

## Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: Kansas Housing Resources

Report Name: Model State Plan(CSBG) Revision # 3

Report Period: 10/01/2017 to 09/30/2018


Report Status: Submission Accepted by CO (Revision #3)

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## CSBG Cover Page (SF-424M)

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>			Form Approved OMB No: 0970-0382 Expires:08/31/2016
<b>COVER PAGE</b>			
* 1.a. Type of Submission: <b>Plan</b>	* 1.b. Frequency: <b>Annual</b>	* 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: <b>Initial</b>  State Use Only:  5. Date Received By State: 6. State Application Identifier:
<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: <b>Kansas Housing Resources Corporation</b>			
* b. Employer/Taxpayer Identification Number (EIN/TIN): <b>710950729</b>		* c. Organizational DUNS: <b>137043662</b>	
* 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: <b>Housing With Supportive Services</b>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: <b>Douglas</b>	Middle Name: <b>D</b>	* Last Name: <b>Wallace</b>
Suffix:	Title: <b>CSBG Program Manager</b>		Organizational Affiliation:
* Telephone Number: <b>(785) 217-2044</b>	Fax Number <b>(785) 256-9484</b>	* Email: <b>dwallace@kshousingcorp.org</b>	
* 8a. TYPE OF APPLICANT:			
<b>A: State Government</b>			
b. Additional Description:			
* 9. Name of Federal Agency:			
10. CFDA Numbers and Titles		Catalog of Federal Domestic Assistance Number: 93569	CFDA Title: Community Services Block Grant
11. Descriptive Title of Applicant's Project <b>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.</b>			
12. Areas Affected by Funding: <b>Kansas</b>			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant <b>02</b>		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	

a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
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.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
<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) <b>**I Agree</b> <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) 01/30/2018	
<b>Attach supporting documents as specified in agency instructions.</b>			

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

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	Form Approved OMB No:0970-0382 Expires:08/31/2016
<b>SECTION 1</b> 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.*

<b>1.1a. Lead agency</b>	Kansas Housing Resources Corporation		
<b>1.1b. Cabinet or administrative department of this lead agency</b> <i>[Check one option and narrative where applicable]</i>			
<b>1.1c. Division, bureau, or office of the CSBG authorized official</b>	Executive Director		
<b>1.1d. Authorized official of lead agency</b>	Dennis L. Mesa		
<b>1.1e. Street Address</b>	611 S. Kansas Ave.		
<b>1.1f. City</b>	Topeka	<b>1.1g. State</b> <b>KS</b>	<b>1.1h. Zip</b> <b>66603</b>
<b>1.1i. Telephone number and extension</b> ( 785 ) 217 - 2001 ext.		<b>1.1j. Fax number:</b> ( 785 ) 232 - 8084	
<b>1.1k. Email address</b> <a href="mailto:dmesa@kshousingcorp.org">dmesa@kshousingcorp.org</a>	<b>1.1l. Lead agency website</b> <a href="http://www.kshousingcorp.org">www.kshousingcorp.org</a>		

**1.2. Provide the following information in relation to the designated State CSBG point of contact**

<b>1.2a. Agency name</b>	Kansas Housing Resources Corporation		
<b>1.2b. Name of the point of contact</b>	Douglas Wallace		
<b>1.2c. Street address</b>	611 S. Kansas Ave.		
<b>1.2d. City</b>	Topeka	<b>1.2e. State</b> <b>KS</b>	<b>1.2f. Zip</b> <b>66603</b>
<b>1.2g. Point of contact telephone number</b> ( 785 ) 217 - 2044 ext.		<b>1.2h. Fax number</b> ( 785 ) 256 - 9484	
<b>1.2i. Point of contact email address</b> <a href="mailto:dwallace@kshousingcorp.org">dwallace@kshousingcorp.org</a>	<b>1.2j. Point of contact agency website</b> <a href="http://www.kshousingcorp.org">www.kshousingcorp.org</a>		

**1.3. Designation Letter:**  
*Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.*

## Section 2: State Legislation and Regulation

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

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### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

