundation (EOF)	\$0	8.84%	\$0	0.00%
4	East Central Kansas Economic Opportunity Corporation (ECKAN)	\$0	18.21%	\$0	0.00%
5	NEK-CAP, Inc.	\$0	10.29%	\$0	0.00%
6	Mid-Kansas Community Action Program, Inc.	\$0	10.89%	\$0	0.00%
7	Community Action, Inc.	\$0	13.07%	\$0	0.00%
8	Harvest America Corporation	\$0	12.20%	\$0	0.00%
Total		\$0	100.00%	\$0	0.00%

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).

The program year for KS CSBG is Apr. 1 through Mar. 31. To mitigate delays typical within the Federal budget process, KHRC issues pass-through CSBG awards to eligible entities 6 mos. after the start of the Federal fiscal year. Accordingly, KS CSBG-eligible entities build their budgets and structure their use of the annual awards on a 12 month, Apr. through Mar., program year. Eligible entities are, however, provided a grant period of 18 mos. to disburse/expend their CSBG awards. In order to receive funding for a given program year, eligible entities are required to submit an annual application (including a plan and budget). To allow sufficient time for entities to prepare the application and to receive board approval of the application, the release of instructions, including the announcement of the due date, is targeted 60 days prior to the due date. Entities anticipate a due date in late Feb./early Mar. Upon receipt of the refunding materials, KHRC staff review the application to ensure that all required elements have been supplied. Entities submitting incomplete applications are notified and asked to submit the missing element(s). No application is knowingly accepted absent required information. Upon acceptance of the refunding application, KHRC issues a Notice of Award/Grant Agreement which includes contractual provisions, notification of special grant conditions (if applicable) and other information which, from time to time, may be applicable. The accepted application is considered part of the binding, grant agreement. So that the refunding process does not disrupt the flow of resources and based upon a renewal clause within the previous year's Notice/Agreement, entities may request an advance on the ensuing year's allotment. Entities report CSBG expenditures and receipts using the Grant Transaction Report (GTR) as provided by KHRC. These monthly reports are typically due to KHRC on the 15th of the mo. following the activity and are the vehicle that generates an end-of-the-mo. payment in the amount requested by the entity. KHRC's procedures state, "Payments will be processed to arrive on or near the first day of the month." Typically, however, payments responsive to the timely submission of GTRs are deposited to entity bank accounts between the 20th and the 24th day of each month. KHRC systems allow off-schedule payments should an entity feel such a request is necessary.

7.4. Distribution Timeframe:

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes No

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

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

See Item 7.3.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:

How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

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

Based on the results of the 2015 ACSI survey, KHRC scored high (93) in customer satisfaction with the quality of the process to distribute CSBG funds. No improvements have been made to the process this year. If barriers or problems are identified during FY2017, KHRC will develop plans as appropriate.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5 \$ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 16

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 2

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? Yes No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

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

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 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 row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

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

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

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$104,457.00	0.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	n/a
c. Statewide coordination and communication among eligible entities	\$14,508.00	0.00%	\$0.00	0.00%	If funding remains at the anticipated level, it is proposed to use 5% of the discretionary funds for Statewide coordination and communication. Expected activities include: 1. Support of meetings of eligible entity affinity groups - current groups exist for leadership, human resource, fiscal and performance management; 2. development of a strategic, Kansas agenda for CSBG. A proportional adjustment is anticipated should funding be different than the forecasted level.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	n/a
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	n/a
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$60,933.00	0.00%	\$0.00	0.00%	If funding remains at the anticipated level, up to 21% of discretionary funds will be earmarked to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG Act. These funds will be made available through a Notice of Funding Availability and may be awarded through a competitive process. A proportional adjustment is anticipated should funding be different than the forecasted level.
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	n/a
h. Other activities, specify in column 6	\$110,260.00	0.00%	\$0.00	0.00%	Up to 38% of discretionary funds is earmarked for support of statewide projects including the Kansas Housing Search Website and shortfalls resulting from KHRC's administration of the Emergency Solutions Grant. Activities funded under this category may also include other statewide initiatives developed for the purpose of ameliorating the causes and conditions of poverty. A proportional adjustment is anticipated should funding be different than the forecasted level.
Total	\$290,158.00	0.00%	\$0.00	0.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable]

- CSBG eligible entities** (if checked, include the expected number of CSBG eligible entities to receive funds) **It is anticipated that up to five CSBG Eligible entities will receive remainder/discretionary funds. KHRC awards remainder/discretionary funds through a competitive RFP (Request for Proposal) process.**
- 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** In addition to CSBG-eligible entities and KACAP, KHRC anticipates using a blend of consultants and content area experts which, depending on the activity, may include KHRC staff, KACAP staff, RPIC-identified experts, staff from national partner organizations and free-lance consultants.
- None (the State will carry out activities directly)**

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

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:

