KANSAS

Commercial Vehicle Safety Plan
for the
Federal Motor Carrier Safety Administration's
Motor Carrier Safety Assistance Program
Fiscal Years 2018 - 2020
Annual Update FY 2019

Date of Approval: Jun 05, 2019

Final CVSP

<div style="border:1px solid black; text-align:center">Part 1 - MCSAP Overview</div>

1 - Introduction

The Motor Carrier Safety Assistance Program (MCSAP) is a Federal grant program that provides financial assistance to States to help reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles (CMV). The goal of the MCSAP is to reduce CMV-involved accidents, fatalities, and injuries through consistent, uniform, and effective CMV safety programs.

A State lead MCSAP agency, as designated by its Governor, is eligible to apply for grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of 49 CFR 350.201 and 205. The lead agency must submit the State's CVSP to the FMCSA Division Administrator on or before August 1 of each year. For a State to receive funding, the CVSP needs to be complete and include all required documents. Currently, the State must submit a performance-based plan each year to receive MCSAP funds.

The FAST Act required the Federal Motor Carrier Safety Administration (FMCSA) to "prescribe procedures for a State to submit a multiple-year plan and annual updates thereto, under which the State agrees to assume responsibility for improving motor carrier safety by adopting and enforcing State regulations, standards, and orders that are compatible with the regulations, standards, and orders of the Federal Government on commercial motor vehicle safety and hazardous materials transportation safety."

The online CVSP tool (eCVSP) outlines the State's CMV safety objectives, strategies, activities and performance measures and is organized into the following five parts:

- Part 1: MCSAP Overview
- Part 2: Crash Reduction and National Program Elements (FY 2018 - 2020)
- Part 3: National Emphasis Areas and State Specific Objectives (FY 2018 - 2020)
- Part 4: Financial Information (FY 2019)
- Part 5: Certifications and Documents

You will find that each of the five eCVSP parts listed above contains different subsections. Each subsection category will provide you with detailed explanation and instruction on what to do for completing the necessary tables and narratives.

The MCSAP program includes the eCVSP tool to assist States in developing and monitoring their grant applications. The eCVSP provides ease of use and promotes a uniform, consistent process for all States to complete and submit their plans. States and territories will use the eCVSP to complete the CVSP and to submit either a single year, a 3-year plan, or an Annual Update to a 3-year plan. As used within the eCVSP, the term 'State' means all the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands.

NEW FOR FY 2019:

Single Year and Multi-Year plans–For FY 2019, the primary difference in the single year and multi-year CVSP formats is that objectives, projected goals, and activities in the 3-year plan will cover an entire three-year period. The financial information and certifications will be updated each fiscal year.

Annual Updates for Multi-Year plans–Those States in Year 2 of a 3-year plan will be providing an Annual Update only. States will be able to review the project plan submitted in Year 1 and indicate whether anything needs to be updated for Year 2 via a Yes/No question provided in each Section of Parts 1-3. **NOTE: Answer carefully as there is one opportunity to check Yes/No and then the input is locked**.

- If Yes is indicated, the information provided for Year 1 will be editable and State users can make any necessary changes to their project plan.
- If No is indicated, the Year 1 information will not be editable and the user can move forward to the next section.
- The financial information and certifications will be updated each fiscal year.

All single year, multi-year, and annual update plans have been pre-populated with data and information from their FY 2018 plans. States must carefully review and update this information to reflect FY 2019 activities prior to submission to FMCSA.

In addition, States are reminded to **not** include any personally identifiable information (PII) in the CVSP. The final

CVSP approved by FMCSA is required to be posted to a public FMCSA website.

2 - Mission/Goal Statement

Please review the description of your State's lead CMV agency's goals or mission. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

Briefly describe the mission or goal of the lead State commercial motor vehicle safety agency responsible for administering this Commercial Vehicle Safety Plan (CVSP) throughout the State.

NOTE: *Please do not include information on any other FMCSA grant activities or expenses in the CVSP.*

The Kansas Highway Patrol (KHP) is designated as the lead agency for commercial vehicle enforcement by the Governor of Kansas. The Patrol administers all CMV enforcement programs, inspections, accidents and uploads the information to Safer. The Patrol's enforcement began as one of the first States to participate in the MCSAP Pilot State Motor Carrier Safety Plan. In recognition of the Federal Motor Carrier Safety Administration's (FMCSA) goal of the reduction of the Large Truck Fatality collision rates and in keeping consistent with the Kansas Highway Patrol Mission and Goals, Troop I will strive to attain the following goals:

• To ensure our commitment of enforcement actions on accident causing violations. This will be accomplished by continuously monitoring reports of State and Federal highway collisions, in an attempt to identify high crash areas and direct enforcement actions accordingly. Kansas MCSAP inspectors will vigorously enforce driver violations, striving to enforce traffic violations and detect impaired drivers operating CMVs. Additionally, all Troop I personnel will actively promote Seat Belt usage, through a combination of enforcement and educational programs.

• Increase contact with other enforcement agencies. Troop I personnel will participate in "Selective Enforcement" events throughout the state. Each Troop I supervisor will strive to conduct one enforcement effort per quarter throughout their respective coverage areas, as well as participate in Regional Enforcement efforts.

• Promote positive public awareness of the Mission of the Kansas Highway Patrol and the MCSAP program, through the Troop I Public Resource Officers. Education will be presented through media, safety programs and public appearances for industry, public, and other enforcement agencies.

• Increase protection of the Citizens of Kansas through an enhanced Homeland Security presence. This will be accomplished with the distribution of additional equipment for advanced interdiction efforts and participation in coordinated enforcement efforts.

• Troop I safety audit personnel will work to assure all Kansas Motor Carrier New Entrants have a Federally mandated safety audit within 12 months of beginning operation.

• Strive for improvement and maintenance, of high quality roadside inspections. This will be accomplished through continued annual training in new CVSA regulations and changes, HM recertification, and monitoring of roadside inspections by the Troop I SafetyNet department.

3 - MCSAP Structure Explanation

Please review your State's CMV enforcement program description. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

Briefly describe the State's commercial motor vehicle (CMV) enforcement program funded by the MCSAP grant.

NOTE: *Please do not include activities or expenses associated with any other FMCSA grant program.*

The Kansas Highway Patrol (KHP) is designated as the lead agency for commercial vehicle enforcement by the Governor of Kansas. The Patrol administers all CMV enforcement programs, inspections, accidents and uploads the information to Safer. The Patrol's enforcement began as one of the first States to participate in the MCSAP Pilot State Motor Carrier Safety Plan.

MCSAP directly encompasses a Captain, seven Lieutenants, 25 full time Technical Troopers dedicated to inspections, one Law Enforcement Officer dedicated to inspections, seven accident reconstructionists, five part time inspectors, one compliance review officer, one full time safety auditor, one part time safety auditor and five administrative positions to provide the support for all activities. MCSAP also contains one accounting specialist as a supprt position as well as four part time IT specialists.

The Patrol dedicates one full-time position to the compliance review (CR) program. This Investigator will focus primarily on passenger carriers (party bus) reviews or other significant investigations. In addition to conducting CR's based on the CSA model, we will also investigate complaints to determine if CR's are necessary on those carriers. Kansas will continue evaluating all CMV fatalities to determine if a compliance review is needed based on the collision circumstances and post-crash inspection. The MCSAP funded CR program remains focused on Kansas based interstate carriers. Through non-funded, the Kansas Corporation Commission conducts compliance reviews on intrastate operations to provide greater continuity with effective enforcement of the FMCSRs upon all motor carriers operating in the state.

Of the personnel above the Kansas New Entrant program is comprised of an Administrative Lieutenant, Administrative Specialist, and two Safety & Health Inspectors. One of the Safety & Health Inspectors is a full time employee while the other is part-time; both of which are civilians and conduct New Entrant Safety Audits. The New Entrant program is supplemented by four troopers and a Law Enforcement Officer who completes audits on a part time basis. In addition, all New Entrant personnel with the exception of the civilian support position are trained in CVSA Level I, Bulk Packaging, Cargo Tank, Hazardous Materials inspections. The employees must meet and sustain all qualifications to the Federal and State standards to maintain their employment.

Kansas has a Public Resource Officer (PRO) program, which has assisted the industry as well as our inspectors with different types of safety issues. We have one full time Motor Carrier Lieutenant and one part time PRO assigned supplementing our outreach efforts with other MCSAP personnel as necessary to meet industry requests.

The Patrol has trained numerous agencies over the past 34 years. The Patrol partners through memorandum of understandings (MOUs) with 27 other local enforcement agencies. Through the MOUs the Patrol has added 47 additional enforcement personnel throughout the state who participate in CMV inspections and enforcement. If these inspector's receive their inspector training at the Patrol's training facility, the training, overnight stay, and training materials are covered by MCSAP funding. All other operating expenses for our MOU partners are paid by the MOU agency. Through FMCSA's MCSAP Programs, the Patrol currently employs or partners through MOUs with local agencies, 350 NAS certified inspectors.

Kansas continues to enhance awareness of hazardous materials transportation and violations through annual training. We conduct annual General Hazardous Materials (GHM) recertification and refresher training, as well as a GHM class every summer. There are currently 89 Troopers and local inspectors fully trained in the hazardous materials regulations, with 71 of those also certified to conduct Cargo Tank/Other Bulk Packaging inspections.

OneMCSAP Troopers are certified by the NTC as both hazardous materials instructors and RAM instructor. We currently send at least two MCSAP Troopers to the annual COHMED conference and we are active in the Uniform Forms and Procedures Working Group. Kansas MCSAP inspectors are directed to perform a minimum of 10% of their total inspections on hazardous materials carriers.

Enhanced monitoring of out-of-service vehicles and drivers insures that only safe CMVs continue to operate in Kansas. We continue to

monitor out-of service violations by use of covert activities, re-inspection procedures, and follow-up with motor carriers. At fixed sites, we survey vehicles and drivers to ensure violations have been corrected. Additionally, we monitor violations of out-of-service orders for problem drivers and motor carriers. We currently have a procedure to notify and contact motor carriers to ensure driver/vehicle inspection violations are corrected.

All Kansas officers have been trained and instructed to issue misdemeanor citations to drivers for the applicable out-of-service violations, as well as other applicable violations, of the Federal Motor Carrier Safety Regulations (FMCSR) discovered during roadside inspections. This change in policy emphasizes the driver's increased role, understanding, responsibility, and holds them accountable and liable for areas under their purview.

The KCC will assess civil penalties to all motor carriers for the applicable OOS violations of the FMCSRs discovered during roadside inspection as determined by the CVSA North American Standard Out-Of-Service criteria. This program emphasizes the increased role, understanding, and responsibility of motor carriers and holds them accountable and liable for areas under their purview.

Commercial Vehicle Drug Interdiction/Homeland Security programs will continue to be stressed during the upcoming year. When schedules allow, we will send selected personnel to DIAP/Homeland Security approved training. We will continue to have personnel participate in HIDTA (High Intensity Drug Trafficking Area) funded lanes and enforcements during the upcoming year and will emphasize drug interdiction activities during statewide efforts.

The Kansas Highway Patrol utilizes a Performance Based Brake Tester (PBBT). This equipment was purchased in CY2010. Training on the equipment was held in Kansas in early CY2011. The CMVs are screened for braking efficiency. Due to wear and tear on the PBBT during travel across the state over the years, Kansas has placed this PBBT at the Liberal, Kansas scale facilty, where it will be utilized at the direction of the scale facility Lieutenant.

During FFY 2018, Kansas will train and equip selected Technical Troopers in the area of post-crash inspections. These individuals will complete in-depth post crash inspections for serious injury and fatality crashes involving CMVs, with the hope of identifying any violations which may have been causation factors in the crash and documenting those violations in a detailed post-crash inspection report.

4 - MCSAP Structure

Please review your State's MCSAP structure information. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

Complete the following tables for the MCSAP lead agency, each subrecipient and non-funded agency conducting eligible CMV safety activities.

The tables below show the total number of personnel participating in MCSAP activities, including full time and part time personnel. This is the total number of non-duplicated individuals involved in all MCSAP activities within the CVSP. (The agency and subrecipient names entered in these tables will be used in the National Program Elements —Roadside Inspections area.)

The national program elements sub-categories represent the number of personnel involved in that specific area of enforcement. FMCSA recognizes that some staff may be involved in more than one area of activity.

Lead Agency Information	
Agency Name:	KANSAS HIGHWAY PATROL
Enter total number of personnel participating in MCSAP activities	303
National Program Elements	**Enter # personnel below**
Driver and Vehicle Inspections	303
Traffic Enforcement Activities	303
Investigations*	8
Public Education and Awareness	2
Data Collection and Reporting	5
* Formerly Compliance Reviews and Includes New Entrant Safety Audits	

Non-funded Agency Information	
Total number of agencies:	27
Total # of MCSAP Participating Personnel:	47

Part 2 - Crash Reduction and National Program Elements

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1 - Overview

Part 2 allows the State to provide past performance trend analysis and specific goals for FY 2018 - 2020 in the areas of crash reduction, roadside inspections, traffic enforcement, audits and investigations, safety technology and data quality, and public education and outreach.

In past years, the program effectiveness summary trend analysis and performance goals were separate areas in the CVSP. Beginning in FY 2017, these areas have been merged and categorized by the National Program Elements as described in 49 CFR 350.109. This change is intended to streamline and incorporate this information into one single area of the CVSP based upon activity type.

Note*: For CVSP planning purposes, the State can access detailed counts of its core MCSAP performance measures. Such measures include roadside inspections, traffic enforcement activity, investigation/review activity, and data quality by quarter for the current and past two fiscal years using the State Quarterly Report and CVSP Data Dashboard, and/or the CVSP Toolkit on the A&I Online website. The Data Dashboard is also a resource designed to assist the State with preparing their MCSAP-related quarterly reports and is located at: http://ai.fmcsa.dot.gov/StatePrograms /Home.aspx. A user id and password are required to access this system.*

In addition, States can utilize other data sources available on the A&I Online website as well as internal State data sources. It is important to reference the data source used in developing problem statements, baselines and performance goals/ objectives.

2 - CMV Crash Reduction

Please review the description of your State's crash reduction problem statement, goals, program activities and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

The primary mission of the Federal Motor Carrier Safety Administration (FMCSA) is to reduce crashes, injuries and fatalities involving large trucks and buses. MCSAP partners also share the goal of reducing commercial motor vehicle (CMV) related crashes.

Trend Analysis for 2012 - 2016

Instructions for all tables in this section:

Complete the tables below to document the State's past performance trend analysis over the past five measurement periods. All columns in the table must be completed.

- *Insert the beginning and ending dates of the five most recent State measurement periods used in the Measurement Period column. The measurement period can be calendar year, Federal fiscal year, State fiscal year, or any consistent 12-month period for available data.*
- *In the Fatalities column, enter the total number of fatalities resulting from crashes involving CMVs in the State during each measurement period.*
- *The Goal and Outcome columns allow the State to show its CVSP goal and the actual outcome for each measurement period. The goal and outcome must be expressed in the same format and measurement type (e.g., number, percentage, etc.).*
  - *In the Goal column, enter the goal from the corresponding CVSP for the measurement period.*
  - *In the Outcome column, enter the actual outcome for the measurement period based upon the goal that was set.*
- *Include the data source and capture date in the narrative box provided below the tables.*
- *If challenges were experienced while working toward the goals, provide a brief narrative including details of how the State adjusted the program and if the modifications were successful.*

ALL CMV CRASHES

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g. large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, or other). Other can include injury only or property damage crashes.

Goal measurement as defined by your State: Actual # Fatal Crashes

If you select 'Other' as the goal measurement, explain the measurement used in the text box provided:

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2016	12/31/2016	62	51	61
01/01/2015	12/31/2015	44	52	62
01/01/2014	12/31/2014	64	53	44
01/01/2013	12/31/2013	49	54	64
01/01/2012	12/31/2012	54	55	49

MOTORCOACH/PASSENGER CARRIER CRASHES

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g. large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, other, or N/A).

Goal measurement as defined by your State: Actual # Fatal Crashes

If you select 'Other' or 'N/A' as the goal measurement, explain the measurement used in the text box provided:

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2016	12/31/2016	0	0	0
01/01/2015	12/31/2015	0	0	0
01/01/2014	12/31/2014	1	0	1
01/01/2013	12/31/2013	1	0	1
01/01/2012	12/31/2012	2	0	2

Hazardous Materials (HM) CRASH INVOLVING HM RELEASE/SPILL

Hazardous material is anything that is listed in the hazardous materials table or that meets the definition of any of the hazard classes as specified by Federal law. The Secretary of Transportation has determined that hazardous materials are those materials capable of posing an unreasonable risk to health, safety, and property when transported in commerce. The term hazardous material includes hazardous substances, hazardous wastes, marine pollutants, elevated temperature materials, and all other materials listed in the hazardous materials table.

For the purposes of the table below, HM crashes involve a release/spill of HM that is part of the manifested load. (This does not include fuel spilled from ruptured CMV fuel tanks as a result of the crash).

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g., large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, other, or N/A).