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.)*

Kansas Housing Resources Corporation has set the following goals for FY2018. 1) KHRC will demonstrate effective oversight of the CSBG funds by improving the Kansas Customer Satisfaction Index Score on the ACSI Survey. 2) KHRC will utilize CSBG Discretionary funding to support CSBG Eligible Entities and other non-profit organizations whose primary purpose is that of eliminating the causes and effects of poverty in Kansas. 3) KHRC will maintain a high level of communication with the CSBG Eligible Entities and KACAP through monthly conference calls, quarterly KanDo! Task Force meetings, bi-monthly meetings with KACAP Board of Directors, monthly meetings with KACAP and through regular email communication. 4) KHRC, in partnership with 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 5) KHRC, in partnership with KACAP, will coordinate the delivery of effective training to help promote high performing CSBG Eligible Entities

#### 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]*

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)*

National organizations *(describe)*

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)*

Throughout the year, the CSBG Program Manager attends various meetings and conference calls to solicit input from the CSBG Eligible Entities for the development of the CSBG Model State Plan. 1) The CSBG Program Manager regularly attends the Kansas Association of Community Action Programs (KACAP) facilitated Affinity group meetings, which include the KACAP Board of Directors meetings. During the KACAP Board of Directors meetings, KHRC provides program updates and solicits feedback from the participants. 2) Kansas Housing Resources Corporation and the Kansas Association of Community Action Programs (KACAP) have monthly collaboration meetings to discuss the training and technical assistance needs of the Community Action Network. 3) KHRC facilitates a quarterly meeting of the KanDo! Task Force. These meetings focus on data reporting and the technical assistance needs of the network. 4) The CSBG Program Manager facilitates monthly conference calls with the Community Action Network to share updates, solicit feedback and to share information about local and state resources. 5) KHRC scheduled two public hearings during the development of the FY2018 CSBG Model State Plan. A preliminary public meeting was held on August 1, 2017 at Kansas Housing Resources Corporation (KHRC) to solicit input from the

CSBG Eligible Entities and public on the development of the state plan. 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, 2017 at the KHRC Office during which the CSBG Program Manager presented the final FFY2018 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 15b(i) and (ii) and may pre-populate the State's annual report form)*

As described in 3.4a, KHRC has enhanced communication with the CSBG Eligible Entities through regular attendance with the KACAP Affinity Peer meetings, including the KACAP Board of Directors meetings. KHRC has regular, monthly meetings with KACAP to discuss training and technical assistance needs of the network. KHRC hosts monthly conference calls with the CSBG Eligible Entities to share updates, solicit input and to develop linkages. KHRC hosts quarterly KanDo! Task Force meetings to discuss ROMA, reporting and the data needs of the network. Two public hearings are held to solicit input from the CSBG Network and public during the development of the CSBG Model State Plan. KACAP worked with KHRC and the CSBG Eligible Entities to collect and analyze data to identify high priority T/TA needs and to identify strategies to accomplish T/TA outcomes. The corresponding Kansas Training and Technical Assistance Plan, created as a result of the T/TA Assessment, provided a guide to the development of the Training and Technical Assistance Plan described in the CSBG Model State Plan.

*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: 64**

*(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

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

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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.**

The approved FY2017 CSBG Model State Plan was posted to the KHRC public website and has been available for the public to review. A preliminary public hearing for the FY2018 CSBG Model State Plan was held on August 1, 2017 at 10:00am at the Kansas Housing Resources Corporation. KHRC coordinated the date, time and location of the public comment hearing with the Kansas Association of Community Action Programs (KACAP) to encourage participation of the Kansas CSBG Eligible Entities. The purpose of the preliminary public hearing was to gather input from the CSBG Eligible Entities and the public regarding the development of the FFY2018 CSBG Model State Plan. A save the date notice of the public hearing was sent to the Community Action network on June 14, 2017. Following the preliminary public hearing, a draft of the FY2018 CSBG Model State Plan was posted on the KHRC website on August 7, 2017. A second and final public hearing was held at 2:00 pm on August 18, 2017 to present the final FFY2018 CSBG State plan to the public for comment. The CSBG Program Manager alerted the CSBG Eligible Entities of the schedule for the final public comment hearing by email communication on June 14, 2017. KHRC posted notice of the public hearings on the KHRC website on July 10, 2017. An announcement about both public hearings was published in the Kansas Register of the Kansas Secretary of State's Office (Vol 36\_No28\_July\_13\_2017\_pages\_849-864) on July 13, 2017.