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

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

KHRC has made a commitment to improve on being transparent with the distribution of discretionary funds and responsive to needs of the network. As noted in question 3.4, KHRC has significantly improved communication with the Kansas Association of Community Action Agencies and the Community Action agencies, which includes communication about the use of the CSBG discretionary funds. KHRC has monthly meetings with the Community Action network to provide updates and announcements. During these monthly meetings, the CSBG Program Manager will alert the Kansas Community Action network about the availability of the CSBG Discretionary funds, including the application process. As described in the Policy Manual for the Kansas CSBG Program (October, 2015; pages 63-64), a notice funding availability, guidance on the forms, procedures and deadlines for submitting discretionary funding proposals will be sent to each eligible entity and will be posted on the KHRC website. Organizations with the primary purpose of ameliorating the causes and conditions of poverty in Kansas, including the Community Action agencies, are eligible to receive the discretionary grants. The plan for the use of FFY2017 CSBG Discretionary funds will be adjusted as appropriate, based on this input gathered during the KACAP Board of Director meetings and during other meetings with the Community Action Agencies.

Section 8: State Training and Technical Assistance

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

Form Approved
OMB No: 0970-0382
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SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	Focus area to be determined by each participating entity based upon identified need.
2	Ongoing / Multiple Quarters	Training	Other	Promote and support CCAP credentialing within the grantee network.
3	Ongoing / Multiple Quarters	Both	Communication	Maintenance of up-to-date, relevant eligible entity websites.
4	Ongoing / Multiple Quarters	Both	ROMA	Topic Area: Performance Management. 1) Anticipating ROMA Next Generation and an increased emphasis on data standards, a need to update/upgrade eligible entities' abilities to beneficially use technology to support performance management systems is anticipated. 2) Support ROMA credentialing of additional members of the Kansas network. This activity is responsive to Organizational Standard 4.3.
5	Ongoing / Multiple Quarters	Both	Other	Emergent, targeted training and/or technical assistance (agency-in-crisis, natural disaster, unmet Organizational Standard(s), etc.).
6	Ongoing / Multiple Quarters	Both	Other	Topical, expert presentations addressing emerging issues. Specific training topics may include training on fiscal standards and training on CSBG Organizational Standards.

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$290,158**

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? Yes No

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

The State has just completed conducting on-site reviews with each of the Kansas eligible entities to determine their compliance with the organizational standards. It is anticipated that seven of the eight eligible entities will have a Technical Assistance Plan and one of the eligible entities will have a Quality Improvement Plan put in place. These corrective action plans are not in place yet.

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

- 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
- Other In addition to CSBG-eligible entities and KACAP, KHRC anticipates using a blend of consultants and content area experts which, depending on the activity, may include KHRC staff, KACAP staff, RPIC-identified experts, staff from national partner organizations and free-lance consultants

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

During FFY2016, Kansas Housing Resources Corporation awarded a discretionary grant to the Kansas Association of Community Action Agencies to implement specific training / technical assistance activities, as identified through a series of discussions with KACAP, KHRC and the Community Action agencies. During FFY2016, KHRC and KACAP initiated monthly meetings to discuss the training and technical assistance needs of the community action network. These monthly meetings helped guide the training opportunities made available through the CSBG Program. Included within the KACAP proposed activities was a 2016 Kansas Performance Management Summit with the Community Action Agencies, KACAP, KHRC and representatives from OCS, CAP, and NASCSP. KACAP also brought in a national consultant to help the Kansas Community Action network develop a statewide theory of change and strategic plan. Together the Performance Management Summit and the statewide strategic plan will identify any training and technical assistance needs, as identified by the Community Action Agencies.

Section 9: State Linkages and Communication

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

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SECTION 9 State Linkages and Communication

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

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

- 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

Kansas Department of Commerce; Kansas Department for Aging and Disability Services - Behavioral health Services Commission; State, City and County Government Associations *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

In addition to its administration of CSBG, KHRC is the State lead for other programs specifically targeted to benefit individuals with low incomes including the Weatherization Assistance Program (WAP), Emergency Solutions Grant (ESG) and Tenant-Based Rental Assistance (TBRA). (A comprehensive view of KHRC's portfolio can be gleaned by visiting its web site - www.kshousingcorp.org.) CSBG staff participate in meetings of KACAP-facilitated affinity groups comprised of and tailored to the needs of the State's CSBG-eligible entities. Participation allows staff to encourage and support the effective delivery of coordinated services. Additionally, individual KHRC staff members maintain affiliations with wide variety of governmental and social service organizations such as the Governor's Behavioral Health Services Planning Council and Habitat for Humanity. These activities are among the many that allow KHRC to understand the challenges faced by low-income individuals. Importantly, KHRC's many affiliations provide forums through which effective, non-duplicative solutions can be explored and deployed. In addition to the activities described above, KHRC will continue to support KACAP's annual Conference on Poverty, a statewide conference that brings together a wide range of stakeholder. The Conference on Poverty provides an opportunity for Community Action Agencies to network with State departments and create linkages to increase access of services for their customers. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.]