Goal measurement as defined by your State: Actual # Fatal Crashes

If you select 'Other' or 'N/A' as the goal measurement, explain the measurement used in the text box provided:

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2016	12/31/2016	0	0	0
01/01/2015	12/31/2015	0	0	0
01/01/2014	12/31/2014	0	0	0
01/01/2013	12/31/2013	0	0	0
01/01/2012	12/31/2012	0	0	0

Enter the data sources and capture dates of the data listed in each of the tables above.
KDOT/FARS Data and MCMIS - June 2017

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

The challenge for Kansas will always be how to reduce already low number of fatality collisions when combined with the number of Kansas rural road miles and two lane roads. The Kansas Legislature provided an additional challenge to Kansas during the 2014 Legislative Session, when they passed a bill which was ultimately signed into law. This law exempted CMVs engaged in intrastate commerce, with a GVWR of 26,000 pounds or less, of all applicable safety regulations with the exception of load securement and annual inspection requirements.

This law went into effect on July 1, 2014, and a negative impact on the motoring public was realized, which caused the legislature to make changes to the law in 2015. During the 2015 Kansas Legislative Session,
due to numerous crashes involving CMVs with a GVWR of 26,000 pounds or less engaged in intrastate commerce, the legislature brought back in "For Hire" carriers in their entirety, load securement, annual inspection, and coupling device regulations for "Private Carriers". There were no further changes
during the 2016 or 2017 Kansas Legislative Sessions.

Another difficulty is our states speed limits, which is 75 miles per hour on the interstate. The increased speeds on interstates mean crash severity is exponentially exacerbated when a crash occurs.

Narrative Overview for FY 2018 - 2020

Instructions:

The State must include a reasonable crash reduction goal for their State that supports FMCSA's mission to reduce the national number of crashes, injuries and fatalities involving commercial motor vehicles. The State has flexibility in setting its goal and it can be based on raw numbers (e.g., total number of fatalities or CMV crashes), based on a rate (e.g., fatalities per 100 million VMT), etc.

Problem Statement Narrative: Describe the identified problem, include baseline data and identify the measurement method.
Over the past decade of FARS accident data (CY2007 – CY2016), Kansas has achieved significant improvements regarding CMV safety. Kansas has been successful in reducing all CMV accidents over the last decade but continues to have difficulty maintaining a reduced number of deaths. Within the past ten years, Kansas has reported 72 fatal accidents in CY2007 compared to 44 fatal accidents in CY2014 which was Kansas' best reporting year showing a 25% reduction in fatal accidents from the ten year average.

Kansas does not have an isolated CMV crash corridor. KS FARS Data - June 2017, analyzed from CY 2111 through CY 2015, indicated that Johnson, Sedgwick, Wyandotte, and Shawnee counties represent 37% of all KS CMV collisions.

KS FARS Data - June 2017, indicated Johnson, Sedgwick, Shawnee and Wyandotte counties represented 48.7 % of all Kansas crashes, 41% of CMV crashes and 10% of CMV fatality crashes in CY 2015. CY2015 KDOT FARS Data also revealed that the largest percentage of all accidents (16.8%) in Kansas occurs on Fridays, during the time period of 5:00 p.m. to 5:59 p.m., which represents the largest time frame (8.7%) during the twenty-four hour day. Each of these counties have major metropolitan areas with the highest traffic counts in Kansas.

Kansas Accidents Involving CMV's								
KDOT								
Year	2009	2010	2011	2012	2013	2014	2015	2016
Johnson	419	432	542	437	463	543	627	654
Sedgwick	310	291	332	281	355	356	299	345

Wyandotte	171	209	212	200	226	244	272	166
Shawnee	102	131	156	134	128	125	129	112
Total	1002	1063	1242	1052	1172	1268	1327	1277

Kansas set a goal to reduce the number of CMV accidents in these four high crash counties by 55 from CY2013-CY2017, with an annual benchmark of 11 fewer crashes per year. These high collision areas prove challenging and Kansas is working hard to meet this goal by scheduling selective enforcement lanes specifically within these high collision areas.

Moving hazardous violations such as following too close, improper passing, failing to signal lane changes are examples of accident causing violations that Kansas focuses on to help reduce the number and severity of crashes. In addition to the moving hazardous violations, speed is often a major contributing factor in traffic accidents. Again, Kansas will also focus on speed to help reduce the number and severity of crashes.

Kansas' safety restraint usage has maintained consistent over the past decade. In CY2007, 85.6% of drivers of large vehicles involved in collisions were wearing safety belts. In CY2016, this percentage rose to 86.9%, a 1% increase. Kansas expects the usage of safety belts to either increase or maintain current levels based upon the last five year's data trend.

Enter the data source and capture date:
KDOT FARS/Accident Data 2011 through 2015, captured June 2017.

Projected Goal for FY 2018 - 2020:

In the table below, state the crash reduction goal for each of the three fiscal years. The method of measurement should be consistent from year to year. For example, if the overall crash reduction goal for the three year period is 12 percent, then each annual goal could be 4 percent.

Fiscal Year	Annual Crash Reduction Goals
2018	1
2019	1
2020	1

Kansas expects to reduce the average crashes (56) from CY 2011-2015 by 3% from CY2018 until 2020, with an annual benchmark reduction of 1%.

Program Activities for FY 2018 - 2020: States must indicate the activities, and the amount of effort (staff hours, inspections, traffic enforcement stops, etc.) that will be resourced directly for the program activities purpose.
Kansas will dedicate 160 hours of directed patrol activities to this crash reduction objective each quarter of FY2018. These hours will be dedicated to the high crash locations within the four focus counties. Violations will be noted on inspection reports with citations issued as appropriate.

Performance Measurements and Monitoring: The State will monitor the effectiveness of its CMV Crash Reduction Goal quarterly and annually by evaluating the performance measures and reporting results in the required Standard Form - Performance Progress Reports (SF-PPRs).

Describe how the State will conduct ongoing monitoring of progress in addition to quarterly reporting.
Kansas will dedicate 40 hours per quarter in each of the following counties: Johnson, Sedgwick, Wyandotte, and Shawnee. Kansas expects a 1% reduction in the total number of crashes occurring in the combined mentioned counties based on the average number of crashes from CY2011 to CY2015. Kansas will evaluate the inspection activity generated in each county on a quarterly basis. The grant manager will report the total number of inspections per deployment for each county, the total number of CMV crashes, and the total number of inspections completed in the MCSAP annual reports. The reduction of crashes will be evaluated when annual CY data is released.

3 - Roadside Inspections

Please review the description of your State's overall inspection program and identify if changes are needed for the upcoming fiscal year. You must also update the projected roadside inspection goals for the upcoming fiscal year. You must select "yes" to make changes.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

In this section, provide a trend analysis, an overview of the State's roadside inspection program, and projected goals for FY 2018 - 2020.

Note: *In completing this section, do NOT include border enforcement inspections. Border Enforcement activities will be captured in a separate section if applicable.*

Trend Analysis for 2012 - 2016

Inspection Types	2012	2013	2014	2015	2016
Level 1: Full	8936	8902	7852	8227	7704
Level 2: Walk-Around	25651	24308	23448	22319	21654
Level 3: Driver-Only	21596	23290	23498	21622	18364
Level 4: Special Inspections	62	24	34	15	3
Level 5: Vehicle-Only	106	91	99	57	91
Level 6: Radioactive Materials	0	0	0	0	0
Total	**56351**	**56615**	**54931**	**52240**	**47816**

Narrative Overview for FY 2018 - 2020

Overview:

Describe components of the State's general Roadside and Fixed-Facility Inspection Program. Include the day-to-day routine for inspections and explain resource allocation decisions (i.e., number of FTE, where inspectors are working and why).

Enter a narrative of the State's overall inspection program, including a description of how the State will monitor its program to ensure effectiveness and consistency.
In addition to our roadside inspectors, the KHP currently has 8 fixed scale house locations located across the state. The scale houses are cumulatively staffed by approximately 23 NAS certified Motor Carrier Inspectors. All Kansas inspectors utilize insPECT software to complete CMV inspections. The transition from Aspen and hand written inspections to insPECT was completed during CY 2016. Having all inspectors in Kansas utilize insPECT alleviated the need for inspections to be hand entered into SAFETNET by KHP personnel.

KHP personnel utilize Digiticket software to issue citations to motorists. Digiticket is a computer based program that enables Officers to fill out citations, via their Mobile Data Units (MDU) at the completion of the enforcement action. The Officer can then electronically forward those citations to the respective District Court jurisdiction for processing, while further advancing paper reduction efforts. Digiticket will ensure timely routing of CMV citations to the courts causing traffic violation conviction data to be more expeditiously disseminated.

Kansas Inspectors use insPECT, ISS, and CVIEW programs to conduct inspection with their MDUs. During these inspections, the driver's license is checked for validity, the motor carrier's USDOT number is checked to ensure that they are not operating under any out of service orders (OOSO) and if so, we impound if conditions warrant. KHP policy is set forth in outlining the number of CVSA inspections each KHP certified NAS Inspector is to obtain and

maintain both quarterly and yearly. This information is monitored at the first line-supervisor level, as well as by MCSAP Command Staff. Inspections are to be uploaded daily at the completion of the Officer's shift. Annual CVSA refresher training is provided to NAS inspectors and provided by KHP NAS certified instructors. KHP SafetyNet staff monitors, via the FMCSA Portal, its state data quality rating intermittently throughout the quarter as a quality control measure in order to stave off issues as they may arise.

Projected Goals for FY 2018 - 2020

Instructions for Projected Goals:

Complete the following tables in this section indicating the number of inspections that the State anticipates conducting during Fiscal Years 2018 - 2020. For FY 2019, there are separate tabs for the Lead Agency, Subrecipient Agencies, and Non-Funded Agencies—enter inspection goals by agency type. Enter the requested information on the first three tabs (as applicable). The Summary table totals are calculated by the eCVSP system.

To modify the names of the Lead or Subrecipient agencies, or the number of Subrecipient or Non-Funded Agencies, visit Part 1, MCSAP Structure.

Note*:Per the MCSAP Comprehensive Policy, States are strongly encouraged to conduct at least 25 percent Level 1 inspections and 33 percent Level 3 inspections of the total inspections conducted. If the State opts to do less than these minimums, provide an explanation in space provided on the Summary tab.*

MCSAP Lead Agency

Lead Agency is: KANSAS HIGHWAY PATROL

Enter the total number of certified personnel in the Lead agency: 303

Projected Goals for FY 2019 - Roadside Inspections					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	6300	1200	15	7515	14.49%
Level 2: Walk-Around	24500	2000	40	26540	51.17%
Level 3: Driver-Only	17500	70	30	17600	33.93%
Level 4: Special Inspections	30	5	5	40	0.08%
Level 5: Vehicle-Only	100	10	60	170	0.33%
Level 6: Radioactive Materials	0	0	0	0	0.00%
Sub-Total Lead Agency	**48430**	**3285**	**150**	**51865**	

MCSAP subrecipient agency

Complete the following information for each MCSAP subrecipient agency. A separate table must be created for each subrecipient.

You have not entered any subrecipient information. Visit Part 1, MCSAP Structure to add subrecipient information.

Non-Funded Agencies

Total number of agencies:	27
Enter the total number of non-funded certified officers:	47
Enter the total number of inspections projected for FY 2019:	1600

Summary

Projected Goals for FY 2019 - Roadside Inspections Summary

Projected Goals for FY 2019 Summary for All Agencies					
MCSAP Lead Agency: KANSAS HIGHWAY PATROL # certified personnel: 303					
Subrecipient Agencies: # certified personnel: 0					
Number of Non-Funded Agencies: 27 # certified personnel: 47 # projected inspections: 1600					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	6300	1200	15	7515	14.49%
Level 2: Walk-Around	24500	2000	40	26540	51.17%
Level 3: Driver-Only	17500	70	30	17600	33.93%
Level 4: Special Inspections	30	5	5	40	0.08%
Level 5: Vehicle-Only	100	10	60	170	0.33%
Level 6: Radioactive Materials	0	0	0	0	0.00%
Total ALL Agencies	**48430**	**3285**	**150**	**51865**	

Note:If the minimum numbers for Level 1 and Level 3 inspections are less than described in the MCSAP Comprehensive Policy, briefly explain why the minimum(s) will not be met.
The Kansas Highway Patrol has 50 full time Level 1 certified inspectors who are required to complete at least 30 percent Level 1 inspections per Federal Fiscal Year (FFY) . These inspectors are also required to complete 34 percent Level 3 inspections and 10 percent Hazardous Materials inspections per FFY. Additionally, Kansas has an additional 30 local (non-funded and non-full time) inspectors who are Level 1 certified and required to complete 32 Level 1 inspections per FFY and any amount of Level 2 and Level 3 inspections they deem appropriate. The remaining 270 inspectors in Kansas are not full-time and are only required to complete Level 2 and/or Level 3 inspections.

Projected Goals for FY 2019 Roadside Inspections	Lead Agency	Subrecipients	Non-Funded	Total
Enter total number of projected inspections	48430	0	1600	50030
Enter total number of certified personnel	350	0	47	397
Projected Goals for FY 2020 Roadside Inspections				
Enter total number of projected inspections	48430	0	1600	50030
Enter total number of certified personnel	350	0	47	397

4 - Investigations

Please review your State's investigation goals, program activities and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Describe the State's implementation of FMCSA's interventions model for interstate carriers. Also describe any remaining or transitioning compliance review program activities for intrastate motor carriers. Include the number of personnel assigned to this effort. Data provided in this section should reflect interstate and intrastate investigation activities for each year.

☐ **The State does not conduct investigations. If this box is checked, the tables and narrative are not required to be completed and won't be displayed.**

Trend Analysis for 2012 - 2016

Investigative Types - Interstate	2012	2013	2014	2015	2016
Compliance Investigations		0			0
Cargo Tank Facility Reviews	1		0	1	1
Non-Rated Reviews (Excludes CSA & SCR)	22	19	18	18	16
CSA Off-Site		0	0	0	0
CSA On-Site Focused/Focused CR	0	0	0	1	2
CSA On-Site Comprehensive	9	18	7	8	5
Total Investigations	**32**	**37**	**25**	**28**	**24**
Total Security Contact Reviews	1	5	0	1	0
Total Terminal Investigations			0	0	0

Investigative Types - Intrastate	2012	2013	2014	2015	2016
Compliance Investigations					
Cargo Tank Facility Reviews					
Non-Rated Reviews (Excludes CSA & SCR)	1	6			
CSA Off-Site					
CSA On-Site Focused/Focused CR					
CSA On-Site Comprehensive	1				
Total Investigations	**2**	**6**	**0**	**0**	**0**
Total Security Contact Reviews	1				
Total Terminal Investigations					

Narrative Overview for FY 2018 - 2020

Instructions:

Describe the State's implementation of FMCSA's interventions model to the maximum extent possible for interstate carriers and any remaining or transitioning compliance review program activities for intrastate motor carriers. Include the number of personnel assigned to this effort.

Projected Goals for FY 2018 - 2020

Complete the table below indicating the number of investigations that the State anticipates conducting during FY 2018 - 2020.

Projected Goals for FY 2018 - 2020 - Investigations						
	FY 2018		**FY 2019**		**FY 2020**	
Investigation Type	**Interstate**	**Intrastate**	**Interstate**	**Intrastate**	**Interstate**	**Intrastate**
Compliance Investigations	2	0	2	0	2	0
Cargo Tank Facility Reviews	0	0	0	0	0	0
Non-Rated Reviews (Excludes CSA & SCR)	5	0	5	0	5	0
CSA Off-Site	13	0	13	0	13	0
CSA On-Site Focused/Focused CR	5	0	5	0	5	0
CSA On-Site Comprehensive	5	0	5	0	5	0
Total Investigations	**30**	**0**	**30**	**0**	**30**	**0**
Total Security Contact Reviews	0	0	0	0	0	0
Total Terminal Investigations	0	0	0	0	0	0

Add additional information as necessary to describe the carrier investigation estimates.
Due to having only one Investigator, the estimates for each category are intended to enable the investigator to work on more than one review at a time.

Program Activities: Describe components of the State's carrier investigation activities. Include the number of personnel participating in this activity.
Both the FMCSA FPM and the Kansas Highway Patrol Administrative Lieutenant assign Compliance Reviews. Reviews will be assigned based on the Safety Measurement System (SMS) or an internally or externally generated complaint. Additionally, reviews are assigned for Kansas carriers if they are involved and potentially at fault in a fatality collision.

The Kansas Highway Patrol has one full time employee dedicated to completing compliance reviews (CR's). Kansas will work with the FMCSA Kansas Division to conduct compliance reviews of high- risk motor carriers as identified on the high-risk carrier assignment list. The division will continue to conduct compliance reviews on interstate carriers that are identified as high-risk carriers on the FMCSA investigation prioritization list.

Performance Measurements and Monitoring: Describe all measures the State will use to monitor progress toward the annual goals. Further, describe how the State measures qualitative components of its carrier investigation program, as well as outputs.
The full time compliance review officer will be required to average at a minimum, two compliance reviews per month.While these reviews are a minimum number, we will strive to increase our "carrier touches" during on site focused, and off site reviews. The Kansas Highway Patrol Commander and Administrative Lieutenant are both committed to the sucessful application of the CSA process.

5 - Traffic Enforcement

Please review the description of your State's traffic enforcement program, projected goals and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Traffic enforcement means documented enforcement activities of State or local officials. This includes the stopping of vehicles operating on highways, streets, or roads for moving violations of State or local motor vehicle or traffic laws (e.g., speeding, following too closely, reckless driving, and improper lane changes).