**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 link for the approved FY2017 CSBG Model State Plan has been posted on the KHRC website and has been available for the public to review. The date and time of the public hearings were discussed during the Kansas Association of Community Action Programs (KACAP) Board of Directors meeting on June 6, 2017. A reminder notice about the dates of the public hearings was sent out to the Community Action Network on June 14, 2017. KHRC posted a notice announcing the public hearings on the KHRC website on July 10, 2017. An announcement about both public hearings was posted in the Kansas Register (Vol 36\_No28\_July\_13\_2017\_pages\_849-864) on July 13, 2017.

**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]
<b>1</b>	03/15/2016	Senate Ways and Means Committee, Kansas State Capital.	Legislative
<b>2</b>	08/01/2017	Kansas Housing Resources Corporation, 611 S. Kansas Ave, Topeka, Kansas 66603	Public
<b>3</b>	08/18/2017	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.**

4.4 Requested Response to OCS Comments - Attached Senate Ways and Means Committee Testimony - Attached Notice of public hearings attached FY2018 CSBG Public Hearing 8.1.2017 - meeting minutes - attached FY2018 CSBG Public Hearing 7.18.17 - official transcript attached Written testimony received from SEK-CAP attached Written testimony received from Mid-KS CAP attached



## Section 5: CSBG Eligible Entities

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

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### SECTION 5 CSBG Eligible Entities

**5.1. CSBG Eligible Entities:**

**In the table below, 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.*



## Section 6: Organizational Standards for Eligible Entities

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

Kansas Housing Resources Corporation (KHRC) intends to change the process for assessing compliance with the CSBG Organizational Standards in FFY2018. The process used in FFY2017 was to assess compliance with CSBG Organizational Standards in conjunction with the regular CSBG On-site Monitoring reviews. The results of the assessments were included in the monitoring reports provided to the CSBG Eligible Entities following each monitoring review. KHRC has subscribed to a web-based system to allow for an electronic review of the CSBG Organizational Standards. During FY2018, KHRC will utilize this web-based system to electronically monitor the CSBG Eligible Entities' compliance with the CSBG Organizational Standards. The system will allow for each CSBG Eligible Entity to complete a self-assessment of their compliance with the CSBG Organizational Standards and upload supporting documentation. KHRC will review the self-assessment and supporting documentation to determine if the standards are met or unmet.

**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)** 88%

*Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.*

## Section 7: State Use of Funds

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

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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%
<b>Total</b>		\$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.*

As a result of the comments received during the CSBG public hearings and comments provided with the 2017 ACSI survey results, KHRC will update the allocation percentages for each CSBG Eligible Entity during FY2018. KHRC will update the allocation percentages by using the most current census data and poverty data available. The formula will not change, only the percentages used to determine the allocation for each CSBG Eligible Entity.

**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? 15

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 (See Section 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	\$0.00	36.00%	\$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	\$0.00	5.00%	\$0.00	0.00%	If funding remains at the anticipated level, up to 5% of the discretionary funds will be used 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.
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	\$0.00	21.00%	\$0.00	0.00%	If funding remains at the anticipated level, up to 21% of discretionary funds will be earmarked to support innovative community-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
					Up to 38% of discretionary funds is earmarked for support of statewide projects including the Organizational Standards System, Kansas Housing Search Website and shortfalls

h. Other activities, specify in column 6	\$0.00	38.00%	\$0.00	0.00%	resulting from KHRC 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.
<b>Total</b>	\$0.00	100.00%	\$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)
- 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 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 be 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 Programs and the CSBG Eligible Entities, 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 CSBG Eligible Entities, are eligible to receive the discretionary grants.