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

Through the annual CSBG refunding process, eligible entities certify that they will coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of services to low-income individuals and to avoid duplication of services. KHRC supports this endeavor through its set-aside of remainder/discretionary funds specifically to strengthen relationships/linkages with state agencies that administer public services for low-income individuals, distribution of best practice information and the regular conversations held by Kansas, CSBG network affinity groups. These linkages are verified as partnerships are evaluated during CSBG, on-site monitoring. *[Click paper clip to attach file]*

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.

All Kansas CSBG-eligible entities operate within a network of local service providers. These networks exist in order to reduce duplication of effort, coordinate resources and develop referral networks to address customer and community needs and circumstances. Macro- and micro-issues are taken to task. In Northeast Kansas, one CAA takes the lead in ensuring that stakeholders are heard and that a local application is prepared and submitted to HUD's Continuum of Care Program. As a result and as reported in the local newspaper, the community recently received nearly \$1.75 million to assist and house the community's disabled citizens. In North central Kansas, the CAA was the catalyst for a local solution to the summer nutrition needs of children. The CAA in Southeast Kansas has employed a certified planner (American Institute of Certified Planners) and has charged him with using his community building skills amongst new and existing partners to collectively implement new programs and reinvigorate existing activities focused on the causes and effects of poverty. Kansas "linkages" are arranged all along a continuum and may be as unceremonious as a verbal agreement or as formal as a legally reviewed, contractual relationship.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? Yes No

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

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

See Attachment - Item 9.4b. See also Item 9.3. CSBG-eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client needs and circumstances. This point is verified through CSBG monitoring. Several Kansas CSBG-eligible entities have strong relationships with their Local Workforce Board; eligible entity representatives serve on three of the State's five Local Boards (M. Rucker in Area 4, R. Jackson in Area 2 and R. Adams in Area 3). WSCCAP provides an example of the beneficial nature of these relationships. WSCCAP has a contractual relationship with the Workforce Alliance of South Central Kansas that guides a cooperative effort in serving low-income individuals. The Alliance provides typical workforce services including aptitude assessments, individualized training programs, industry-specific training and job placement. WSCCAP's customers typically have significant barriers to employment; their chance of a successful training experience and job placement is improved by the pre-training preparatory work performed by WSCCAP staff and intensive case management provided through the training period and early in the job placement. An additional example of Kansas CAAs' interaction with work force services is available on page 4 of Northeast Kansas CAP's June 2015 newsletter - http://www.nekcap.org/fileLibrary/file_279.pdf. KHRC seeks to strengthen the relationship between itself and Workforce Services Division, within Kansas Department of Commerce. A meeting was held on June 19, 2015, between State CSBG staff and Susan Weidenbach. Ms. Weidenbach is responsible for developing the State's Combined State Plan. It was agreed to maintain communication on an ad hoc basis. Further, by working through KACAP's affinity groups (see Item 7.9), KHRC hopes to help the Kansas CSBG network understand the tenets of WIOA by specifically pursuing the delivery of information to the Kansas network that will illuminate the programs and services supported by WIOA. This effort will be undertaken with the intent of fostering new and on-going relationships between eligible entities and their local workforce structures whenever those relationships might be beneficial for shared customers.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

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

Through the annual CSBG refunding process, eligible entities certify that they will ensure coordination between antipoverty programs in their communities and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted. Since the Kansas Low-Income Energy Assistance Program (LIEAP) is not delivered by the CAAs and is, in fact, administered by a different State agency, coordination between CSBG and LIEAP must be intentionally planned for and achieved. To that end, eligible entities are required, as a matter of Kansas CSBG policy to communicate with emergency energy crisis intervention programs at the local level. At the State level notice of the application period for LIEAP is shared with eligible entities as it becomes known. Typically, eligible entities relay the information to their customers and in some cases, assist customers in completing the application. Coordination is verified during CSBG monitoring. Given that KHRC does administer the Weatherization Assistance Program (WAP) regular conversations between KHRC and the State administrator of LIEAP occur. The result: LIEAP recipients are connected to weatherization service providers and 15 percent of the State's LIEAP allocation is provided to the Kansas WAP for use in weatherizing additional Kansas homes.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

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

Kansas CAAs have a long history of working in partnership with a variety of groups, organizations and institutions. Many of these groups are represented on entities' boards of directors/administering board. Included are banks, chambers of commerce, child care providers, civic groups, faith-based organizations, governmental entities, health care institutions and practitioners, neighborhood groups, schools, service providers, private foundations, professional associations and unions. KHRC encourages Kansas CAAs to inventory their partnerships, to intentionally consider the scope and depth of each and to tie each partnership to their respective strategic plans. Partnership data is reported to KHRC quarterly. For FFY 2015, 1,258 partnerships were reported by the State's eight eligible entities; 260, or 21 percent, of the reported partnerships were with faith-based organizations. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