Trend Analysis for 2012 - 2016

Instructions*:*

Please refer to the MCSAP Comprehensive Policy *for an explanation of FMCSA's traffic enforcement guidance. Complete the tables below to document the State's safety performance goals and outcomes over the past five measurement periods.*

1. *Insert the beginning and end dates of the measurement period being used, (e.g., calendar year, Federal fiscal year, State fiscal year or any consistent 12-month period for which data is available).*
2. *Insert the total number CMV traffic enforcement stops with an inspection, CMV traffic enforcement stops without an inspection, and non-CMV stops in the tables below.*
3. *Insert the total number of written warnings and citations issued during the measurement period. The number of warnings and citations are combined in the last column.*

State/Territory Defined Measurement Period (Include 5 Periods)		Number of Documented CMV Traffic Enforcement Stops with an Inspection	Number of Citations and Warnings Issued
Begin Date	End Date		
01/01/2016	12/31/2016	3334	
01/01/2015	12/31/2015	3739	
01/01/2014	12/31/2014	5123	
01/01/2013	12/31/2013	6155	
01/01/2012	12/31/2012	6202	

☑ *The State does not conduct CMV traffic enforcement stops without an inspection. If this box is checked, the "CMV Traffic Enforcement Stops without an Inspection" table is not required to be completed and won't be displayed.*

☑ *The State does not conduct documented non-CMV traffic enforcement stops and was not reimbursed by the MCSAP grant (or used for State Share or MOE). If this box is checked, the "Non-CMV Traffic Enforcement Stops" table is not required to be completed and won't be displayed.*

Enter the source and capture date of the data listed in the tables above.

Data from KHP internal sources - June 2017 Kansas does not conduct CMV Traffic Enforcement Stops without Inspection and has no mechanism at this time to determine how many citations and warnings were written for each stop without looking at each inspection individually. Kansas does conduct traffic stops on Non-CMVs which are operating around CMVs. However, Kansas had no mechanism for tracking the number of citations and warnings issued during these stops prior to 2014.

Narrative Overview for FY 2018 - 2020

***Instructions**:*

Describe the State's proposed level of effort (number of personnel) to implement a statewide CMV (in conjunction with and without an inspection) and/or non-CMV traffic enforcement program. If the State conducts CMV and/or non-CMV traffic enforcement activities only in support of the overall crash reduction goal, describe how the State allocates traffic enforcement resources. Please include number of officers, times of day and days of the week, specific corridors or general activity zones, etc. Traffic enforcement activities should include officers who are not assigned to a dedicated commercial vehicle enforcement unit, but who conduct eligible commercial vehicle/driver enforcement activities. If the State conducts non-CMV traffic enforcement activities, the State must conduct these activities in accordance with the [MCSAP Comprehensive Policy](#).

Projected Goals for FY 2018 - 2020

Using the radio buttons in the table below, indicate the traffic enforcement activities the State intends to conduct in FY 2018 - 2020. The projected goals are based on the number of traffic stops, not tickets or warnings issued. These goals are NOT intended to set a quota.

Yes	No	Traffic Enforcement Activities	Enter Projected Goals (Number of Stops only)		
			FY 2018	FY 2019	FY 2020
●	○	CMV with Inspection	3000	3000	3000
○	●	CMV without Inspection	0	0	0
●	○	Non-CMV	6000	6000	6000
●	○	Comprehensive and high visibility in high risk locations and corridors (special enforcement details)	18	18	18

In order to be eligible to utilize Federal funding for Non-CMV traffic enforcement, the [FAST Act](#) requires that the State must maintain an average number of safety activities which include the number of roadside inspections, carrier investigations, and new entrant safety audits conducted in the State for Fiscal Years 2004 and 2005.

The table below displays the information you input into this plan from the roadside inspections, investigations, and new entrant safety audit sections. Your planned activities must at least equal the average of your 2004/2005 activities.

FY 2019 Planned Safety Activities				
Inspections	Investigations	New Entrant Safety Audits	Sum of FY 2019 Activities	Average 2004/05 Activities
53465	30	407	53902	53021

Describe how the State will monitor its traffic enforcement efforts to ensure effectiveness, consistency, and correlation to FMCSA's national traffic enforcement priority.
Kansas enters traffic enforcement data after each deployment outlined above as well as every 15 days of the month. This activity is calculated monthly for review by all MCSAP supervisors and senior command staff as well as the MCSAP Commander for compliance with the FMCSA national traffic enforcement priorities. This information is also

reported to the Kansas Division of FMCSA monthly.

6 - Safety Technology

Please verify your State's safety technology compliance levels, responsible agencies, and narrative overview. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

The FAST Act made Performance and Registration Information Systems Management (PRISM) a condition for MCSAP eligibility in 49 CFR 350.201 (aa). States must achieve full participation by October 1, 2020. FMCSA defines "fully participating" in PRISM, for the purpose of determining eligibility for MCSAP funding, as when a State's or Territory's International Registration Plan (IRP) or CMV registration agency suspends or revokes and denies registration if the motor carrier responsible for safety of the vehicle is under any Federal OOS order and denies registration if the motor carrier possess an inactive or de-active USDOT number for motor carriers operating CMVs in commerce that have a Gross Vehicle Weight (GVW) of 26,001 pounds or more. Further information regarding full participation in PRISM can be found in the MCP Section 4.3.1.

Under certain conditions, the FAST Act allows MCSAP lead agencies to use MCSAP funds for Operations and Maintenance (O&M) costs associated with Innovative Technology Deployment (ITD) and the PRISM (49 CFR 350.201(aa) (cc)). For PRISM, O&M costs are eligible expenses subject to FMCSA approval. For ITD, if the State agrees to comply with ITD program requirements and has complied with all MCSAP requirements, including achievement of full participation in PRISM, O&M costs are eligible expenses. O&M expenses must be included and described in the Spending Plan section per the method these costs are handled in the State's accounting system (e.g., contractual costs, other costs, etc.).

Safety Technology Compliance Status

Please verify the current level of compliance for your State in the table below using the drop-down menu. If the State plans to include O&M costs in this year's CVSP, please indicate that in the table below. Additionally, details must be in this section and in your Spending Plan.

Technology Program	Current Compliance Level	Include O & M Costs?
ITD	Core CVISN Compliant	No
PRISM	Exceeds Full Participation	No

Avaliable data sources:

- FMCSA website ITD information
- FMCSA website PRISM information

Enter the agency name responsible for ITD in the State, if other than the Lead MCSAP Agency:

Enter the agency name responsible for PRISM in the State, if other than the Lead MCSAP Agency: Kansas Department of Revenue

Narrative Overview for FY 2018 - 2020

Problem Statement Narrative and Projected Goal:
If the State's PRISM compliance is less than full participation, describe activities your State plans to implement to achieve full participation in PRISM.

Program Activities for FY 2018 - 2020: Describe any actions that will be taken to implement full participation in PRISM.

***Performance Measurements and Monitoring: Describe all performance measures that will be used and include
how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.***

7 - Public Education and Outreach

Please review the description of your State's public education and outreach activities, projected goals and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

A public education and outreach program is designed to provide information on a variety of traffic safety issues related to CMVs and non-CMVs that operate around large trucks and buses.

Trend Analysis for 2012 - 2016

In the table below, provide the number of public education and outreach activities conducted in the past 5 years.

Public Education and Outreach Activities	2012	2013	2014	2015	2016
Carrier Safety Talks	89	99	68	72	73
CMV Safety Belt Education and Outreach	89	99	68	72	73
State Trucking Association Meetings	4	4	4	4	4
State-Sponsored Outreach Events	1	1	1	1	1
Local Educational Safety Events					
Teen Safety Events			6	6	11

Narrative Overview for FY 2018 - 2020

Performance Objective: To increase the safety awareness of the motoring public, motor carriers and drivers through public education and outreach activities such as safety talks, safety demonstrations, etc.

Describe the type of activities the State plans to conduct, including but not limited to passenger transportation, hazardous materials transportation, and share the road safely initiatives. Include the number of personnel that will be participating in this effort.

Kansas will continue to conduct educational programs. The Kansas Highway Patrol serves as a resource to the industry for CMV related questions and educational materials. This greatly reduces requests as well as the need for the lead MCSAP agency to provide educational programs. Public education and awareness activities are essential in educating the general public about sharing the road safely with CMVs. Our PROs disseminate information to carriers and the public through training classes and information booths at the state fair, farm shows, industrial associations, CDL truck driving schools, and similar events. The Kansas Highway Patrol PROs and MCSAP officers will strive to maintain a level of 75 programs annually. Kansas did not break down its safety and outreach tracking into each of the activity types listed in the above chart, but will do so in the future. Kansas did report the activity types it did track from 2012 through 2016.

Projected Goals for FY 2018 - 2020

In the table below, indicate if the State intends to conduct the listed program activities, and the estimated number, based on the descriptions in the narrative above.

Yes	No	Activity Type	Performance Goals		
			FY 2018	**FY 2019**	**FY 2020**
⦿	○	Carrier Safety Talks	75	75	75
⦿	○	CMV Safety Belt Education and Outreach	75	75	75
⦿	○	State Trucking Association Meetings	4	4	4
⦿	○	State-Sponsored Outreach Events	1	1	1
⦿	○	Local Educational Safety Events	5	5	5
⦿	○	Teen Safety Events	5	5	5

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct monitoring of progress. States must report the quantity, duration and number of attendees in their quarterly SF-PPR reports.

The number of students, programs given, and hours spent are reported to the SPM through the MCSAP quarterly review. Kansas has not tracked the activity types as listed above in the projected goals in the past, but will do so starting in FFY 2018.

8 - State Safety Data Quality (SSDQ)

Please verify your State's SSDQ compliance levels and narrative overview. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

The FAST Act allows MCSAP lead agencies to use MCSAP funds for Operations and Maintenance (O&M) costs associated with Safety Data Systems (SSDQ) if the State meets accuracy, completeness and timeliness measures regarding motor carrier safety data and participates in the national data correction system (DataQs).

SSDQ Compliance Status

Please verify the current level of compliance for your State in the table below using the drop-down menu. If the State plans to include O&M costs in this year's CVSP, select Yes. These expenses must be included in the Spending Plan section per the method these costs are handled in the State's accounting system (e.g., contractual costs, other costs, etc.).

Technology Program	Current Compliance Level	Include O & M Costs?
SSDQ	Good	Yes

Available data sources:

- FMCSA website SSDQ information

In the table below, use the drop-down menus to indicate the State's current rating within each of the State Safety Data Quality categories, and the State's goal for FY 2018 - 2020.

SSDQ Category	Current SSDQ Rating	Goal for FY 2018	Goal for FY 2019	Goal for FY 2020
Crash Record Completeness	Good	Good	Good	Good
Fatal Crash Completeness	Good	Good	Good	Good
Crash Timeliness	Good	Good	Good	Good
Crash Accuracy	Good	Good	Good	Good
Crash Consistency	No Flag	No Flag	No Flag	No Flag
Inspection Record Completeness	Good	Good	Good	Good
Inspection VIN Accuracy	Good	Good	Good	Good
Inspection Timeliness	Good	Good	Good	Good
Inspection Accuracy	Good	Good	Good	Good

Enter the date of the A & I Online data snapshot used for the "Current SSDQ Rating" column.
A&I May 26, 2017

Narrative Overview for FY 2018 - 2020

Problem Statement Narrative: Describe any issues encountered for any SSDQ category not rated as "Good" in the Current SSDQ Rating category column above (i.e., problems encountered, obstacles overcome, lessons learned, etc.). If the State is "Good" in all categories, no further narrative or explanation is necessary.

Program Activities for FY 2018 - 2020: Describe any actions that will be taken to achieve a "Good" rating in any category not currently rated as "Good," including measurable milestones.

Performance Measurements and Monitoring: Describe all performance measures that will be used and include

how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

9 - New Entrant Safety Audits

Please review the agency responsible for conducting New Entrant activities and the description of your State's strategies, activities and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

The FAST Act states that conducting interstate New Entrant safety audits is now a requirement to participate in the MCSAP (49 CFR 350.201.) The Act allows a State to conduct intrastate New Entrant safety audits at the State's discretion. States that choose to conduct intrastate safety audits must not negatively impact their interstate new entrant program.

Note: The FAST Act also says that a State or a third party may conduct New Entrant safety audits. If a State authorizes a third party to conduct safety audits on its behalf, the State must verify the quality of the work conducted and remains solely responsible for the management and oversight of the New Entrant activities.

Yes	No	Question
◉	○	Does your State conduct Offsite safety audits in the New Entrant Web System (NEWS)? NEWS is the online system that carriers selected for an Offsite Safety Audit use to submit requested documents to FMCSA. Safety Auditors use this same system to review documents and communicate with the carrier about the Offsite Safety Audit.
○	◉	Does your State conduct Group safety audits at non principal place of business locations?
○	◉	Does your State intend to conduct intrastate safety audits and claim the expenses for reimbursement, state match, and/or Maintenance of Effort on the MCSAP Grant?

Trend Analysis for 2012 - 2016

In the table below, provide the number of New Entrant safety audits conducted in the past 5 years.

New Entrant Safety Audits	2012	2013	2014	2015	2016
Interstate	486	450	561	611	403
Intrastate					
Total Audits	**486**	**450**	**561**	**611**	**403**

Note: Intrastate safety audits will not be reflected in any FMCSA data systems—totals must be derived from State data sources.

Narrative Overview for FY 2018 - 2020

Enter the agency name conducting New Entrant activities, if other than the Lead MCSAP Agency: Kansas Highway Patrol

Program Goal: Reduce the number and severity of crashes, injuries, and fatalities involving commercial motor vehicles by reviewing interstate new entrant carriers. At the State's discretion, intrastate motor carriers are reviewed to ensure they have effective safety management programs.

Program Objective: Statutory time limits for processing and completing interstate safety audits are:

- *If entry date into the New Entrant program (as shown in FMCSA data systems) September 30, 2013 or earlier —safety audit must be completed within 18 months.*
- *If entry date into the New Entrant program (as shown in FMCSA data systems) October 1, 2013 or later—safety audit must be completed within 12 months for all motor carriers and 120 days for motor carriers of passengers.*

Projected Goals for FY 2018 - 2020

For the purpose of completing the table below:

- **Onsite safety audits** *are conducted at the carrier's principal place of business.*
- **Offsite safety audit** *is a desktop review of a single New Entrant motor carrier's basic safety management controls and can be conducted from any location other than a motor carrier's place of business. Offsite audits are conducted by States that have completed the FMCSA New Entrant training for offsite audits.*
- **Group audits** *are neither an onsite nor offsite audit. Group audits are conducted on multiple carriers at an alternative location (i.e., hotel, border inspection station, State office, etc.).*

Projected Goals for FY 2018 - 2020 - New Entrant Safety Audits						
	FY 2018		**FY 2019**		**FY 2020**	
Number of Safety Audits/Non-Audit Resolutions	Interstate	Intrastate	Interstate	Intrastate	Interstate	Intrastate
# of Safety Audits (Onsite)	107	0	107	0	107	0
# of Safety Audits (Offsite)	300	0	300	0	300	0
# Group Audits	0	0	0	0	0	0
TOTAL Safety Audits	**407**	**0**	**407**	**0**	**407**	**0**
# of Non-Audit Resolutions	190	0	190	0	190	0

Strategies: Describe the strategies that will be utilized to meet the program objective above. Provide any challenges or impediments foreseen that may prevent successful completion of the objective.

Kansas will conduct Safety Audits as determined by New Entrant entry dates and based on the carriers type of operation. The New Entrant Auditors are strategically placed throughout the state to ensure maximum effectiveness. Carriers requiring Onsite audits will be assigned to the nearest Auditor, reducing the travel expense and completion delays.

In addition to the completion guidlines based on the carriers new entrant date, auditors will focus on carriers in their inventory that are in an expedited status, have crashes, transport hazardous materials, and passengers. Focusing on these carriers is critical due to the potential impact that they have in the event of a catastrophic event.Carriers eligible for Offsite audits will be assigned according to Auditor workload and inventory. This will prevent carriers from becoming overdue and reduce the number of overdue carriers in our metropolitan area that generate greater numbers of New Entrant Carriers than the rural areas of the state.

Activity Plan for FY 2018 - 2020: Include a description of the activities proposed to help achieve the objectives. If group audits are planned, include an estimate of the number of group audits.

The MCSAP New Entrant Lieutenant assigns Safety Audits on a weekly basis. The assignments will be based on the location of the carrier, the carriers' New Entrant entry date, and any special status applicable to the carrier.

Each full time Auditor is expected to complete a minimum of 10 audits per month. Each part time Auditor should average 3-4 audits per month, dependent upon the existing inventory at the time.

Kansas will provide overtime for new entrant auditors for expedited action and carriers within 30 days of being due or over due carriers.

Performance Measurement Plan: Describe how you will measure progress toward meeting the objective, such as quantifiable and measurable outputs (staffing, work hours, carrier contacts, inspections, etc.). The measure must include specific benchmarks to be reported on in the quarterly progress report, or as annual outputs.

Each Auditor completes a monthly activity sheet, which is monitored by the Kansas Highway Patrol MCSAP New Entrant Lieutenant.The activity sheet monitors the number of audits completed in addition to carrier contacts, inactivations, authority changes, failures, no contacts, and farm vehicles exempted due to FAST Act to provide a detailed picture of work output. The Auditor activities are reported both quarterly and annually to the SPM.