## 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  
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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 3Sc and 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	Both	Governance/Tripartite Boards	Training/Technical Assistance on Board Development and Duties, as described in the Kansas Training / Technical Assistance Plan and the Kansas Training / Technical Assistance Assessment Report.
2	Ongoing / Multiple Quarters	Training	Strategic Planning	Planned topics include development of community assessments, strategic plans, and community action plans. KHRC will continue to support individuals obtaining and maintaining their certification as NCRT and NCRI.
3	Ongoing / Multiple Quarters	Both	Other	The Kansas T/TA Plan identifies individualized T/TA as the preferred deliver mode. Discretionary funding will be earmarked to support the delivery of agency specific training / technical assistance in response to the priorities listed in the Kansas training / technical assistance assessment report developed by KACAP.
4	Ongoing / Multiple Quarters	Both	Reporting	Training and technical assistance on data analysis and reporting.
5	Ongoing / Multiple Quarters	Both	Organizational Standards - General	Training and Technical Assistance to help the CSBG Eligible Entities understand what is required to meet each of the CSBG Organizational Standards.
6	Ongoing / Multiple Quarters	Training	Other	Support for the Kansas Conference on Poverty

**8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) Year One \$0 , Year Two \$0**

*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).*

As required in the Kansas CSBG Manual of Policies and Procedures (Policy 4106(B)) agencies must submit a technical assistance plan and/or quality improvement plan to KHRC within 30 days following the issuance of the monitoring report. All agencies with unmet standards or open compliance matters have complied with this policy and have submitted TAPS and/or QIPS.

**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*

KACAP worked with KHRC to complete a statewide assessment of training and technical assistance needs of the Kansas CSBG Eligible Entities, including a list of high priority T/TA needs. This assessment led to the development of the Kansas Training / Technical Assistance Plan. During FFY2017, Kansas Housing Resources Corporation awarded a discretionary grant to the Kansas Association of Community Action Programs to implement specific training / technical assistance activities in response to the high priority technical assistance needs identified in the Kansas Training / Technical Assistance Plan. The state's plan for delivering CSBG-funded training and technical assistance to CSBG Eligible Entities was developed to support the efforts described in the Kansas T/TA Plan.



## 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

KHRC has regular scheduled collaboration meetings with the Kansas Department of Aging and Disability Services and Kansas Department of Health and Environment *[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](http://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 CSBG Eligible Entities 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. 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.

**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 anti-poverty 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.**

Through the annual refunding process, CSBG Eligible Entities must describe how they 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 system. Policy 11300 of the Kansas CSBG Manual of Policies and Procedures requires Kansas CSBG Eligible Entities to coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services. Entities shall coordinate the provision of employment and training activities with entities providing activities through statewide and local workforce investment systems. KHRC staff review compliance with this policy during CSBG monitoring reviews. 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 reviews. The Kansas Conference on Poverty, sponsored in part by KHRC, has provided an opportunity for the CSBG Eligible Entities to network with governmental and other social services programs providing employment and training activities.

**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 anti-poverty 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 CSBG Eligible Entities 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.

**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 CSBG Eligible Entities 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 2016, 1,828 partnerships were reported by the State's eight eligible entities; 237, or 13 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 CSBG Eligible Entities 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 2016 State CSBG Facts Sheets published by NASCSP, Kansas CSBG Eligible Entities reported leveraging \$10.76 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).

**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 FFY2017, KHRC and KACAP continued to have 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. 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.**