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

A strength of the Kansas Network is the ability of the entities to use their CSBG dollars to leverage additional public and private resources which are then targeted to achieving outcomes within the framework of the six national goals. In addition to the direct services provided for low-income families and communities, CSBG resources are used to support the infrastructure of Kansas CAAs. The coordinated and comprehensive approaches to mitigating the causes and effects of poverty pursued by Kansas entities require sound systems of governance and of fiscal and personnel management. CSBG funds allow Kansas CAAs to develop and maintain these essential systems. The resulting accountability and capacity enable Kansas agencies to access, or leverage, additional public and private resources to further their direct service efforts. According to the State's 2015 CSBG IS Survey, Kansas CAAs, as a whole, reported leveraging \$10.48 for every \$1 of CSBG funding that was received. These leveraged resources included public funds from city and county governments, additional Federal dollars, State dollars, grants from foundations and community-based, grant-making organizations and donations from individual contributors (funding, goods and services). The report of leveraged dollars does not include the value of 209,198 volunteer hours reported by Kansas CAAs. (2015 CSBG IS Survey, NPI 2.3B)

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.

Within this Plan, KHRC earmarks remainder/discretionary funds for projects intending to foster statewide coordination and communication among eligible entities (See

Item 7.9). During FFY2016, KHRC and KACAP initiated monthly collaboration meetings to discuss training / technical assistance needs for the Community Action Network and to develop a mutual plan of action for the Kansas Performance Management plan. During FFY2016, KACAP, with support from KHRC, brought in a consultant to help the Kansas Community Action Network develop a theory of change and statewide strategic plan. KHRC continues its commitment to support coordination among the eligible entities and the Association. KHRC staff is available to attend any and all meetings of KACAP-facilitated professional, affinity groups and other entity and network-wide events. KHRC recognizes benefit in the association of the State's eligible entities and, as a best practice, encourages each to maintain partnership with their peers through membership in KACAP. Tangible benefits accrue to affiliated entities and, importantly, membership provides a vehicle through which entities can contribute to the statewide effort to impact the causes and effects of poverty. The KHRC-facilitated KanDo! ROMA Task Force provides a forum for the Kansas network to coordinate around performance management and annual reporting concerns.

9.9 Communication with Eligible Entities and the State Community Action Association:
In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan				
	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Eligible entity questions/inquiries	Daily	Other	Format - Phone and Email
2	Content/materials of immediate interest	Other	Email	Frequency - PRN
3	Acknowledgement of the email receipt of reports and meeting documentation; follow-up as necessary	Monthly	Email	
4	Emerging issues, best practice, network events	Weekly	Email	NASCSP Director Digest shared w/KACAP
5	CSBG forms, plans and documents	Other	Other	Frequency - PRN; Format - Website, Email
6	Refunding instructions/materials	Annually	Email	
7	Feedback/request for additional information or clarification - refunding applications	Annually	Email	
8	Fiscal Affinity Group - Items of interest	Semi-Annually	Meetings/Presentation	
9	Human Resources Affinity Group - Items of interest.	Semi-Annually	Meetings/Presentation	
10	Executive Affinity Group (KACAP BOD) - Items of interest	Other	Meetings/Presentation	Frequency - Even-numbered months
11	KanDo! ROMA TF - Performance management, and data collection, analysis, reporting & use	Quarterly	Other	Format - Email, Meetings/Presentations
12	KHRC accomplishments	Annually	Other	Format - Website, Hard-copy distribution
13	Communication w/WAP and ESG	Monthly	Meetings/Presentation	
14	Kansas CSBG Manual of Policies and Procedures	Other	Website	Frequency - On-Demand
15	KanDo! ROMA Plan	Other	Website	Frequency - On-Demand
16	Legislative Hearing	Other	Meetings/Presentation	Frequency - Every three years. Next in 2016.
17	State Plan Public Hearing	Annually	Meetings/Presentation	
18	EFT Remittance Notice	Monthly	Email	
19	CSBG Monitoring Reports	Other	Other	Frequency - Typically within 90 days of exit. Format - Typically PDF to the Exec. Dir., followed by a mailed hard-copy sent to both the Board Chair and the Exec. Dir.
20	CSBG Close-Out Documents	Annually	Email	
21	Kansas Housing Conference	Annually	Meetings/Presentation	

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

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

KHRC plans to provide feedback to local entities and KACAP through a written/oral report at the KACAP meeting immediately following the availability of the information. KACAP meetings typically occur on the first Tuesday of even-numbered months. The written report and any hand-outs that may have been included are delivered to entities not represented at the meeting. If circumstances prevent an oral presentation, a written report providing feedback to local entities and KACAP regarding performance on State Accountability Measures will be provided within 60 days of the availability of the information. An oral report will follow at the next KACAP meeting.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:
How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