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Part 3 - National Emphasis Areas and State Specific Objectives

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FMCSA establishes annual national priorities (emphasis areas) based on emerging or continuing issues, and will evaluate CVSPs in consideration of these national priorities. Part 3 allows States to address the national emphasis areas/priorities outlined in the Notice of Funding Opportunity (NOFO) and any State-specific objectives as necessary. Specific goals and activities must be projected for the three fiscal year period (FYs 2018 - 2020).

1 - Enforcement of Federal OOS Orders during Roadside Activities

Please review your State's Federal OOS catch rate during roadside enforcement activities, projected goals, program activities and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

◉ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

FMCSA has established an Out-of-Service (OOS) catch rate of 85 percent for carriers operating while under an OOS order. In this part, States will indicate their catch rate is at least 85 percent by using the check box or completing the problem statement portion below.

Check this box if:

☑ **As evidenced by the data provided by FMCSA, the State identifies at least 85 percent of carriers operating under a Federal OOS order during roadside enforcement activities and will not establish a specific reduction goal. However, the State will maintain effective enforcement of Federal OOS orders during roadside inspections and traffic enforcement activities.**

2 - Passenger Carrier Enforcement

Please review your State's passenger carrier transportation goals, problem statement narrative, program activities and monitoring. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

⦿ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

FMCSA requests that States conduct enhanced investigations for motor carriers of passengers and other high risk carriers. Additionally, States are asked to allocate resources to participate in the enhanced investigations training being offered by FMCSA. Finally, States are asked to continue partnering with FMCSA in conducting enhanced investigations and inspections at carrier locations.

Check this box if:

☑ **As evidenced by the trend analysis data, the State has not identified a significant passenger transportation safety problem. Therefore, the State will not establish a specific passenger transportation goal in the current fiscal year. However, the State will continue to enforce the Federal Motor Carrier Safety Regulations (FMCSRs) pertaining to passenger transportation by CMVs in a manner consistent with the MCSAP Comprehensive Policy as described either below or in the roadside inspection section.**

3 - State Specific Objectives – Past

No updates are required for this section.

Instructions:

Describe any State-specific CMV problems that were addressed with FY2017 MCSAP funding. Some examples may include hazardous materials objectives, Electronic Logging Device (ELD) implementation, and crash reduction for a specific segment of industry, etc. Report below on year-to-date progress on each State-specific objective identified in the FY 2018 CVSP.

Progress Report on State Specific Objectives(s) from the FY 2018 CVSP

Please enter information to describe the year-to-date progress on any State-specific objective(s) identified in the State's FY 2018 CVSP. Click on "Add New Activity" to enter progress information on each State-specific objective.

Activity #1

Activity: Describe State-specific activity conducted from previous year's CVSP.
KS did not have a State Specific activity in last years CVSP.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

Actual: Insert year to date progress (#, %, etc., as appropriate).

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

4 - State Specific Objectives – Future

Please review your State specific objectives and narrative overview. Are there changes that need to be made for the upcoming fiscal year? Before selecting "yes," make sure there are changes to be made as once selected, this answer cannot be changed.

○ **Yes, the information in this section must be updated for this upcoming fiscal year. I understand that I must click "Save" to save any changes.**

⦿ **No, the information in this section remains valid for the upcoming fiscal year and no updates are necessary.**

Instructions:

The State may include additional objectives from the national priorities or emphasis areas identified in the NOFO as applicable. In addition, the State may include any State-specific CMV problems identified in the State that will be addressed with MCSAP funding. Some examples may include hazardous materials objectives, Electronic Logging Device (ELD) implementation, and crash reduction for a specific segment of industry, etc.

Describe any State-specific objective(s) identified for FY 2018 - 2020. Click on "Add New Activity" to enter information on each State-specific objective. This is an optional section and only required if a State has identified a specific State problem planned to be addressed with grant funding.

State Objective #1

Enter the title of your State-Identified Objective.

Narrative Overview for FY 2018 - 2020

Problem Statement Narrative: Describe problem identified by performance data including baseline data.

Projected Goals for FY 2018 - 2020:
Enter performance goal.

Program Activities for FY 2018 - 2020: Describe the activities that will be implemented including level of effort.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Part 4 - Financial Information

1 - Overview

The Spending Plan is an explanation of each budget component, and should support the cost estimates for the proposed work. The Spending Plan should focus on how each item will achieve the proposed project goals and objectives, and explain how costs are calculated. The Spending Plan must be clear, specific, detailed, and mathematically correct. Sources for assistance in developing the Spending Plan include 2 CFR part 200, 2 CFR part 1201, 49 CFR part 350 and the MCSAP Comprehensive Policy.

Before any cost is billed to or recovered from a Federal award, it must be allowable (2 CFR §200.403, 2 CFR §200 Subpart E – Cost Principles), reasonable and necessary (2 CFR §200.403 and 2 CFR §200.404), and allocable (2 CFR §200.405).

- ***Allowable*** *costs are permissible under the OMB Uniform Guidance, DOT and FMCSA regulations and directives, MCSAP policy, and all other relevant legal and regulatory authority.*
- ***Reasonable and Necessary*** *costs are those which a prudent person would deem to be judicious under the circumstances.*
- ***Allocable*** *costs are those that are charged to a funding source (e.g., a Federal award) based upon the benefit received by the funding source. Benefit received must be tangible and measurable.*
  - *For example, a Federal project that uses 5,000 square feet of a rented 20,000 square foot facility may charge 25 percent of the total rental cost.*

What's New for FY 2019

The Spending Plan budget activity tables have been restructured to permit Maintenance of Effort (MOE) expenditures to be added on each line item of the budget activity tables. In the FY 2018 eCVSP, States indicated MOE costs as a single cost in each budget activity area. Please review the FY 2019 changes and instructions below prior to completing your Spending Plan.

- *A new column (% of Time on MCSAP Grant) has been added in each of the budget activity tables to capture the percentage of time each item entered is dedicated to the MCSAP grant.*
- *A new column (MOE) has been added in each of the budget activity tables to capture MOE amounts. This allows users the ability to add MOE expenditures by each line item. MOE expenditures must not be included in the calculation of Total Project Costs, Federal share, or State share.*

Instructions

The Spending Plan should include costs for FY 2019 only. This applies to States completing a single-year CVSP, multi-year CVSP, or an Annual Update to their multi-year CVSP.

The Spending Plan data tables are displayed by budget category (Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual and Subaward, and Other Costs). You may add additional lines to each table, as necessary. Please include clear, concise explanations in the narrative boxes regarding the reason for each cost, how costs are calculated, why they are necessary, and specific information on how prorated costs were determined.

The following definitions describe Spending Plan terminology.

- ***Federal Share*** *means the portion of the total project costs paid by Federal funds. Federal share is 85 percent of the total project costs for this FMCSA grant program.*
- ***State Share*** *means the portion of the total project costs paid by State funds. State share is 15 percent of the total project costs for this FMCSA grant program. A State is only required to contribute up to 15 percent of the total project costs of all budget categories combined as State share. A State is NOT required to include a 15 percent State share for each line item in a budget category. The State has the flexibility to select the budget categories and line items where State match will be shown.*
- ***Total Project Costs*** *means total allowable costs incurred under a Federal award and all required cost sharing (sum of the Federal share plus State share), including third party contributions.*
- ***Maintenance of Effort (MOE)*** *means the level of effort Lead State Agencies are required to maintain each fiscal year in accordance with 49 CFR § 350.301. The State has the flexibility to select the budget categories and line items where MOE will be shown. Additional information regarding MOE can be found in the MCSAP*

Comprehensive Policy (MCP) in section 3.6.

Expansion of On Screen Messages

The system performs a number of edit checks on Spending Plan data inputs to ensure calculations are correct, and values are as expected. When anomalies are detected, alerts will be displayed on screen.

- *Calculation of Federal and State Shares*

  Total Project Costs are determined for each line based upon user-entered data and a specific budget category formula. Federal and State shares are then calculated by the system based upon the Total Project Costs and are added to each line item.

  The system calculates an 85 percent Federal share and 15 percent State share automatically and populates these values in each line. Federal share is the product of Total Project Costs x .85. State share equals Total Project Costs minus Federal share. If Total Project Costs are updated based upon user edits to the input values, the 85 and 15 percent values will not be recalculated by the system and should be reviewed and updated by users as necessary.

  States may edit the system-calculated Federal and State share values at any time to reflect actual allocation for any line item. For example, States may allocate a different percentage to Federal and State shares. States must ensure that the sum of the Federal and State shares equals the Total Project Costs for each line before proceeding to the next budget category.

  An error is shown on line items where Total Project Costs does not equal the sum of the Federal and State shares. Errors must be resolved before the system will allow users to 'save' or 'add' new line items.

  Territories must insure that Total Project Costs equal Federal share for each line in order to proceed.

- *MOE Expenditures*

  States may enter MOE on individual line items in the Spending Plan tables. The Personnel, Fringe Benefits, Equipment, Supplies, and Other Costs budget activity areas include edit checks on each line item preventing MOE costs from exceeding allowable amounts.

  - *If "Percentage of Time on MCSAP grant" equals 100%, then MOE must equal $0.00.*
  - *If "Percentage of Time on MCSAP grant" equals 0%, then MOE may equal up to Total Project Costs as expected at 100%.*
  - *If "Percentage of Time on MCSAP grant" > 0% AND < 100%, then the MOE maximum value cannot exceed "100% Total Project Costs" minus "system-calculated Total Project Costs".*

  An error is shown on line items where MOE expenditures are too high. Errors must be resolved before the system will allow users to 'save' or 'add' new line items.

  The Travel and Contractual budget activity areas do not include edit checks for MOE costs on each line item. States should review all entries to ensure costs reflect estimated expenditures.

- *Financial Summary*

  The Financial Summary is a summary of all budget categories. The system provides warnings to the States on this page if the projected State Spending Plan totals are outside FMCSA's estimated funding amounts. States should review any warning messages that appear on this page and address them prior to submitting the eCVSP for FMCSA review.

  The system will confirm that:

  - *Overtime value does not exceed the FMCSA limit.*
  - *Planned MOE Costs equal or exceed FMCSA limit.*
  - *States' proposed Federal and State share totals are each within $5 of FMCSA's Federal and State share estimated amounts.*
  - *Territories' proposed Total Project Costs are within $5 of $350,000.*

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	$4,508,432.00	$794,982.00	$5,303,414.00

Summary of MCSAP Funding Limitations	
Allowable amount for Overtime without written justification (15% of MCSAP Award Amount):	$794,982.00
MOE Baseline:	$341,825.51

2 - Personnel

Personnel costs are salaries for employees working directly on a project.

Note: Do not include any personally identifiable information (PII) in the CVSP. The final CVSP approved by FMCSA is required to be posted to a public FMCSA website*.*

List grant-funded staff who will complete the tasks discussed in the narrative descriptive sections of the CVSP. Positions may be listed by title or function. It is not necessary to list all individual personnel separately by line. The State may use average or actual salary and wages by personnel category (e.g., Trooper, Civilian Inspector, Admin Support, etc.). Additional lines may be added as necessary to capture all your personnel costs.

The percent of each person's time must be allocated to this project based on the amount of time/effort applied to the project. For budgeting purposes, historical data is an acceptable basis.

Note*: Reimbursement requests must be based upon documented time and effort reports. Those same time and effort reports may be used to estimate salary expenses for a future period. For example, a MCSAP officer's time and effort reports for the previous year show that he/she spent 35 percent of his/her time on approved grant activities. Consequently, it is reasonable to budget 35 percent of the officer's salary to this project. For more information on this item see* 2 CFR §200.430*.*

In the salary column, enter the salary for each position.

Total Project Costs equal the Number of Staff x Percentage of Time on MCSAP grant x Salary for both Personnel and Overtime (OT).

If OT will be charged to the grant, only OT amounts for the Lead MCSAP Agency should be included in the table below. If the OT amount requested is greater than the 15 percent limitation in the MCSAP Comprehensive Policy (MCP), then justification must be provided in the CVSP for review and approval by FMCSA headquarters.

Activities conducted on OT by subrecipients under subawards from the Lead MCSAP Agency must comply with the 15 percent limitation as provided in the MCP. Any deviation from the 15 percent limitation must be approved by the Lead MCSAP Agency for the subrecipients.

Summary of MCSAP Funding Limitations	
Allowable amount for Lead MCSAP Agency Overtime without written justification (15% of MCSAP Award Amount):	$794,982.00

Personnel: Salary and Overtime Project Costs							
Salary Project Costs							
Position(s)	# of Staff	% of Time on MCSAP Grant	Salary	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Safety & Health Inspector CR	1	100.0000	$40,000.00	$40,000.00	$34,000.00	$6,000.00	$0.00
Safety & Health Inspector NE	1	100.0000	$40,000.00	$40,000.00	$34,000.00	$6,000.00	$0.00
Safety & Health Inspector NE 999	1	100.0000	$20,000.00	$20,000.00	$17,000.00	$3,000.00	$0.00
Lieutenant	7	100.0000	$82,000.00	$574,000.00	$487,900.00	$86,100.00	$0.00
Captain	1	100.0000	$100,000.00	$100,000.00	$85,000.00	$15,000.00	$0.00
IT Support	2	50.0000	$60,000.00	$60,000.00	$51,000.00	$9,000.00	$0.00
Accounting Support	4	25.0000	$40,000.00	$40,000.00	$34,000.00	$6,000.00	$0.00
Safety and health Inspector 999	5	100.0000	$20,000.00	$100,000.00	$85,000.00	$15,000.00	$0.00
Technical Trooper PT NE	5	25.0000	$65,000.00	$81,250.00	$69,062.50	$12,187.50	$0.00
Technical Trooper PT MCSAP	4	75.0000	$65,000.00	$195,000.00	$165,750.00	$29,250.00	$0.00
Records Staff	4	25.0000	$60,000.00	$60,000.00	$51,000.00	$9,000.00	$0.00
MOE KHP Trooper Inspections	303	0.0000	$153,723.00	$0.00	$0.00	$0.00	$153,723.00
Administrative Specialist	1	100.0000	$35,000.00	$35,000.00	$29,750.00	$5,250.00	$0.00
Administrative Staff	2	100.0000	$41,000.00	$82,000.00	$69,700.00	$12,300.00	$0.00
PSA (SafetyNet Supervisor)	1	100.0000	$47,000.00	$47,000.00	$39,950.00	$7,050.00	$0.00
PSA II (Grant Manager)	1	100.0000	$52,000.00	$52,000.00	$44,200.00	$7,800.00	$0.00
Technical Trooper	27	100.0000	$66,000.00	$1,782,000.00	$1,515,230.10	$266,769.90	$0.00
Subtotal: Salary				**$3,308,250.00**	**$2,812,542.60**	**$495,707.40**	**$153,723.00**
Overtime Project Costs							
MCSAP Overtime	1	100.0000	$53,000.00	$53,000.00	$45,050.00	$7,950.00	$0.00
Subtotal: Overtime				**$53,000.00**	**$45,050.00**	**$7,950.00**	**$0.00**
TOTAL: Personnel				**$3,361,250.00**	**$2,857,592.60**	**$503,657.40**	**$153,723.00**
Accounting Method:	**Modified Accrual**						

Enter a detailed explanation of how the personnel costs were derived and allocated to the MCSAP project.

The MCSAP grant funds one Captain, seven Lieutenants, 26 full time Technical Troopers, one Motor Carrier Inspector dedicated to inspections, nine accident reconstructionists, two Public Service Administrators and two administrative positions to provide the support for all activities. MCSAP also contains one accounting specialist, two part time IT specialists, and four records specialists. Removed one Motor Carrier Inspector dedicated to inspections - this salary has been added to allow 27 Technical Troopers. We will not be filling the LEO II position.

The salary and fringe request assumes all positions filled for an entire year. Any expended overage will be counted as MOE.

The MCSAP Captain supervises activities of all MCSAP personnel and projects. He spends his time implementing this project, supervising staff, and conducting activities to meet the objectives of this project. Activities include: supervising daily operation of projects and staff, grant writing and compliance, providing staff training/technical assistance, coordinating staff work schedule/assignments, ensuring data entry, tracking and following-up on procedures to meet quality assurance, and tracking policy to ensure compliance.

The Technical Troopers and Lieutenants are average hourly wages for each position; as is the administrative staff:

The seven field Lieutenants directly supervise MCSAP Technical Troopers as well as the part time civilian employees. They spend

100% of their time implementing this project, supervising staff, and conducting activities to meet the objectives of this project. Activities include: roadside inspections, supervising daily operation of projects and staff, grant writing and compliance, providing staff training/technical assistance, coordinating staff work schedule/assignments, ensuring data entry, tracking and following-up on procedures to meet quality assurance, and tracking policy to ensure compliance.

There are 20 Technical Troopers who conduct roadside inspections to fulfill MCSAP reporting requirements. Activities include: roadside inspections, safety programs, and participating in FMCSA directed activities for grant compliance, instructing NSA classes to include A and B week, HM, Cargo Tank, Hazardous Materials, PBBT and Other Bulk annual recertification for over 346 Kansas inspectors.

Nine of the 29 Technical Troopers are members of the Patrol's accident reconstruction team. They complete all of the above activities as well as reconstruct collisions involving CMVs as the severity of the collision dictates.