<b>Communication Plan</b>				
	<b>Topic</b>	<b>Expected Frequency</b>	<b>Format</b>	<b>Brief Description of "Other"</b>
1	Eligible entity questions/inquiries	Daily	Other	Format - Phone and Email
2	Acknowledgement of the email receipt of reports and meeting documentation; follow-up as necessary	Monthly	Email	
3	Emerging issues, best practice, network events	Weekly	Email	NASCSP Director Digest shared w/KACAP
4	Refunding instructions/materials	Annually	Email	
5	Feedback/request for additional information or clarification - refunding applications	Annually	Email	
6	Fiscal Affinity Group - Items of interest	Semi-Annually	Meetings/Presentation	
7	Human Resources Affinity Group - Items of interest.	Semi-Annually	Meetings/Presentation	
8	Executive Affinity Group (KACAP BOD) - Items of interest	Other	Meetings/Presentation	Frequency - Even-numbered months
9	KanDo! ROMA TF - Performance management, and data collection, analysis, reporting & use	Quarterly	Other	Format - Email, Meetings/Presentations
10	KHRC accomplishments	Annually	Other	Format - Website, Hard-copy distribution
11	Communication w/WAP and ESG	Monthly	Meetings/Presentation	
12	KanDo! ROMA Plan	Other	Website	Frequency - On-Demand
13	Legislative Hearing	Other	Meetings/Presentation	Frequency - Every three years. Next in 2019.
14	State Plan Public Hearing	Annually	Meetings/Presentation	
15	EFT Remittance Notice	Monthly	Email	
16	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.
17	CSBG Close-Out Documents	Annually	Email	

**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 written/oral reports 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.*

The CSBG Program Manager will continue to have monthly meetings with KACAP to improve communication and to identify training / technical assistance needs within the network. During FY2016 and FY2017 KHRC developed multiple strategies to improve communication with the Community Action Network, including attendance at the KACAP Board of Director meetings, Affinity Peer meetings, monthly collaboration meetings with KACAP, and monthly conference calls facilitated by the CSBG Program Manager. KHRC will continue to have open communication with the Community Action 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	06/22/2017	
2	Southeast Kansas Community Action Program, Inc. (SEK-CAP)	Full onsite	FY1 Q3	06/29/2017	
3	Economic Opportunity Foundation (EOF)	Full onsite	FY1 Q2	03/22/2017	
4	East Central Kansas Economic Opportunity Corporation (ECKAN)	Full onsite	FY1 Q4	09/07/2017	
5	NEK-CAP, Inc.	Full onsite	FY1 Q2	03/16/2017	
6	Mid-Kansas Community Action Program, Inc.	Full onsite	FY1 Q3	04/20/2017	
7	Community Action, Inc.	Full onsite	FY1 Q3	05/25/2017	
8	Harvest America Corporation	Full onsite	FY1 Q4	08/10/2017	

#### 10.2. Monitoring Policies:

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

Monitoring is an on-going process that includes a review of grant applications, KanDo! quarterly reports, monthly Grant Transaction Reports, independent audit reports and management letters, governing board meeting notices, agendas and minutes and the review of monitoring reports from other entities (as available). On-site monitoring may occur at any time and without notice. Typically, however, written notice of the monitoring visit will be provided, at a minimum, one week in advance of the visit. CSBG eligible entities can generally anticipate an annual on-site review by KHRC staff for the purposes of monitoring. The monitoring review will determine the CSBG eligible entity's compliance with applicable federal regulations and state requirements, including but not limited to the Federal CSBG Act, Uniform Administrative Requirements for HHS Awards (45 C.F.R Part 75), Center of Excellence's CSBG Organizational Standards and the Kansas CSBG Policies and Procedures On-site monitoring visits may include, but is not limited to a review of 1) Program policies and procedures 2) Income guidelines and verification procedures 3) Intake forms and procedures 4) Program work plan and activities 5) CSBG administrative files 6) Personnel policies, files and job descriptions 7) Inventory and procurement procedures 8) Cooperative agreements and contracts, including consultant contracts 9) Organizational structure and lines of authority 10) Board member files, bylaws and meeting documentation 11) Fiscal policies and practices 12) Service activity reports, data tracking and reporting systems and supporting documentation 13) Interviews with program staff regarding program operations and job functions 14) Interviews with administrative and fiscal staff 15) Interviews with members of the governing/administering boards 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.