In an effort to improve communication between KHRC and the Community Action agencies and in response to the ACSI survey, the Executive Director and Deputy Director with KHRC met with each Community Action agency. These visits occurred at each of the Community Action agencies between April - July, 2016. The purpose of the visits was to provide an opportunity for the Community Action Agencies to have an open conversation with the executive leadership of KHRC. The CSBG Program Manager plans to provide an oral report summarizing the results of the KHRC visits during a KACAP Board of Directors meeting. The CSBG Program Manager and CSBG ROMA Coordinator continue to have monthly meetings with KACAP to improve communication and to identify training / technical assistance needs within the network.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

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

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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Wichita Sedgwick County Community Action Partnership (WSCCAP), City of Wichita	Full onsite	FY1 Q3	05/12/2015	
2	Southeast Kansas Community Action Program, Inc. (SEK-CAP)	Full onsite	FY1 Q4	10/02/2014	
3	Economic Opportunity Foundation (EOF)	Full onsite	FY1 Q1	01/07/2016	
4	East Central Kansas Economic Opportunity Corporation (ECKAN)	Full onsite	FY1 Q4	11/25/2014	
5	NEK-CAP, Inc.	Full onsite	FY1 Q2	04/23/2015	
6	Mid-Kansas Community Action Program, Inc.	Full onsite	FY1 Q3	03/08/2016	
7	Community Action, Inc.	Full onsite	FY1 Q4	12/10/2015	
8	Harvest America Corporation	Full onsite	FY1 Q1	01/08/2015	

10.2. Monitoring Policies:

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

THE KANSAS PROCESS - Monitoring is an on-going process and is not limited to the periodic "on-site monitoring visit." The on-going process includes: 1) review of grant applications, 2) review of KanDo! quarterly reports, 3) review of monthly Grant Transaction Reports, 4) review of independent audit reports, 5) review of governing board meeting notices, agendas and minutes and 6) review of monitoring reports from other entities (as available). As suggested within the Kansas Policy Manual for the Community Services Block Grant, and with a commitment to a system-wide goal of strengthening the Kansas community action network, CSBG eligible entities can anticipate an on-site monitoring visit once during the year. A typical visit can be expected to require two to five days. The monitor will: 1) provide written notice of the monitoring visit, generally, one month in advance of the visit, 2) offer both an entrance and exit interview and 3) provide a written summary of the visit generally no more than 90 days following the visit. This summary will be mailed to the grantee's executive director and chair of the governing board and will clearly identify compliance issues, if any, and may include a discussion of best practice and opportunities. KHRC adopts the belief that the CSBG provides flexible core or foundational funding that enables agencies to operate. Though CSBG funding may represent a small portion of an agency's total revenue, it is the source of an agency's identity as a Community Action Agency. All agency operations that benefit from the State's Community Action Agency designation, and subsequent CSBG funding, and the systems supporting those operations are subject to review and evaluation by the CSBG office. For additional information see Section 4 (4100), Policy Manual for the Kansas Community Services Block Grant (October 2015) (<http://www.kshousingcorp.org/SharedFiles/Download.aspx?pageid=125&mid=324&fileid=1940>).

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? Yes No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

Described above, see Item 10.2.

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

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

3

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).

Section 4 of the Kansas CSBG Manual of Policies and Procedures (attached to this report) provides information on the CSBG monitoring process, a description of how the results of the monitoring visits are shared with the eligible entities and the process for developing Quality Improvement Plans (section 4100, pages 11-12). As described in the policy and procedures manual, a written summary of the monitoring visit is provided to the eligible entity within 90 days following the visit. Compliance matters are identified in the monitoring report and require an entity's response, which may be a technical assistance plan (TAP) or a Quality Improvement Plan (QIP). The TAP or QIP are due to KHRC within 30 days following the issuance of the report. KHRC reviews and responds to the submitted TAP or QIP within 30 days of its receipt. The CSBG Program Manager will notify the Office of Community Services within 30 days of the acceptance of a Quality Improvement Plan (Kansas CSBG Manual of Policies and Procedures, section 4106, page 13). Unless otherwise specified, this notification to OCS will be an email sent by the CSBG Program Manager to the OCS Program Specialist. Eligible entities with active QIPs provide the CSBG Program Manager quarterly updates toward their progress with the QIP. Once all of the compliance matters within the QIP have successfully been resolved and the Quality Improvement Plan has been closed, the CSBG Program Manager will notify the OCS Program Specialist.

10.7. Assurance on Funding Reduction or Termination:

Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". Yes No

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

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

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? Yes No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

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

KHRC has policies and procedures and fiscal controls in place that provide for the segregation of duties and, in many cases, redundancies that ensure accurate CSBG financial records and compliance with Federal grant requirements. 1) The SF-425 Federal fiscal report requires information regarding grant funds received, disbursed, on hand, obligated and unliquidated. In addition, information about program income earned and expended is required. This information is tracked by the accounting software and a project cost module in use by KHRC. The accounting software reports are balanced monthly with information from the DHHS Division of Payment Management as well as against reports from subrecipients. This ensures accurate information is available for use in the preparation of the SF-425 Federal fiscal report. Submission of the report is accomplished by way of the DHHS On-Line Data Collection (OLDC) system. OLDC requires the involvement of multiple individuals each of whom verifies the accuracy of report information prior to submission. Hard copy documentation supporting the submission is maintained by the Deputy Division Director and the CSBG Program Manager (notebook titled CSBG Federal Financial Reports). 2) Grant expenditures are traceable through KHRC's accounting software back to hard-copy, source documentation maintained by KHRC's Finance Division. Source documentation demonstrates that transactions are Federally allowable and in compliance with applicable grant requirements.