One MCI OFCR conducts roadside inspections to fulfill MCSAP reporting requirements. Activities include: roadside inspections.

Five Safety Inspectors conduct roadside inspections.

One Health and Safety Inspector is dedicated to entering and reviewing all accidents uploaded through SafetyNet.

There is one Administrative staff who administer the Kansas SafetyNet program. They enter all handwritten inspections as well as review all Federally reportable accidents. The other administrative position completes time sheets, activity reports and is a primary call taker for MCSAP and New Entrant calls.

We have one accounting support staff full time whose duties include the monthly expenditures, vouchers and monitoring/reporting to the fiscal outlook to the Troop Commander.

We utilize two IT support staff to monitor the connectivity and programs for, INSPECT, CVIEW, and all supporting IT forms.

We utilize four record staff at 25% of their time responding to Kansas Open Records Request for CMV accidents, inspections, DataQ recrods, and video requests.

The PSA II conducts grant reporting, writing and compliance. Supervises daily activity of crash data personnel as well as coordinates staff work schedules/assignments.

PSA I oversees MCSAP software and website issues. Also, oversees the work of the administrative staff who administers the Kansas SafetyNet program and administrative position that completes time sheets, activity reports and primary call taker.

Overtime costs are associated with overtime acrued when placing vehicles OOS or inspections when over 80 hours in a pay period.

3 - Fringe Benefits

*Fringe costs are benefits paid to employees, including the cost of employer's share of FICA, health insurance, worker's compensation, and paid leave. Only non-Federal grantees that use the **accrual basis** of accounting may have a separate line item for leave, and is entered as the projected leave expected to be accrued by the personnel listed within Part 4.2 – Personnel. Reference 2 CFR §200.431(b).*

Show the fringe benefit costs associated with the staff listed in the Personnel section. Fringe costs may be estimates, or based on a fringe benefit rate approved by the applicant's Federal cognizant agency for indirect costs. If using an approved rate, a copy of the indirect cost rate agreement must be provided through grants.gov. For more information on this item see 2 CFR §200.431.

Show how the fringe benefit amount is calculated (i.e., actual fringe benefits, rate approved by HHS Statewide Cost Allocation or cognizant agency). Include a description of the specific benefits that are charged to a project and the benefit percentage or total benefit cost.

The cost of fringe benefits are allowable if:

- *Costs are provided under established written policies.*
- *Costs are equitably allocated to all related activities, including Federal awards.*
- *Accounting basis (cash or accrual) selected for each type of leave is consistently followed by the non-Federal entity or specified grouping of employees.*

Depending on the State, there are fixed employer taxes that are paid as a percentage of the salary, such as Social Security, Medicare, State Unemployment Tax, etc.

- *For each of these standard employer taxes, under Position you may list "All Positions," the benefits would be the respective standard employer taxes, followed by the respective rate with a base being the total salaries for Personnel in Part 4.2.*
- *The base multiplied by the respective rate would give the total for each standard employer tax. Workers' Compensation is rated by risk area. It is permissible to enter this as an average, usually between sworn and unsworn—any grouping that is reasonable and clearly explained in the narrative is allowable.*
- *Health Insurance and Pensions can vary greatly and can be averaged; and like Workers' Compensation, can sometimes be broken into sworn and unsworn.*

In the Position column include a brief position description that is associated with the fringe benefits.

*The **Fringe Benefit Rate** is:*

- *The rate that has been approved by the State's cognizant agency for indirect costs; or a rate that has been calculated based on the aggregate rates and/or costs of the individual items that your agency classifies as fringe benefits.*
- *For example, your agency pays 7.65 percent for FICA, 42.05 percent for health/life/dental insurance, and 15.1 percent for retirement. The aggregate rate of 64.8 percent (sum of the three rates) may be applied to the salaries/wages of personnel listed in the table.*

*The **Base Amount** is:*

- *The salary/wage costs within the proposed budget to which the fringe benefit rate will be applied.*
- *For example, if the total wages for all grant-funded staff is $150,000 and the percentage of time on the grant is 50 percent, then that is the amount the fringe rate of 64.8 (from the example above) will be applied. The calculation is: $150,000 x 64.8 x 50% / 100 = $48,600 Total Project Costs.*

Total Project Costs equal the Fringe Benefit Rate x Percentage of Time on MCSAP grant x Base Amount divided by 100.

Position(s)	Fringe Benefit Rate	% of Time on MCSAP Grant	Base Amount	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
			Fringe Benefits Project Costs				
Law Enforcement	23.1970	100.0000	$2,717,250.00	$630,320.48	$535,772.41	$94,548.07	$0.00
Civilian Members	23.5570	100.0000	$367,000.00	$86,454.19	$73,486.06	$12,968.13	$0.00
INS Civilian	100.0000	100.0000	$104,590.20	$104,590.20	$88,901.67	$15,688.53	$0.00
INS Law Enforcement	100.0000	100.0000	$477,193.60	$477,193.60	$405,614.56	$71,579.04	$0.00
MOE for KHP Trooper	23.1970	0.0000	$387,981.00	$0.00	$0.00	$0.00	$89,999.95
TOTAL: Fringe Benefits				**$1,298,558.47**	**$1,103,774.70**	**$194,783.77**	**$89,999.95**

Enter a detailed explanation of how the fringe benefit costs were derived and allocated to the MCSAP project.

The Patrol's fringe benefit rate is approved by the Kansas Department of Administration. Health insurance is not included in the fringe rate. The cost for this benefit is $458.84 for uniformed personnel and 402.27 for civilian personnel for 26 pay periods.

The five health and safety inspectors from Salary and Overtime Projects do NOT receive fringe as they are part time employees.

Fringe benefits for LEOs are:

Kansas police and fire, FICA/MEDICARE, Workers Comp, Unemployment Comp.

Civilians: KEPRS, FICA/Medicare, Workers Comp, Unemployment Comp.

4 - Travel

Itemize the positions/functions of the people who will travel. Show the estimated cost of items including but not limited to, lodging, meals, transportation, registration, etc. Explain in detail how the MCSAP program will directly benefit from the travel.

Travel costs are funds for field work or for travel to professional meetings.

List the purpose, number of persons traveling, number of days, percentage of time on MCSAP Grant, and total project costs for each trip. If details of each trip are not known at the time of application submission, provide the basis for estimating the amount requested. For more information on this item see 2 CFR §200.474.

Total Project Costs should be determined by State users, and manually input in the table below. There is no system calculation for this budget category.

Travel Project Costs							
Purpose	# of Staff	# of Days	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Routine Travel	20	15	100.0000	$37,000.00	$31,450.00	$5,550.00	$0.00
Grant Training	3	5	100.0000	$5,750.00	$4,887.50	$862.50	$0.00
NAIC	3	5	100.0000	$5,750.00	$4,887.50	$862.50	$0.00
COMHED	3	5	100.0000	$5,750.00	$4,887.50	$862.50	$0.00
CVSA Annual Conference	10	5	100.0000	$15,000.00	$12,750.00	$2,250.00	$0.00
Annual Training Certifications and Recertifications A/B/HM	325	5	100.0000	$30,000.00	$25,500.00	$4,500.00	$0.00
Reconstruction Conference	8	5	100.0000	$16,000.00	$13,600.00	$2,400.00	$0.00
CVSA Workshop	10	5	100.0000	$15,000.00	$12,750.00	$2,250.00	$0.00
CVSA December Board Meeting	1	5	100.0000	$2,500.00	$2,125.00	$375.00	$0.00
IRP	1	5	100.0000	$2,000.00	$1,700.00	$300.00	$0.00
IFTA	1	5	100.0000	$2,000.00	$1,700.00	$300.00	$0.00
DRE Annual Conference	1	5	100.0000	$2,000.00	$1,700.00	$300.00	$0.00
SCRA	1	5	100.0000	$2,000.00	$1,700.00	$300.00	$0.00
PIX 4D aerial Mapping software class	9	5	100.0000	$20,000.00	$17,000.00	$3,000.00	$0.00
MOE Travel	303	152	0.0000	$0.00	$0.00	$0.00	$44,112.00
TOTAL: Travel				**$160,750.00**	**$136,637.50**	**$24,112.50**	**$44,112.00**

Enter a detailed explanation of how the travel costs were derived and allocated to the MCSAP project.

Routine MCSAP travel includes annual Road Check as well as the National HM lane and the KMCA annual championships. In an effort to keep travel costs at a minimum, Kansas strategically stages these annual events throughout the state, typically Wichita, Kansas City and Salina, where the majority of our inspectors reside in order to keep per diem and overnight stays at a minimum. Approximately 20 people travel to each deployment and have overnight stays with per diem. The additional program travel is for the 100 plus programs MCSAP annually provides throughout the year. All routine travel methods are by KHP state owned vehicles. Per Diem in state is $51.00 per day and the lodging maximum is $91.00 per night. This expense annually is projected to be $37,000.00 based on projected 2018 Roadcheck, HM lane, championships and programs.

Annual training and certifications for A,B,HM, Cargo Tank and Other Bulk will be held at the Kansas Highway Patrol Training Center, Kansas City, and Wichita. We will recertify or train over 300 members (325 estimated) in the FFY.

The Patrol will send 10 personnel to the CVSA annual conference. We will send 10 people to the CVSA workshop as voting members of vehicle, driver, HM, training, passenger carrier, PBBT users forum, PG&RA, size and weight, InfoSys, crash initatives,and to attend training sponsored by CVSA. At each conference CVSA provides critical training for line inspectors, in

each of the above listed arenas. Those attending these program meetings and training are KS SME's and Program Managers or NTC instructors, who each teach or manage a different function of these varied expertises. The training will further the management of the program, (writing the grant, educating legislators and the public or trucking companies) or to instruct inspectors locally and nationally when tasked by NTC. With the growth of vehicle components, exemptinos, regulations, ELD, vehicle techonoligies it has become more than a "few" members traveling to CVSA training can attend and comprehend to bring back effective Program Management and instruction to nearly 400 Kansas inspectors. The inexpensive training and input at CVSA allows an incredible benefit for our inspection program with little expense.

We plan to send three members of MCSAP to NAIC, Grant Trainnig, DIAP and COMHED.   NAIC will have one competetor, one judge and one slot reserved for non-competetor training which may accompany NAIC.

Reconstruction conference for all MCSAP accident reconstructionist's. The focus of these conferences will be the best practices, braking efficiencies, ECM downloads, evidentiary procedures, and wireless devices. These conferences are more important than ever with the exponential increase in technology being used for ELD, and other advanced safety measures placed in CMVs to reduce collisions. Expertise must be maintained to determine the factors associated with these crashes.

PIX 4D class to effieciently and effectively utilize and intigrate the arial mapping into our reconstruction software.

  All travel will further at least one of the five national program elements:

The national program elements include the following five activities:
(a) Driver/vehicle inspections.
(b) Traffic enforcement.
(c) Compliance reviews.
(d) Public education and awareness.
(e) Data collection.

5 - Equipment

Equipment is tangible or intangible personal property. It includes information technology systems having a useful life of more than one year, and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the non-Federal entity (i.e., the State) for financial statement purposes, or $5,000.

- *If your State's equipment capitalization threshold is below $5,000, check the box below and provide the threshold amount. See §200.12 Capital assets, §200.20 Computing devices, §200.48 General purpose equipment, §200.58 Information technology systems, §200.89 Special purpose equipment, and §200.94 Supplies.*

Show the total cost of equipment and the percentage of time dedicated for MCSAP related activities that the equipment will be billed to MCSAP. For example, you intend to purchase a server for $5,000 to be shared equally among five programs, including MCSAP. The MCSAP portion of the total cost is $1,000. If the equipment you are purchasing will be capitalized (depreciated), you may only show the depreciable amount, and not the total cost (2 CFR §200.436 and 2 CFR §200.439). If vehicles or large IT purchases are listed here, the applicant must disclose their agency's capitalization policy.

Provide a description of the equipment requested. Include the quantity, the full cost of each item, and the percentage of time this item will be dedicated to MCSAP grant.

Total Project Costs equal the Number of Items x Full Cost per Item x Percentage of Time on MCSAP grant.

Equipment Project Costs							
Item Name	# of Items	Full Cost per Item	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Sokkia IX Total Stations	2	$27,000.00	100	$54,000.00	$45,900.00	$8,100.00	$0.00
MOE	1	$25,000.00	0	$0.00	$0.00	$0.00	$25,000.00
Vehicle Toppers & Slides	10	$4,240.20	100	$42,402.00	$36,041.70	$6,360.30	$0.00
TOTAL: Equipment				**$96,402.00**	**$81,941.70**	**$14,460.30**	**$25,000.00**
Equipment threshold is greater than $5,000.							

Enter a detailed explanation of how the equipment costs were derived and allocated to the MCSAP project.

Robotic total Stations: The Patrol has reconstruction teams throughout the state. We added two reconstructionists to deal with the increasing number of fatalities.

Vehicle toppers will be used to secure equipment. Slides will allow for easily accessible equipment.

Removed Vericom VC 4000 Accelerometers, Bosch CDR900 Upgrade Kit and Mapping UAV as these items were purchased in FFY18.

6 - Supplies

Supplies means all tangible property other than that described in §200.33 Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or $5,000, regardless of the length of its useful life. See also §200.20 Computing devices and §200.33 Equipment.

Estimates for supply costs may be based on the same allocation as personnel. For example, if 35 percent of officers' salaries are allocated to this project, you may allocate 35 percent of your total supply costs to this project. A different allocation basis is acceptable, so long as it is reasonable, repeatable and logical, and a description is provided in the narrative.

Provide a description of each unit/item requested, including the quantity of each unit/item, the unit of measurement for the unit/item, the cost of each unit/item, and the percentage of time on MCSAP grant.

Total Project Costs equal the Number of Units x Cost per Unit x Percentage of Time on MCSAP grant.

Supplies Project Costs							
Item Name	# of Units/ Unit of Measurement	Cost per Unit	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Uniforms	200	$106.70	100.0000	$21,340.00	$18,139.00	$3,201.00	$0.00
Office Supplies	1 Annual	$26,392.85	100.0000	$26,392.85	$22,433.92	$3,958.93	$0.00
Instruction Materials (books for new inspectors)	1 Annual	$7,000.00	100.0000	$7,000.00	$5,950.00	$1,050.00	$0.00
MOE	1 1	$5,000.00	0.0000	$0.00	$0.00	$0.00	$5,000.00
TOTAL: Supplies				**$54,732.85**	**$46,522.92**	**$8,209.93**	**$5,000.00**

Enter a detailed explanation of how the supply costs were derived and allocated to the MCSAP project.

Two data collectors will equip the two total stations.- removed this item, we were able to puchase in FFY 18

Training costs: The only relevant training cost incurred not listed in the training travel budget category are Level I and HM books fo rnew inspectors. These books are required as computers and internet connectivity may fail or in some areas of Kansas no connectivity exists.

Uniforms are ordered annually and include the BDU tactical uniform shirts and long and short sleeve pants. Additional uniform items are ballistic vests which are ordered on a roatation every five years at the end of the vests protective period.

Office supplies consist of printer cartridges for office computers, thermal paper for MCSAP mobile units, and Xerox copier charges. Our Xerox copier is a mulitipurpose fax, scanner, copier, linking to our SafetyNet and ImageNow systems for challenges and to scan in returned inspectinos from carriers and other misc challenge documents.

Additional items in this category include: DVDs utilized in our in car video systems, DCs, pens, paper, copyp paper, bathroom supplies, rubber gloves (utilized during searches and when contraband is discovered) additional uses include handling of urine, blood and other contagions. other misc. office supplies utilized throughout th eyear.

7 - Contractual and Subaward

This section includes contractual costs and subawards to subrecipients. Use the table below to capture the information needed for both contractual agreements and subawards. The definitions of these terms are provided so the instrument type can be entered into the table below.

Contractual – A contract is a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award (2 CFR §200.22). All contracts issued under a Federal award must comply with the standards described in 2 CFR §200 Procurement Standards.

Note: Contracts are separate and distinct from subawards; see 2 CFR §200.330 for details.

Subaward – A subaward is an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract (2 CFR §200.92 and 2 CFR §200.330).

Subrecipient - Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program, but does not include an individual who is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency (2 CFR §200.93).

Enter the legal name of the vendor or subrecipient if known. If unknown at this time, please indicate 'unknown' in the legal name field. Include a description of services for each contract or subaward listed in the table. Entering a statement such as "contractual services" with no description will not be considered meeting the requirement for completing this section.

Enter the DUNS or EIN number of each entity. There is a drop-down option to choose either DUNS or EIN, and then the State must enter the corresponding identification number.

Select the Instrument Type by choosing either Contract or Subaward for each entity.

Total Project Costs should be determined by State users and input in the table below. The tool does not automatically calculate the total project costs for this budget category.

Operations and Maintenance-If the State plans to include O&M costs that meet the definition of a contractual or subaward cost, details must be provided in the table and narrative below.

Please describe the activities these costs will be using to support (i.e., ITD, PRISM, SSDQ or other services.)

Contractual and Subaward Project Costs							
Legal Name	DUNS/EIN Number	Instrument Type	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
TOTAL: Contractual and Subaward				$0.00	$0.00	$0.00	$0.00

Enter a detailed explanation of how the contractual and subaward costs were derived and allocated to the MCSAP project.