<b>10.5. Quality Improvement Plans (QIPs):</b> <b>How many eligible entities are currently on Quality Improvement Plans?</b>
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
1
<b>10.6. Reporting of QIPs:</b> <b>Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP</b>
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
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.
<b>10.7. Assurance on Funding Reduction or Termination:</b> <b>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)".</b> <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
<b>Policies on Eligible Entity Designation, De-designation, and Re-designation</b>
<b>10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No
<b>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.</b>
<b>10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No
<b>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.</b>
<b>10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No
<b>10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.</b>
<b>Fiscal Controls and Audits and Cooperation Assurance</b>
<b>10.11. Fiscal Controls and Accounting:</b> <b>Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).</b>
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.
<b>10.12. Single Audit Management Decisions:</b> <b>Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR §75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK <a href="#">HERE</a> FOR LINK TO 45 CFR §75.521</b>
<i>Note: This information is associated with State Accountability Measure 4Sd.</i>
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 FY2017, KHRC conducted on-site monitoring reviews with seven of the eight Kansas CSBG Eligible Entities to determine compliance toward the CSBG Organizational Standards. A national technical assistance consultant conducted the assessment with the remaining Kansas CSBG Eligible Entity as part of the technical assistance provided to this agency.

## Section 11: Eligible Entity Tripartite Board

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

Form Approved  
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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 Board members may be interviewed during the CSBG monitoring visits.

**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.**



## 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 policies and procedures for income eligibility can be found in the Kansas CSBG Manual of Policies and Procedures (pages 37 through 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 and 39) provides guidance to the eligible entities on verification of family income. Section 8004, pages 38 and 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

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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 Kansas Community Action Network formed a KanDo! Taskforce to develop and maintain an outcome based system. The KanDo! Taskforce is comprised of members from the eight community action agencies, Kansas Association of Community Action Programs and Kansas Housing Resources Corporation. To provide direction for the Taskforce's activities, the KanDo! Plan (attached to this form) was developed as a fluid document that can be revised as needed to keep the network current with all national and state reporting requirements, and is in line with the networks vision of being progressive. The KanDo! Plan provides the entire Kansas Network with a uniform understanding of the national goals and performance indicators, expectations for the use of the data for performance management and detail regarding quarterly and annual (CSBG IS Survey) reporting of customer demographics and outcomes. Policy 6501 of the Kansas CSBG Manual of Policies and Procedures (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]**

**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 KanDo! Plan is a document that defines CSBG reporting needs related to customer demographics and outcome achievements. The Goals and Performance Indicators listed in KanDo! Plan are based largely on the National Community Action Reporting system. 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.*

KHRC partnered with KACAP and over time developed a solid approach for fostering the ROMA system of performance management within the Kansas Network. Strategies include: 1. Quarterly meetings of the KanDo! Task Force. The Task Force is comprised of representatives from each of the eligible entities. Discussion topics at Task Force meetings typically include strategies for executing the complete ROMA cycle, reporting essentials, software concerns and challenges and need and methods for data authentication. The changes with ROMA Next Gen and the new CSBG Annual Report has been discussed during the 2017 meetings of the KanDo! Taskforce and will continue to be a topic. KHRC is available to the CEEs to support the delivery of T/TA for the new reporting requirements of the CSBG Annual Report. 2. The development and annual update of a KanDo! Plan. The written Plan provides the entire Kansas Network with a uniform understanding of the national goals and performance indicators, expectations for the use of the data for performance management and detail regarding quarterly and annual (CSBG IS Survey) reporting of customer demographics and outcomes. The Plan is web posted at: <http://www.kshousingcorp.org/forms-and-publications.aspx> 3. The review of performance targets established within the Community Action Plan and the tracking of progress toward those targets, quarterly and over time. 4. Earmarking remainder/discretionary funds to potentially support eligible entity performance management needs including technology and ROMA credentialing.

**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.

**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 CSBG Eligible 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.

**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  
Community Services Block Grant (CSBG)

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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.

##### 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. All eight eligible entities 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 CSBG Eligible Entities 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, and 5) use of community partnerships to extend the reach and impact of available resources. 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 2017, Kansas CAAs continued to have an impact through many unique and innovative programs made possible by CSBG funds.

**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.

**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)

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

&nbsp;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.

&nbsp;3. For grantees other than individuals, Alternate I applies.

&nbsp;4. For grantees who are individuals, Alternate II applies.

&nbsp;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.

&nbsp;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).

&nbsp;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).

&nbsp;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

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

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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

&nbsp;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.

&nbsp;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.

&nbsp;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**

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

&nbsp;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

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

**(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.**