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 Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE FOR LINK TO 45 CFR Â§75.521](#)

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

Within KHRC, management decisions are the responsibility of the organization's Finance Division. Here-to-fore, eligible entities were required to submit their Single Audit Report within 30 days of completion. That submission prompted a programmatic review of the Report. The programmatic review included a communication with the Finance Division to make certain that its representative received a copy of the Audit Report and, if warranted, a management decision was on Finance Division's "tickler." Audit Reports are revisited by CSBG staff during CSBG monitoring and at the time of annual refunding. This redundancy serves as a check to the Finance Division's timely release of the management decision. The process will continue as reports are received. However, the new Uniform Guidance appears to preclude the ability to require that a "hard" copy Single Audit Report be submitted to KHRC. Instead, pass-through entities are to retrieve the Report from the Federal Audit Clearinghouse. KHRC Finance Division's systems will be updated to ensure routine visits to the Federal Audit Clearinghouse so that new subrecipient submissions can be reviewed and acted upon. Further, KHRC anticipates asking its CSBG subrecipients to provide a courtesy notification of the Report's submission to the Clearinghouse. Additionally, an Audit Certification is required of each eligible entity during the refunding process. It aids in identifying those entities that are (or are not) subject to a Single Audit. For those subject to a Single Audit, the Audit Certification asks for the audit schedule. As an added measure, subrecipient board meeting minutes are monitored programmatically and an internal alert will be issued once it is learned that any board of directors has received/reviewed an audit report.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? Yes No

If this is the first year filling out the automated State Plan, skip the following question.

10.14. Performance Management Adjustment:

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This item is associated with [State Accountability Measure 4S](#) and may pre-populate the State's annual report form.

During FY2016, KHRC conducted on-site monitoring reviews with all eight of the Kansas Community Action agencies to determine compliance toward the CSBG Organizational Standards. These reviews were intended to be baseline reviews of the compliance. KHRC is working with the Kansas Community Action Network to develop a plan for how future reviews will be conducted. According to the ACSI survey, Kansas received "excellent" scores on the monitoring process with scores ranging from 68 - 89.

Section 11: Eligible Entity Tripartite Board

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

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SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- Other** Entities provide a detailed board roster during the annual refunding process. Members are listed by sector; vacancies are identified. Entities are asked to ensure that KHRC has the most up-to-date version of policy documents, including bylaws, during the refunding process. Entities are required to have no less than six board meetings a year. Minutes from board meetings are to be submitted to KHRC no later than ten calendar days after the date of the meeting at which the minutes are approved. Entities are required to maintain records documenting the democratic selection of low-income representatives seated on the board. (Policy 6105, The Policy Manual for the Kansas Community Services Block Grant (October, 2015)). Board composition, democratic selection processes, operating documents and the submission of meeting documentation are reviewed and evaluated during CSBG, on-site monitoring reviews.

11.3. Assurance on Eligible Entity Tripartite Board Representation:
Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

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

The Policy Manual for the Kansas Community Services Block Grant (October 2015) states, "Procedures must be established within bylaws under which a low-income individual, community organization or religious organization or representatives of low-income individuals that considers its organization or low-income individuals to be inadequately represented on the board of the eligible entity, may petition for adequate representation." (Policy 6319) CSBG, on-site monitoring provides evidence that the bylaws of all Kansas eligible entities contain this provision.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. Yes No

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

N/A

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)**

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SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Information regarding the State's policies and procedures for income eligibility can be found in the Kansas CSBG Manual of Policies and Procedures (pages 37 - 41). As noted in section 8001 (page 37), "Entities shall develop and implement written standards of operation, including program policies and procedures, to govern programs operated in whole or part with CSBG funds. Eligible entities shall, on submission of the annual refunding application, ensure that KHRC is provided a current, dated copy of the approved program policies and procedures." Section 8002, page 37, provides a list of what should be included in the program and procedures developed by the eligible entity. Item B in section 8002, specifies that the program policies and procedures shall include the eligibility criteria, including the income verification period, income guidelines, eligibility period and residency verification procedures and criteria. Section 8004, Items A-E (pages 38 - 39) provides guidance to the eligible entities on verification of family income. Section 8004, pages 38 - 39, provides a detailed description of what shall be included when determining family income. As noted in this section, family income means total cash receipts before taxes from all sources, with the exceptions noted within the section. Income includes money wages or salary before deductions and net income from non-farm self-employment. Tax refunds are excluded when determining family income. The poverty guideline must be followed when providing material aid by programs operated solely with CSBG funds. The poverty guideline is not a consideration when non-consumer specific, community development activities are undertaken to alleviate the causes and effects of poverty. The timeframes used for determining income verification varies between eligible entities. Generally, the timeframes are not less than 3 months and no more than 12 months. During the annual CSBG monitoring visits, the CSBG Program Manager reviews the eligible entity's compliance with the established income verification process.