8 - Other Costs

Other Costs are those not classified elsewhere and are allocable to the Federal award. These costs must be specifically itemized and described. The total costs and allocation bases must be explained in the narrative. Examples of Other Costs may include utilities and/or leased equipment, employee training tuition, meeting registration costs, etc. The quantity, unit of measurement (e.g., monthly, annually, each, etc.), unit cost, and percentage of time on MCSAP grant must be included.

Operations and Maintenance*-If the State plans to include O&M costs that do not meet the definition of a contractual or subaward cost, details must be provided in the table and narrative below. Please identify these costs as ITD O&M, PRISM O&M, or SSDQ O&M. Sufficient detail must be provided in the narrative that explains what components of the specific program are being addressed by the O&M costs.*

Enter a description of each requested Other Cost.

Enter the number of items/units, the unit of measurement, the cost per unit/item, and the percentage of time dedicated to the MCSAP grant for each Other Cost listed. Show the cost of the Other Costs and the portion of the total cost that will be billed to MCSAP. For example, you intend to purchase air cards for $2,000 to be shared equally among five programs, including MCSAP. The MCSAP portion of the total cost is $400.

Total Project Costs equal the Number of Units x Cost per Item x Percentage of Time on MCSAP grant.

Indirect Costs

Information on Indirect Costs (2 CFR §200.56) is captured in this section. This cost is allowable only when an approved indirect cost rate agreement has been provided. Applicants may charge up to the total amount of the approved indirect cost rate multiplied by the eligible cost base. Applicants with a cost basis of salaries/wages and fringe benefits may only apply the indirect rate to those expenses. Applicants with an expense base of modified total direct costs (MTDC) may only apply the rate to those costs that are included in the MTDC base (2 CFR §200.68).

- ***Cost Basis*** *— is the accumulated direct costs (normally either total direct salaries and wages or total direct costs exclusive of any extraordinary or distorting expenditures) used to distribute indirect costs to individual Federal awards. The direct cost base selected should result in each Federal award bearing a fair share of the indirect costs in reasonable relation to the benefits received from the costs.*
- ***Approved Rate*** *— is the rate in the approved Indirect Cost Rate Agreement.*
- ***Eligible Indirect Expenses*** *— means after direct costs have been determined and assigned directly to Federal awards and other activities as appropriate. Indirect costs are those remaining to be allocated to benefitted cost objectives. A cost may not be allocated to a Federal award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to a Federal award as a direct cost.*
- ***Total Indirect Costs*** *equal Approved Rate x Eligible Indirect Expenses divided by 100.*

Your State will not claim reimbursement for Indirect Costs.

Other Costs Project Costs							
Item Name	# of Units/ Unit of Measurement	Cost per Unit	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Vehicle Insurance	1 Annual	$15,000.00	100.0000	$15,000.00	$12,750.00	$2,250.00	$0.00
Communication (Cell phones)	1 Annual	$24,804.00	100.0000	$24,804.00	$21,083.40	$3,720.60	$0.00
MDU Air Cards	1 Annual	$18,724.68	100.0000	$18,724.68	$15,915.98	$2,808.70	$0.00
Fuel	1 Annual	$180,000.00	100.0000	$180,000.00	$153,000.00	$27,000.00	$0.00
Vehicle Maintenance	1 Annual	$24,000.00	100.0000	$24,000.00	$20,400.00	$3,600.00	$0.00
Membership Dues (CVSA)	1 Annual	$12,900.00	100.0000	$12,900.00	$10,965.00	$1,935.00	$0.00
Copier Rental	1 Annual	$4,500.00	100.0000	$4,500.00	$3,825.00	$675.00	$0.00
Office Rent	1 Annual	$50,000.00	100.0000	$50,000.00	$42,500.00	$7,500.00	$0.00
CVSA Decals	1 Annual	$1,792.00	100.0000	$1,792.00	$1,523.20	$268.80	$0.00
MOE	1 Annual	$32,000.00	0.0000	$0.00	$0.00	$0.00	$32,000.00
TOTAL: Other Costs				**$331,720.68**	**$281,962.58**	**$49,758.10**	**$32,000.00**

Enter a detailed explanation of how the 'other' costs were derived and allocated to the MCSAP project.

CVSA Decals 6,400 at $.028 = $1,792.00

Our Xerox copier is a multipurpose fax, scanner, copier, linking to our Safetynet and ImageNow systems for challenges and complete accident reports. The machine will also be utilized to scan returned inspections from carriers and other misc. documents.

MCSAP office rent are for KHP MCSAP offices which encompasses eight administrative personnel. There are five offices, conference room and five cubicles. The office is the central hub for all Kansas certified inspectors as well as the New Entrant Program.

Fuel costs are encumbered two ways, through our KHP UMB Visa issued to individual MCSAP personnel, and bulk fuel purchases from KDOT pumps throughout the state. Routinely, MCSAP attempts to purchase our fuel from the KDOT pumps where fuel is purchased at a less expensive bulk rate. These purchases are individually tracked by each purchase recording the mileage between purchases, purchase amount, method and gallons.

Vehicle insurance is $15,000.00 annually. The Patrol is self-insured and the cost is for the insurance company to manage the self-insurance policy.

Maintenance of vehicles includes services to KHP owned vehicles (not under contract) such as windshield wipers, tires and scheduled maintenance to our vehicle fleet.

Communications are comprised of air cards and mobile phones and service plans. MCSAP has 39 users.

9 - Comprehensive Spending Plan

The Comprehensive Spending Plan is auto-populated from all line items in the tables and is in read-only format. Changes to the Comprehensive Spending Plan will only be reflected by updating the individual budget category table(s).

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	$4,508,432.00	$794,982.00	$5,303,414.00

Summary of MCSAP Funding Limitations	
Allowable amount for Overtime without written justification (15% of Basic Award Amount):	$794,982.00
MOE Baseline:	$341,825.51

Estimated Expenditures			
Personnel			
	Federal Share	State Share	Total Project Costs (Federal + Share)	MOE
Safety & Health Inspector CR	$34,000.00	$6,000.00	$40,000.00	$0.00
Safety & Health Inspector NE	$34,000.00	$6,000.00	$40,000.00	$0.00
Safety & Health Inspector NE 999	$17,000.00	$3,000.00	$20,000.00	$0.00
Lieutenant	$487,900.00	$86,100.00	$574,000.00	$0.00
Captain	$85,000.00	$15,000.00	$100,000.00	$0.00
IT Support	$51,000.00	$9,000.00	$60,000.00	$0.00
Accounting Support	$34,000.00	$6,000.00	$40,000.00	$0.00
Safety and health Inspector 999	$85,000.00	$15,000.00	$100,000.00	$0.00
Technical Trooper PT NE	$69,062.50	$12,187.50	$81,250.00	$0.00
Technical Trooper PT MCSAP	$165,750.00	$29,250.00	$195,000.00	$0.00
Records Staff	$51,000.00	$9,000.00	$60,000.00	$0.00
MOE KHP Trooper Inspections	$0.00	$0.00	$0.00	$153,723.00
Administrative Specialist	$29,750.00	$5,250.00	$35,000.00	$0.00
Administrative Staff	$69,700.00	$12,300.00	$82,000.00	$0.00
PSA (SafetyNet Supervisor)	$39,950.00	$7,050.00	$47,000.00	$0.00
PSA II (Grant Manager)	$44,200.00	$7,800.00	$52,000.00	$0.00
Technical Trooper	$1,515,230.10	$266,769.90	$1,782,000.00	$0.00
Salary Subtotal	**$2,812,542.60**	**$495,707.40**	**$3,308,250.00**	**$153,723.00**
MCSAP Overtime	$45,050.00	$7,950.00	$53,000.00	$0.00
Overtime subtotal	**$45,050.00**	**$7,950.00**	**$53,000.00**	**$0.00**
Personnel total	**$2,857,592.60**	**$503,657.40**	**$3,361,250.00**	**$153,723.00**

Fringe Benefits				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Law Enforcement	$535,772.41	$94,548.07	$630,320.48	$0.00
Civilian Members	$73,486.06	$12,968.13	$86,454.19	$0.00
INS Civilian	$88,901.67	$15,688.53	$104,590.20	$0.00
INS Law Enforcement	$405,614.56	$71,579.04	$477,193.60	$0.00
MOE for KHP Trooper	$0.00	$0.00	$0.00	$89,999.95
Fringe Benefits total	**$1,103,774.70**	**$194,783.77**	**$1,298,558.47**	**$89,999.95**

Travel				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Routine Travel	$31,450.00	$5,550.00	$37,000.00	$0.00
Grant Training	$4,887.50	$862.50	$5,750.00	$0.00
NAIC	$4,887.50	$862.50	$5,750.00	$0.00
COMHED	$4,887.50	$862.50	$5,750.00	$0.00
CVSA Annual Conference	$12,750.00	$2,250.00	$15,000.00	$0.00
Annual Training Certifications and Recertifications A/B/HM	$25,500.00	$4,500.00	$30,000.00	$0.00
Reconstruction Conference	$13,600.00	$2,400.00	$16,000.00	$0.00
CVSA Workshop	$12,750.00	$2,250.00	$15,000.00	$0.00
CVSA December Board Meeting	$2,125.00	$375.00	$2,500.00	$0.00
IRP	$1,700.00	$300.00	$2,000.00	$0.00
IFTA	$1,700.00	$300.00	$2,000.00	$0.00
DRE Annual Conference	$1,700.00	$300.00	$2,000.00	$0.00
SCRA	$1,700.00	$300.00	$2,000.00	$0.00
PIX 4D aerial Mapping software class	$17,000.00	$3,000.00	$20,000.00	$0.00
MOE Travel	$0.00	$0.00	$0.00	$44,112.00
Travel total	**$136,637.50**	**$24,112.50**	**$160,750.00**	**$44,112.00**

Equipment				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Sokkia IX Total Stations	$45,900.00	$8,100.00	$54,000.00	$0.00
MOE	$0.00	$0.00	$0.00	$25,000.00
Vehicle Toppers & Slides	$36,041.70	$6,360.30	$42,402.00	$0.00
Equipment total	**$81,941.70**	**$14,460.30**	**$96,402.00**	**$25,000.00**

Supplies				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Uniforms	$18,139.00	$3,201.00	$21,340.00	$0.00
Office Supplies	$22,433.92	$3,958.93	$26,392.85	$0.00
Instruction Materials (books for new inspectors)	$5,950.00	$1,050.00	$7,000.00	$0.00
MOE	$0.00	$0.00	$0.00	$5,000.00
Supplies total	**$46,522.92**	**$8,209.93**	**$54,732.85**	**$5,000.00**

Contractual and Subaward				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Contractual and Subaward total	**$0.00**	**$0.00**	**$0.00**	**$0.00**

Other Costs				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Vehicle Insurance	$12,750.00	$2,250.00	$15,000.00	$0.00
Communication (Cell phones)	$21,083.40	$3,720.60	$24,804.00	$0.00
MDU Air Cards	$15,915.98	$2,808.70	$18,724.68	$0.00
Fuel	$153,000.00	$27,000.00	$180,000.00	$0.00
Vehicle Maintenance	$20,400.00	$3,600.00	$24,000.00	$0.00
Membership Dues (CVSA)	$10,965.00	$1,935.00	$12,900.00	$0.00
Copier Rental	$3,825.00	$675.00	$4,500.00	$0.00
Office Rent	$42,500.00	$7,500.00	$50,000.00	$0.00
CVSA Decals	$1,523.20	$268.80	$1,792.00	$0.00
MOE	$0.00	$0.00	$0.00	$32,000.00
Other Costs total	**$281,962.58**	**$49,758.10**	**$331,720.68**	**$32,000.00**

Total Costs				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Subtotal for Direct Costs	**$4,508,432.00**	**$794,982.00**	**$5,303,414.00**	**$349,834.95**
Total Costs Budgeted	**$4,508,432.00**	**$794,982.00**	**$5,303,414.00**	**$349,834.95**

10 - Financial Summary

The Financial Summary is auto-populated by the system by budget category. It is a read-only document and can be used to complete the SF-424A in Grants.gov. Changes to the Financial Summary will only be reflected by updating the individual budget category table(s).

- *The system will confirm that percentages for Federal and State shares are correct for Total Project Costs. The edit check is performed on the "**Total Costs Budgeted**" line only.*
- *The system will confirm that Planned MOE Costs equal or exceed FMCSA funding limitation. The edit check is performed on the "**Total Costs Budgeted**" line only.*
- *The system will confirm that the Overtime value does not exceed the FMCSA funding limitation. The edit check is performed on the "**Overtime subtotal**" line.*

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	$4,508,432.00	$794,982.00	$5,303,414.00

Summary of MCSAP Funding Limitations	
Allowable amount for Overtime without written justification (15% of Basic Award Amount):	$794,982.00
MOE Baseline:	$341,825.51

Estimated Expenditures				
	Federal Share	State Share	Total Project Costs (Federal + State)	Planned MOE Costs
Salary Subtotal	$2,812,542.60	$495,707.40	$3,308,250.00	$153,723.00
Overtime Subtotal	$45,050.00	$7,950.00	$53,000.00	$0.00
Personnel Total	$2,857,592.60	$503,657.40	$3,361,250.00	$153,723.00
Fringe Benefits Total	$1,103,774.70	$194,783.77	$1,298,558.47	$89,999.95
Travel Total	$136,637.50	$24,112.50	$160,750.00	$44,112.00
Equipment Total	$81,941.70	$14,460.30	$96,402.00	$25,000.00
Supplies Total	$46,522.92	$8,209.93	$54,732.85	$5,000.00
Contractual and Subaward Total	$0.00	$0.00	$0.00	$0.00
Other Costs Total	$281,962.58	$49,758.10	$331,720.68	$32,000.00
	85% Federal Share	15% State Share	Total Project Costs (Federal + State)	Planned MOE Costs
Subtotal for Direct Costs	$4,508,432.00	$794,982.00	$5,303,414.00	$349,834.95
Indirect Costs	$0.00	$0.00	$0.00	NA
Total Costs Budgeted	**$4,508,432.00**	**$794,982.00**	**$5,303,414.00**	**$349,834.95**

Part 5 - Certifications and Documents

Part 5 includes electronic versions of specific requirements, certifications and documents that a State must agree to as a condition of participation in MCSAP. The submission of the CVSP serves as official notice and certification of compliance with these requirements. State or States means all of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands.

If the person submitting the CVSP does not have authority to certify these documents electronically, then the State must continue to upload the signed/certified form(s) through the "My Documents" area on the State's Dashboard page.

1 - State Certification

The State Certification will not be considered complete until the four questions and certification declaration are answered. Selecting 'no' in the declaration may impact your State's eligibility for MCSAP funding.

1. What is the name of the person certifying the declaration for your State? Wes Ludolph
2. What is this person's title? Captain
3. Who is your Governor's highway safety representative? Chris Bortz
4. What is this person's title? Program Manager

The State affirmatively accepts the State certification declaration written below by selecting 'yes'.

◉ Yes

○ Yes, uploaded certification document

○ No

State Certification declaration:

> I, Wes Ludolph, Captain, on behalf of the State of KANSAS, as requested by the Administrator as a condition of approval of a grant under the authority of 49 U.S.C. § 31102, as amended, certify that the State satisfies all the conditions required for MCSAP funding, as specifically detailed in 49 C.F.R. § 350.211.

If there are any exceptions that should be noted to the above certification, include an explanation in the text box below.

2 - Annual Review of Laws, Regulations, Policies and Compatibility Certification

You must answer all three questions and indicate your acceptance of the certification declaration. Selecting 'no' in the declaration may impact your State's eligibility for MCSAP funding.

1. What is the name of your certifying State official? Wes Ludolph
2. What is the title of your certifying State offical? Captain
3. What are the phone # and email address of your State official? wes.ludolph@ks.gov 785.296.7189

The State affirmatively accepts the compatibility certification declaration written below by selecting 'yes'.

◉ Yes

○ Yes, uploaded certification document

○ No

I, Wes Ludolph, certify that the State has conducted the annual review of its laws and regulations for compatibility regarding commercial motor vehicle safety and that the State's safety laws remain compatible with the Federal Motor Carrier Safety Regulations (49 CFR parts 390-397) and the Hazardous Materials Regulations (49 CFR parts 107 (subparts F and G only), 171-173, 177, 178, and 180) and standards and orders of the Federal government, except as may be determined by the Administrator to be inapplicable to a State enforcement program. For the purpose of this certification, Compatible means State laws or regulations pertaining to interstate commerce that are identical to the FMCSRs and HMRs or have the same effect as the FMCSRs and identical to the HMRs and for intrastate commerce rules identical to or within the tolerance guidelines for the FMCSRs and identical to the HMRs.

If there are any exceptions that should be noted to the above certification, include an explanation in the text box below.
2018 REGULATORY COMPATIBILITY REVIEW The below listed regulations have compatibility issues with the adopted regulations through July 31, 2018. Hazardous Materials Regulations; (KAR 82-4-20): The KCC has adopted the federal regulations into the KAR as of 10/01/2013. The following are still outdated until further adoptions. 49 CFR Part 107 – Sections 601 to 620 have not been adopted. Part 107 has also been affected by final rules published: • 10/02/2013 • 03/18/2014 • 11/09/2015 • 02/22/2016 • 06/02/2016 • 03/30/2017 • 04/19/2017 49 CFR Part 171 – due to final rules published: • 10/02/2013 • 10/31/2013 • 03/18/2014 • 07/11/2014 • 08/06/2014 • 01/08/2015 • 11/09/2015 • 12/23/2015 • 01/20/2016 • 02/22/2016 • 03/31/2016 • 06/02/2016 • 03/30/2017 • 04/19/2017 49 CFR Part 172 – due to final rules published: • 10/02/2013 • 10/31/2013 • 03/18/2014 • 07/11/2014 • 08/06/2014 • 01/08/2015 • 12/23/2015 • 01/20/2016 • 02/22/2016 • 06/02/2016 • 03/30/2017 • 06/18/2018 49 CFR Part 173 – due to final rules published: • 10/02/2013 • 10/31/2013 • 03/18/2014 • 07/11/2014 • 08/06/2014 • 01/08/2015 • 12/23/2015 • 01/20/2016 • 02/22/2016 • 03/31/2016 • 06/02/2016 • 03/30/2017 • 06/18/2018 49 CFR Part 177 – due to final rule published: • 10/02/2013 • 07/11/2014 • 12/23/2015 • 01/20/2016 • 02/22/2016 • 06/02/2016 49 CFR Part 178 – due to final rule published: • 10/02/2013 • 10/31/2013 • 03/18/2014 • 07/11/2014 • 01/08/2015 • 12/23/2015 • 02/22/2016 • 06/02/2016 • 03/30/2017 49 CFR Part 179 – due to final rule published: • 10/05/2012 • 10/02/2013 • 06/02/2016 • 08/15/2016 Based on a review of the KAR, it appears 49 CFR Part 179, Specifications for Tank Cars (DOT106/110 multi-unit tank car tanks), has not been adopted. 49 CFR Part 180 – due to final rule published: • 10/02/2013 • 01/08/2015 • 12/23/2015 • 02/22/2016 • 06/02/2016 • 03/30/2017 • 06/18/2018 Part 40; (KAR 82-4-3b): The current adoption update does not address this Part and will only remain current through 10/01/2011. Since that date there have been additional final rules. KCC has advised that they will be adopting the new control custody form. Most current KAR dated in 2017, still not updated with change (adopted 2011 changes). Part 382: (KAR 82-4-3c): The current adoption update process will make all adopted regulations current to 01/30/2012. However, Part 382 was subject to additional final rules since that date and thus will not be current to date. Most current KAR dated in 2017, still not updated with change (adopted 01/30/2012 changes). Final Rules published affecting Part 382 dated: • 02/22/2012 • 09/10/2012 • 03/14/2013 • 09/24/2013 • 10/04/2016 • 10/14/2016 • 12/05/2016 • 04/16/2018 • 05/17/2018 • 05/25/2018 Part 383; (KSA 8-2,125 through 8-2,153): Several Final Rules published between 12/02/2011 and 07/01/2015, have affected the Kansas CDL Act. Some of the changes include several new definitions and restrictions. Several of these changes have been adopted through the legislation process. We do not know about the penalties and testing procedures or other regulations from the previous rulemakings. Final Rules published affecting Part 383 dated: • 10/01/2015 • 03/07/2016 • 03/16/2016 • 07/22/2016 • 10/04/2016 • 10/13/2016 • 10/14/2016 • 12/05/2016 • 12/08/2016 • 01/10/2017 • 02/01/2017 •

03/21/2017 • 05/23/2017 • 08/03/2017 • 05/17/2018 • 06/21/2018 Part 385; (KAR 82-4-3d) The current adoption update process will make all adopted regulations current to 12/27/2011. However, Part 385 was subject to several final rules since that date and thus will not be current to date. Final Rules published affecting Part 385 dated: • 05/08/2012 • 05/14/2012 • 09/10/2012 • 10/23/2012 • 09/24/2013 • 10/01/2013 • 01/22/2014 • 10/02/2014 • 10/01/2015 • 10/21/2015 • 12/16/2015 • 01/21/2016 • 06/17/2016 • 07/28/2016 • 10/04/2016 • 01/17/2017 • 05/17/2018 Part 386; (KAR 82-4-3o) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 386 was subject to several final rules since that date and thus will not be current to date. Final Rule published affecting Part 386 dated: • 01/22/2014 • 04/03/2015 • 11/30/2015 • 12/16/2015 • 01/29/2016 • 02/16/2016 • 06/27/2016 • 10/04/2016 • 04/12/2017 Part 387; (KAR 82-4-3n) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 387 was subject to several final rules since that date and thus will not be current to date. Final Rule published affecting Part 387 dated: • 10/02/2014 • 04/03/2015 • 10/01/2015 • 10/21/2015 • 07/28/2016 • 01/17/2017 • 04/16/2018 • 05/17/2018 • 05/25/2018 Part 390; (KAR 82-4-3f) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 390 was subject to several final rules since that date and thus will not be current to date. Final Rules published affecting Part 390 dated: • 10/23/2013 • 03/19/2014 • 04/10/2014 • 06/05/2014 • 10/02/2014 • 10/22/2014 • 03/26/2015 • 05/27/2015 • 10/01/2015 • 10/21/2015 • 11/30/2015 • 12/16/2015 • 02/16/2016 • 03/16/2016 • 07/22/2016 • 07/28/2016 • 10/04/2016 • 01/17/2017 • 06/16/2017 • 04/16/2018 • 05/17/2018 • 05/25/2018 • 06/11/2018 Part 391; (KAR 82-4-3g) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 391 was subject to several final rules since that date and thus will not be current to date. Final Rules published affecting Part 391 dated: • 01/14/2014 • 10/01/2014 • 10/02/2014 • 04/23/2015 • 06/22/2015 • 10/01/2015 • 12/21/2015 • 07/22/2016 • 10/04/2016 • 10/27/2016 • 12/05/2016 • 04/16/2018 • 05/25/2018 • 06/11/2018 • 06/21/2018 Part 392; (KAR 82-4-3h) The current adoption update process will make all adopted regulations current to 10/01/2013. Part 392 has been subject to several final rules since said date. Final Rules published affecting Part 392 dated: • 10/02/2014 • 12/18/2014 • 10/21/2015 • 06/07/2016 • 07/06/2016 • 07/22/2016 • 07/28/2016 • 10/04/2016 Part 393; (KAR 82-4-3i) The current adoption update process will make all adopted regulations current to 10/01/2013. Part 393 was subject to several final rules since that date and thus will not be current to date. Final Rules published affecting Part 393 dated: • 10/01/2015 • 07/22/2016 • 09/02/2016 • 09/23/2016 • 05/17/2018 Part 395; (KAR 82-4-3a) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 395 was subject to several final rules since that date and thus will not be current to date. Final Rules published affecting Part 395 dated: • 10/28/2013 • 12/19/2013 • 05/12/2014 • 07/10/2014 • 10/02/2014 • 12/22/2014 • 10/01/2015 • 10/02/2015 • 12/16/2015 • 02/16/2016 • 07/22/2016 • 09/23/2016 • 10/04/2016 • 11/01/2016 • 12/20/2017 • 01/19/2018 • 03/23/2018 • 04/16/2018 • 05/17/2018 • 05/25/2018 • 06/07/2018 Part 396; (KAR 82-4-3j) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 396 was subject to several final rules since that date and thus will not be current to date. Final Rule published affecting Part 396 dated: • 12/18/2014 • 10/01/2015 • 07/22/2016 • 04/16/2018 • 05/17/2018 • 05/25/2018 Part 397; (KAR 82-4-3k) The current adoption update process will make all adopted regulations current to 10/01/2013. However, Part 397 was subject to several final rules since that date and thus will not be current to date. Final Rule published affecting Part 397 dated: • 10/02/2014 • 10/01/2015 • 10/04/2016 • 05/17/2018

3 - New Laws/Legislation/Policy Impacting CMV Safety

Has the State adopted/enacted any new or updated laws (i.e., statutes) impacting CMV safety since the last CVSP or annual update was submitted?

○ Yes ◉ No

Has the State adopted/enacted any new administrative actions or policies impacting CMV safety since the last CVSP?

○ Yes ◉ No

BUDGET INSTRUCTIONS

A Guide for
State Agencies
FY 2020

State of Kansas
Division of the Budget

Budget Instructions to State Agencies

Electronic Access to Budget Instructions

Information contained in this document can be downloaded at
https://budget.kansas.gov/agency-info/.

DOB Staff Assistance

Contact your agency's assigned budget analyst for assistance. Staff
assignments and e-mail addresses for DOB budget analysts are available
at https://budget.kansas.gov/division-staff/.

Table of Contents

Budget Cycle

The budget cycle can be divided into four categories: executive preparation, legislative consideration, execution, and audit/evaluation. These categories reflect the different effects that each branch of government has on the budget cycle. All categories require a significant amount of time, effort, and coordination between agency budget staff and the Division of the Budget staff. Items in bold denote dates when important budget items are transmitted from agencies or from the Division of the Budget.

Executive Preparation describes the processes the Governor, the Governor's staff, and agency leadership follow in developing the Governor's budget recommendations.

Month	Activity
Year-Round	**Agencies submit Information Technology Management Plans and Information Technology Project Plans.**
June	Agencies develop capital improvement budget requests.
July 1	**Agencies submit five-year capital improvement plans.**
July	Budget Director transmits funding allocations and general directions for agencies to follow in developing budget requests.
July—September	Agencies amend strategic plans, update performance measures, and develop budget requests according to instructions developed and distributed by the Division of the Budget.
September 15	**Agency strategic plans and budget requests are submitted to the Division of the Budget.**
September—November	Division of the Budget analyzes budget submissions in relation to strategic plans and available revenues, and makes initial recommendations.
November 10	**Division of the Budget provides its budget recommendations to agencies.**
November	The Consensus Revenue Estimating Group meets to estimate State General Fund revenues.
November—December	Agencies appeal the Division of the Budget recommendations. Governor makes final decisions and *The Governor's Budget Report* is prepared.
January	Governor presents recommendations regarding agency budgets to the Legislature. Appropriation bills are introduced that reflect the Governor's recommendations.

Legislative Consideration is the process the Legislature follows in receiving the Governor's budget recommendations, making adjustments to those recommendations, and appropriating funds to agencies.

Month	Activity
January	Legislature receives the Governor's budget recommendations. House and Senate appropriation committees divide the budget among subcommittees for review with legislative staff.
February—March	Appropriation bills are reviewed in both the House and Senate. Agencies explain their missions and strategic plans, and present their budget requests to the Legislature.
February—April	The Governor may choose to issue Governor's budget amendments to revise recommendations that were made in January.
March—May	Bills with differing positions go to Conference Committees and final budget decisions are made.

Execution represents agencies' carrying out approved budgets by implementing strategies and objectives while conducting state business. It is during this time that appropriations are spent and services are delivered. There are many factors that can influence the execution process; however, all spending must proceed in a manner consistent with appropriation laws.

Month	Activity
Year-Round	As the fiscal year progresses, strategic plans are revised as needed. Agencies track performance measures to ensure that the agency is accomplishing its approved mission.
May—August	Division of the Budget staff meets with agency staff to assist and provide support in refining the agency's strategic plan.

Audit/Evaluation procedures can include performance or program audits as well as audits of records, facilities, systems, and other evidence to discover or verify information. These activities are performed by staff in the Legislative Division of Post Audit, private accounting firms, and other state agencies. Additionally, the Division of the Budget examines agency operations, the implementation of new programs, and expenditure trends of agencies.

| Month	Activity
Year-Round	All agencies and staff members review strategic plans to ensure that the agency's goals are being reached and the agency's mission is being accomplished in the most efficient, effective, and lawful manner.

Strategic Planning

Performance Based Budgeting

The 2016 Legislature passed and the Governor signed HB 2739 which created a Performance Based Budgeting (PBB) initiative in Kansas. The PPB process is scheduled to be phased in over time according to the general timeline depicted below. Most of the dates in the timeline will be adjusted to accommodate the workload capacity of state fiscal staff. However, the "hard" deadlines will be the dates the Governor is required to submit information to the Legislature. Phase 1 consisted of agencies reviewing current programs and subprograms and creating program inventories. Phase 2 included incorporating new agency programs and subprograms into state financial systems and reporting. Phase 3 will include a statewide review of current performance measures to determine (1) if current measures need to be improved; (2) if new measures are needed; and, (3) how to elevate the use of performance measures in decision-making.

PBB differs from the current budget process in Kansas by emphasizing performance measures and, to the extent possible, creating correlations between dollars, outcomes and objectives. Programs that demonstrate positive outcomes and results while also spending resources efficiently provide clear signals to decision-makers how best to approve funding. PBB will create an opportunity to increase the effectiveness of performance measures and how they are used by decision-makers. For additional information on implementing performance based budgeting in Kansas, please see the Division of the Budget's website (https://budget.kansas.gov/pbb-resources/).

While PBB will mark a shift in emphasis regarding performance measures, it will be incorporated into the regular budget process to the extent possible. For this upcoming budget cycle, agencies should submit budgets using the regular budget process and continue to use the strategic planning process discussed below. Please see the "Budget Preparation" section in this guide regarding specific changes to budget reporting.

Time Line to Implement Performance Based Budgeting in Kansas
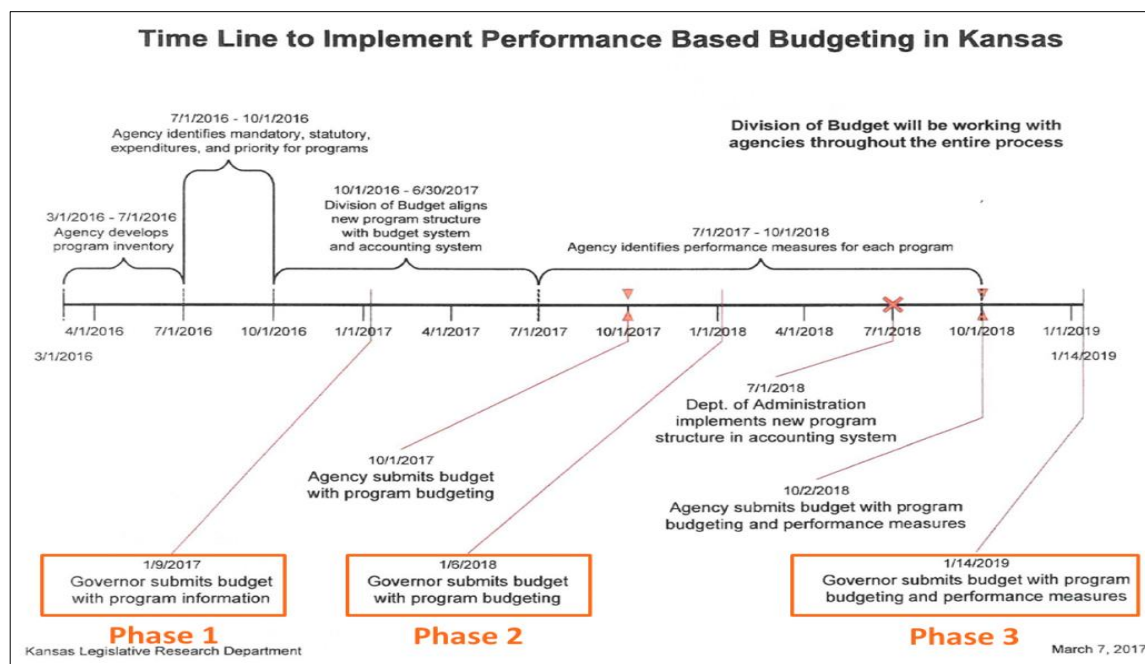
Strategic planning is a practical, action-oriented guide, based upon an examination of internal and external factors which directs goal-setting and resource allocation to achieve meaningful results over time.

An agency's strategic plan is an important source of information for the Governor, the Division of the Budget, the Legislature, as well as the public. It provides a useful context in which to place the dollars an agency requests in its budget. This section of the *Budget Instructions* discusses both strategic planning and strategic plans. Strategic planning is more than filling out budget forms or compiling a document. Most of the value of strategic planning is realized during the process of planning itself. Agencies should submit their strategic plan on paper or in an electronic file to their analyst as part of the budget submission in September.

Elements of the Strategic Planning Process

Put simply, strategic planning asks and answers five questions:

Question:	Strategic Plan Element:
What do we do?	Mission
Where are we now?	External/Internal Assessment
Where do we want to be?	Philosophy, Goals, Objectives
How do we get there?	Strategies, Action Plans
How do we measure our programs?	Outcome and Output Measures

A successful strategic planning process has the following characteristics:

- It is flexible; it fits the organization; and it is user friendly.

- It is participatory. The process involves executives, managers, supervisors, and staff at all levels. Further, it is not left to planners; everyone plans.

- It clearly defines responsibilities and timetables. It is carried out by those who have the responsibility within the organization for achieving objectives, but is coordinated by a central figure, someone who has the "big picture."

- It energizes an organization; it produces understanding and common purpose throughout an organization.

- It remains aware of the environment in which it functions. It obtains perspectives from many levels and sources, both within and outside the organization.

- It is realistic about goals, objectives, resources, and outcomes. While not attempting to avoid all risk, it recognizes such constraints as public accountability, visibility, short-term horizons, personnel issues, overall fiscal conditions, and budgetary trends.

- It is convincing. It develops and conveys compelling evidence for its recommendations. (This characteristic is especially important in linking the strategic plan to an agency budget request.)