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

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

The Kansas CSBG Manual of Policies and Procedures allows for the eligible entity to use self-declaration of income if the client is unable to provide other verification methods. According to the Kansas CSBG Manual of Policies and Procedures (section 8400, item D, page 39) when "determining family income, self-declaration of income shall be used only as a method of last resort. The signature of the applicant must appear on the self-declaration statement." Applicants with no income must declare so in writing. Each of the eligible entities have incorporated this language in their income verification procedures. During the annual CSBG monitoring visits, the CSBG Program Manager reviews the eligible entity's compliance with the established income verification process.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

See Section 8, Policy Manual for the Kansas Community Services Block Grant (October 2015)
<http://www.kshousingcorp.org/SharedFiles/Download.aspx?pageid=125&mid=324&fileid=1940> Regarding Items 12.1, 12.2 and 12.3, eligibility and processes for determining eligibility are assessed during CSBG, on-site monitoring.

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

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

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SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

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

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The KanDo! ROMA Plan is described in Item 13.3. Policy 6501 (Policy Manual for the Kansas Community Services Block Grant (October 2015)) requires entities to have a documented process that ensures initial and continued board training. It suggests that ROMA be among the included topics. Board training is assessed during CSBG, on-site monitoring.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

n/a

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

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

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

The Kansas CSBG report templates include several Kansas-developed indicators. For example, multiple entities track and report on their efforts to support school attendance through the provision of school supplies. Others track and report food, health and housing services that are maintenance in nature. These services are not related to an emergency; because of age or infirmity, customers are not expected to make employment gains.

13.3. How does the State support the eligible entities in using the ROMA system (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.

See Attachment - Item 13.3.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

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

Through the activities described in Items 9.8 and 13.3, entities are supported in their use of the entire ROMA performance management cycle. Their use of data for decision making is a discussion topic during training and technical assistance visits focused on software concerns and data integrity. The execution of the complete performance management cycle, including the use of collected data to improve service delivery, is evaluated during CSBG, on-site monitoring. Where warranted, entities are provided additional technical assistance related to the performance management cycle . . . and, per Organizational Standard 4.3, their ability to document the continuous use of the full ROMA cycle.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

In accordance with the assurance in 676(b)(11) of the Act, KHRC will ensure that each of the State's eligible entities, as part of their annual application, has completed a community assessment and produced a Community Action Plan. Kansas entities are required to complete a full community assessment triennially. Updates are to be provided annually, as applicable. The full assessment and the annual updates are maintained on-file by KHRC as a demonstration of compliance with the State's requirement. Each entity is required to, as part of their annual Community Action Plan, describe how entity leadership, including the governing board, used the assessment to plan for the expenditure of its pending CSBG award. Within the framework of the six national goals, applicants must connect their assessment findings with a plan that seeks outcomes for low-income families and communities. Applications for the CSBG program year (April - March) are typically due one month prior to the start of the program year. Application instructions provide detailed guidance related to the community assessment and the preparation of the annual Community Action Plan. Community Assessments (as reported w/in FFY 2016 refunding materials) - Wichita Sedgwick Co. Comm. Action Partnership: current - October 2013; next planned - October 2016. Southeast KS Comm. Action Program: current - January 21, 2013; next planned - February 2015. Economic Opportunity Foundation: current - April 30, 2013; next planned - April 2016. East Central KS Economic Opportunity Corp.: current - December 2012; next planned - 2015. Northeast KS Comm. Action Program: current - September 22, 2014; next planned - September 2017. Mid-KS Comm. Action Program: current - March 5, 2013; next planned - March 5, 2016. Comm. Action, Inc.: current December 2012; next planned - December 2015. Harvest America Corporation: current - 2012; next planned - December 31, 2015.

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with

community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

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

See Item 13.5 response.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal 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;

Annually, each Kansas eligible entity provides the State with a statement signed by both the executive director and the board chair assuring that it will use CSBG funds for projects responsive to the Section 676(b)(1)(A) of the CSBG Act. KHRC ensures compliance with this Assurance through its review of Community Action Plans and budgets required and submitted annually by each eligible entity. Each Plan defines the entity's scope of work for the ensuing year. Reports, received and reviewed by KHRC following the conclusion of each Federal fiscal year quarter, detail each entity's progress in completing the 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;

Annually, each Kansas eligible entity provides the State with a statement signed by both the executive director and the board chair assuring that it will use funds made available through the CSBG to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation and entrepreneurship programs); and after-school child care programs. Youth development indicators are a drop-down choice within Kansas logic model templates and performance targeting worksheets provided for the annual refunding application. Youth development indicators are an included report element within the templates used for Kansas' quarterly reports and the CSBG annual report. TWTW, described in Item 14.3d, is an example of the Kansas network's use of CSBG resources to address the needs of youth.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Annually, each Kansas eligible entity provides KHRC with a statement signed by both the executive director and the board chair assuring that it will use funds made available through the CSBG to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform

efforts). In practice, all Kansas eligible entities coordinate with other programs related to mitigating the causes and effects of poverty. Activities range from the co-location of service points to taking the lead in local efforts to access HUD Continuum of Care resources. Four of the eight eligible entities are Head Start providers, three are WAP providers, all eight have an affiliation with one or more HUD programs and all have a documented relationships with local human service networks; notably, six of the eight participate in local systems of emergency food distribution.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

KHRC provides funding for eight eligible entities. Six of the eight are traditional, privately operated CAAs. One came into the Community Action Network, through the Omnibus Budget Reconciliation Act of 1981, as a seasonal and migrant farmworker organization. One is a public entity administered by city government. A complete list of eligible entities and their assigned CSBG service area is provided in Item 5.1 of this State Plan. The systems used to deliver CSBG services are designed at the local level to meet identified community and individual needs and to produce outcomes based upon the six national goals. Service delivery systems, therefore, vary from place to place, just as the communities and people served vary. Commonalities to the service delivery system include: 1) community outreach to ensure that low-income people are aware of opportunities, 2) programs and services tailored to the communities' needs, 3) use of multiple and convenient access points for direct service delivery (most Kansas CAAs provide multiple access points for service delivery), 4) provision of multiple and wide-ranging services and activities that address the causes and effects of poverty, 5) use of community partnerships to extend the reach and impact of available resources and 6) here-to-fore, use of the CAP60 software as a primary repository for customer information. Entity websites reveal the unique capabilities of the State's eight eligible entities: 1) Wichita Sedgwick Co. Comm. Action Partnership (WSCCAP) - <http://www.wichita.gov/Government/Departments/Housing/Pages/WSCCAP.aspx> 2) Southeast Kansas Comm. Action Program (SEK-CAP) - <http://www.sek-cap.com/> 3) Economic Opportunity Foundation (EOF) - <http://www.eofkck.org/> 4) East Central Kansas Economic Opportunity Corp. (ECKAN) - <http://eckan.org/> 5) NEK-CAP, Inc. - <http://www.nekcap.org/> 6) Mid-Kansas Comm. Action Program - <http://www.mid-capinc.org/> 7) Community Action, Inc. - <http://www.wefightpoverty.org/> and 8) Harvest America Corporation - <http://www.harvestamerica.org/>

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.

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

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

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

The Kansas Community Action Network has a well-established history of developing innovative and proactive strategies to mitigate the causes and effects of poverty. In FFY 2015, Kansas CAAs continued to have an impact through many unique and innovative programs made possible by CSBG funds. One such innovation was initiated by the Wichita Sedgwick County Community Action Partnership (WSCCAP) during the summer of 2015 and is titled The Way to Work (TWTW) For Life. Target population for the summer youth employment program was Section 8/Public Housing youth aged 16-17 who, as a 14-15 year old, participated in the introductory TWTW. Much like the CDBG-funded and CSBG-supported program for the younger youth, TWTW for Life placed 16-17 year olds into part-time jobs. While 14-15 year old participants are accepted on a first come, first served basis, the TWTW For Life group had to use the skills learned during their earlier experience to apply and interview for an opportunity in the "For Life" program. Successful applicants worked part time Monday through Thursday during June and July. CSBG-funded staff recruited employers and secured opportunities in both the private and public sector; job placements, to the extent possible, matched participants' interests. Fridays during the period were dedicated to an educational event either in a classroom setting or through a field trip. Topics and curriculum were more advanced than those presented during the 14-15 year old experience and included an emphasis on financial capability. Instruction was reinforced through a savings-match, incentive program. TWTW and TWTW For Life are responsive to WSCCAP's 2013 Needs Assessment within which community respondents and community leaders identified preparing young people for the workforce as the 2nd most important community need.

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."

Annually, each Kansas eligible entity provides KHRC with a statement signed by both the executive director and the board chair assuring that it 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. KHRC will assist by evaluating emergency and non-emergency nutritional needs. Such assistance will be provided through review of entity applications and Community Action Plans as well as through regular sharing of community-based or statewide information as it becomes known. It is noted that five of Kansas' eight eligible entities targeted nutrition/food assistance within their FFY 2015 Community Action Plan. Through the second quarter of FFY 2015, six of the eight have reported providing nutrition/food assistance.

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."

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)."

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.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

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

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



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

Section 15: Federal Certifications

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

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

15.1. Lobbying

After assurance select a check box:



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

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

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

 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

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

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

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

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

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

***Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).**

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

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

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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

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

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

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

15.3. Debarment

After assurance select a check box:



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

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

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

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.