Budget Scenarios. An important dimension of the strategic planning process is linking the planning process to the development of budget requests and explaining how different budget scenarios relate to an agency's performance. Different levels of funding, such as "reduced resources" and "allocated resources," are expressions of budgetary input. There needs to be a clear linkage between the level of budgetary inputs for each of the scenarios and the anticipated outputs and outcomes for a given budget issue or program. Only in this way can rational decisions be made within limited budgetary resources at the different levels, with a clear understanding of the effect of those inputs on outputs and outcomes.

When an agency is constructing its strategic plan for an upcoming year, it may generate many internal documents that contain a great deal of detail, such as specific employees' responsibilities and timetables. While all of this detail will not be included in an agency's budget, there are elements to be included, such as:
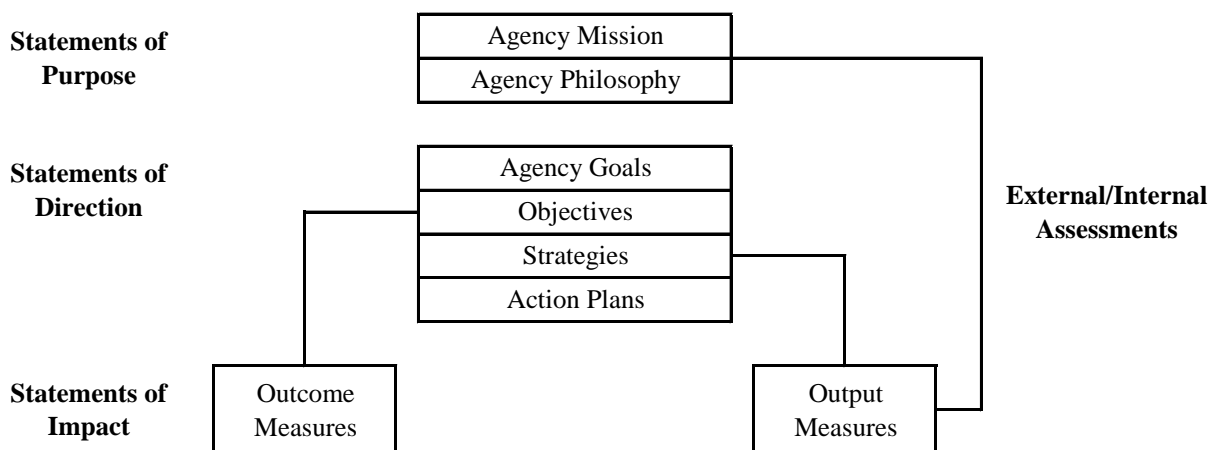
Elements of a Strategic Plan

1.   **Agency Mission**—What the agency does.

2.   **Agency Philosophy**—The expression of core values and principles used by the agency to carry out its mission.

3.   **External/Internal Assessment***—An evaluation of key factors affecting the success of an agency in achieving its mission and meeting its goals.

4.   **Goals**—The general ends to which an agency directs its efforts.

5.   **Objectives**—Clearly-defined targets, in priority order, that quantify the achievement of an agency's goals and the effectiveness in qualitative and quantitative terms of meeting those targets.

6.   **Strategies**—Actions and methods to achieve objectives.

7.   **Outcome Measures**—Reliable assessments derived from objectives that indicate the effectiveness of agency actions.

8.   **Output Measures**—Used to evaluate the effectiveness of agency strategies, they measure efficiency of agency actions.

9.   **Action Plans***—Detailed methods that implement an agency's strategy.

* Inclusion in the agency budget request is optional.

These nine elements can be grouped into three types of categories which move from the general to the specific. The **Statements of Purpose** are broadly defined and help delineate the overall agency mission and philosophies. The second grouping, **Statements of Direction**, break down the agency mission and philosophy into goals and objectives which are the basic building blocks of the strategic plan. The **Statements of Impact** detail the measurable outcomes for the objectives and outputs for the strategies defined in the Statements of Direction.

The relationship between the various elements described above is depicted graphically below:

Statements of Purpose	Agency Mission	**External/Internal Assessments**
	Agency Philosophy	
Statements of Direction	Agency Goals	
	Objectives	
	Strategies	
	Action Plans	
Statements of Impact	Outcome Measures	Output Measures

1. Agency Mission

Description. The agency mission identifies the reason for an agency's existence. A mission succinctly identifies what the agency does (or should do), and why and for whom it operates. A mission reminds everyone—the public, the Governor, legislators, and agency personnel—of the unique purposes promoted and served by the agency. The mission should link with statutory requirements and the functional goals issued by the Governor and the Legislature.

Guidelines. The mission statement is all encompassing, rarely changed, and is the ultimate rationale for the existence of the agency. Representing the "what" and the "why," an agency's mission is the common

thread binding its organizational structure and activities. A mission statement, generally one paragraph in length, should be clearly written to answer:

- Who are we?
- What do we do?
- For whom do we do it?
- Why do we do it?
- Why are public resources devoted to this effort?

Example. "The mission of the Department of Wildlife and Parks is to conserve and enhance Kansas' natural heritage, its wildlife, and its habitats to assure future generations the benefits of the state's diverse, living resources. The Department also strives to provide the public with opportunities for use and appreciation of the natural resources of Kansas, consistent with the conservation of those resources. Finally, to inform the public of the status of the natural resources of Kansas to promote understanding and gain assistance in achieving this mission."

2. Agency Philosophy

Description. The agency philosophy expresses the critical values and operating principles for the conduct of the agency in carrying out its mission. Agency philosophy articulates management policies and principles. While the responsibility for creation of the agency's vision rests with the agency head, effective visions are conceived through partnership between top management and all levels of the organization—in other words, those who will be implementing the vision.

Guidelines. The following consideration should be given to development of the agency philosophy:

- The philosophy represents how employees will conduct themselves as they carry out the agency mission.
- It embodies the organization's values.
- It should describe agency aspirations for the future.

Example. "The State Corporation Commission will act according to the highest standards of ethics, accountability and openness. We will regulate aggressively but fairly, in a competent, effective, and efficient manner. In serving the public, the Commission will balance the interests of consumers, regulated entities, and others—treating all with respect and dignity."

3. External/Internal Assessment

Description. The assessment is an ongoing evaluation tool critical to the development of each agency's strategic plan but is not necessarily a part of the plan itself. The determination as to whether it should be included as a part of the budget document is to be made on an agency-by-agency case. If all or a portion of the assessment has particular relevance to the budget request, then consideration should be given to including it.

Assessments refer to economic, political, technological, demographic, and social factors affecting the organization from a historical perspective to determine how well the agency has met the challenges presented by its internal and external environments. It is an evaluation of key factors influencing the success of an agency in achieving its mission and goals. The purpose of the external/internal assessment is to set the stage for the agency's goal-setting process and to facilitate the agency's recognition of current and future issues.

External Assessment. The external assessment is an analysis of key external elements or forces that influence the conditions under which an organization functions. Trends should be reviewed with examination given to forces that have the potential to affect or alter key elements of the environment. Major issues or problems should also be anticipated. Projections should be made with regard to future forces, environmental changes, and new opportunities that may be available. One of the biggest environmental factors for state agencies is the state's fiscal status. No discussion of an organization's operating environment would be complete without an understanding of the revenue and expenditure estimates of the state as a whole, as well as of individual agencies.

Internal Assessment. An internal assessment examines an organization's performance, problems and potential; in other words, its strengths and weaknesses. It evaluates the agency's capacity to respond to issues, problems and opportunities. It identifies customers and their expectations.

Guidelines. The ongoing process of external/internal assessment should consider the following elements:

- Who are the agency's customers and stakeholders?
  The **customers** of government include anyone who receives or uses what a government agency produces or whose best interests are served by the actions of the agency. Customers can also be clients. Customers may be internal or external. Internal customers are units or persons (employees) in an organization whose work depends upon another unit or person within the same organization. External customers are end users of the organization's products or services. On the other hand, **stakeholders** are individuals who have a vested interest or expect certain levels of performance or compliance from the organization. However, stakeholders do not necessarily use the products or receive the services of an agency.

- Where has the agency been?
  How well have the needs of the customers (both internal and external) been met? Have quality products or services been provided? Have improvements been made or has the agency been stagnant or in decline? Why?

- Where is the agency now?
  Identify current programs or activities. Does the existing structure of programs and subprograms make sense? What are the statutory mandates for those programs or activities? Why are the programs or activities needed? Do existing programs or activities support one another? Do existing programs or activities support those in other state agencies? Are any programs in conflict?

- Where are the opportunities? What are the strengths and weaknesses?
  What opportunities for positive change exist? How are the needs and expectations of customers changing? Does the plan accommodate that change? What are the constraints in meeting the customers' needs and expectation? What is the organization's capacity to act?

With respect to the third item of the above list, agencies need to review their program structures at least annually. Program structures should be revised when evidence indicates that a revision will improve agency operations, budgeting, fiscal reporting, or management. In development or revision of a program structure, agencies should consider the following:

- Programs should serve a single purpose and set of objectives.

- A program may span more than one organizational subdivision within an agency; however, activities included in a specific program should be integrated.

- Programs should be split into subprograms only if the division improves agency operations, budgeting, fiscal reporting, or management of resources.

Either the agency or the Division of the Budget may initiate a change in program structure; however, all changes in program structure must be approved by the Division of Budget before they are incorporated into the central accounting system. Although agencies may include subprograms in the accounting system for management purposes, not every subprogram necessarily would be reported separately in the budget. Agencies should discuss the program structure with the assigned budget analyst to determine the best reporting structure. An agency proposal to change the program structure should be submitted in writing and should include the following:

- Copies of current and proposed program structure charts.

- An explanation of problems encountered in using the current structure or the improvement to be gained.

- An explanation of all alternatives considered to resolve the problems.

4. Goals

Description. Goals are the general purposes toward which effort is directed and are broad, issue-oriented statements reflecting an agency's priorities. They logically follow from, and are therefore consistent with, an agency's mission and philosophy. Within the context of an agency's external/internal assessment, they indicate what the agency intends to accomplish in the future. For strategic planning purposes, goals reflect the primary activities and strategic direction for the agency, programs or subprograms; they are not a comprehensive listing of every activity.

Guidelines. For agencies with more than one program, goals are generally reported in the strategic plan at the program level; however, more than one program could have the same goal. Also, the agency may report some goals at the agency level, rather than at a program level. Goals in the strategic plan should be reported in the programs where the responsibility for implementation is located. The following considerations will guide the development of goals:

- Achievement of goals should contribute to the fulfillment of the agency mission and philosophy.

- Goals should be realistically formulated in the context of external and internal constraints.

- Goals should be focused on agency customers and should be readily understood by agency customers.

- Goals should be presented in priority order based on level of importance or estimate of greatest effect.

- Goals should be limited to the number necessary to determine the agency's direction and provide a unifying theme for activities.

Example. The following examples compare well written to poorly written goals.

To rapidly and accurately respond to customer requests for information about _____.
  vs.
To continue serving our customers.
(Not challenging.)

To ensure that the general public and industry representatives across the state are kept informed of important changes in _____.
  vs.
To conduct one seminar in every county each year.
(Unclear purpose; may be more appropriate as part of an objective or action plan.)

To expedite processing of applications for _____.
(*Automation could contribute to making this goal more efficient.*)
          vs.
To enter 3,000 agency records into the computer system by FY 2016.
(*Too specific and short-term; would be more appropriate as an objective or action plan item.*)

To improve employee morale and productivity.*
          vs.
To train our employees.
(*Unclear purpose; more appropriate as part of an objective or action plan.*)

* Note: Because this goal addresses internal management concerns, it might not be one of the key goals reported in the budget.

5. Objectives

Description. Objectives complete the "Where do we want to be?" part of the strategic planning process. Objectives are specific targets designed to achieve a particular goal. In contrast to goals (which are broad, general statements of long-range end purposes), objectives are specific, quantifiable, time-specific statements of accomplishment or result. Similar to goals, they are presented in priority order. Objectives set the direction for action or strategies.

Guidelines. The following considerations help guide the development of objectives:

- **Specific:** Objectives should reflect specific accomplishments that are desired, not ways to accomplish them.

- **Measurable:** An objective must be measurable to determine when it has been achieved. Measurement helps track progress and will be useful in evaluating the accomplishments of a program. Accountability should be built into the planning process.

- **Aggressive but Attainable:** If objectives are to be standards for achievement, they should challenge, but should not demand the impossible. Objectives should be realistic and attainable. For example, it would be reasonable to reduce highway accidents, but not to eliminate them. Objectives should also be consistent with resources available.

- **Result-oriented:** Objectives should specify a result or outcome, not just an activity. An example of a result would be, "Respond to 75 percent of all correspondence within 30 days with an annual average response of 21 days or fewer." An example of an activity would be, "To increase service to the public through improved correspondence content and turnaround."

- **Time-bound:** Specify a time-frame for meeting objectives. Each objective should be attainable within a relatively short time period. Objectives which would take longer to achieve are generally more manageable and better integrated with the budget process if they are divided into smaller pieces.

Example. The following examples compare well written to poorly written objectives.

To reduce by 5.0 percent the average cost of processing new hires by 6/30/2017.
          vs.
To reduce processing time.
(*Not specific, measurable or time-bound.*)

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To reduce the highway death rate by 10.0 percent in FY 2016.
> vs.

To eliminate highway deaths.
(Too broad, not realistic.)

To complete 3,000 record searches during FY 2017.
> vs.

To complete 3,000 record searches and 750 field investigations.
(Actually two objectives, not time-bound.)

6. Strategies

Description. Strategies are the methods or means an agency employs for transforming inputs into outputs. Thus, objectives indicate *what* the agency wants to achieve and the strategies indicate *how* objectives will be achieved.

Guidelines. The following considerations will guide the development of strategies:

- Strategies should be action-oriented, not procedural, in nature.

- More than one strategy may be needed to accomplish a particular objective.

- Strategies should be undertaken with a view to any constraints identified in the external/internal assessment.

- Strategies should be chosen on the basis of their potential benefit, as compared with other possible strategies, in accomplishing objectives.

- Strategies also should be chosen on the basis of their cost or other consequences, as compared with other alternative strategies, in accomplishing objectives.

- Strategies are supported and financed by inputs, the budgetary resources the agency requests in its budget submission, and there should be a clear and direct linkage between the inputs requested and the outputs that are estimated to be produced.

Example.

Objective: Increase the retention rate of undergraduate students by 5.0 percent in FY 2014. Strategies to attain this objective:

- Improve advising services for freshmen and sophomores. A campus-wide committee, including faculty and students, will develop a new model for freshman and sophomore advising, by the end of the fall semester of 2009.

- Ensure students have convenient and adequate access to computers. Campus buildings will be canvassed to determine areas of inadequate access. A plan will be developed to address access needs by the appropriate faculty and support staff.

- Examine course scheduling to ensure students may complete course of study in a reasonable amount of time.

7. Outcome Measures

Description. Outcome measures are derived directly from the objectives and indicate the effectiveness of agency actions. They are expressed in a quantifiable form and indicate the degree to which an agency is

achieving its objectives. Outcomes, as distinguished from outputs, measure the ultimate result or effect of a service on customers.

Guidelines. The following considerations will guide the development of outcome measures:

- Outcome measures should be directly related to an agency's objectives and matched to an organizational unit responsible for achieving the measure.

- They should be reliable indicators (that is, consistent over time) of the objective to be measured.

- They should be quantifiable, and the information needed to support them must be available or obtainable without undue expenditure of agency resources.

- Outcome measures must be clearly formulated and readily understood.

- They should lead to a valid conclusion about an agency's past or current actions and facilitate budget decisions for future actions.

Example.

Percentage reduction in auto emissions.

Percentage improvement in air quality.

Reduction in incidence of measles.

Percentage of discharged patients living independently (versus homeless or on public assistance).

Percent of decrease in repeat complaints to a regulatory board.

Percent of increase in new businesses attracted to the state.

Percent of increase in tourists.

Percent of reduction in recidivism for juvenile offenders.

Number of students increasing their earning capacity upon graduation from adult literacy program.

8. Output Measures

Description. Output measures indicate quantitatively the amount of goods and services produced by an agency. They are used to evaluate the effectiveness of agency strategies, and they measure efficiency by calculating the ratio of goods and services produced (output) divided by input. Outputs are what the agency produces as an intermediate step to outcomes, which ultimately benefit the agency's customers.

Guidelines. The following considerations will guide the development of output measures:

- Output measures should be directly related to an agency's strategies.

- Output measures should be reliable indicators (that is, consistent over time) of the strategy to be measured.

- Output measures should be quantifiable (in unit cost terms, if possible), and the information needed to support them must be available or obtainable without undue expenditure of agency resources.

- Output measures should lead to a valid conclusion about an agency's past or current strategies and facilitate budget decisions for future strategies.

Output Measures versus Outcome Measures. It may be useful at this point to emphasize, by way of example, the distinction between outcomes and outputs, because both are a result of agency actions and could easily be confused. Most performance measures included in agency budget submissions to date have

been output measures, rather than outcome measures. The following illustrates the difference between outputs and outcomes.

Output:	number of patients treated
	is not the same as
Outcome:	number of discharged patients living independently

Output:	number of vaccines given
	is not the same as
Outcome:	reduction of incidence of disease

Output:	number of permits issued
	is not the same as
Outcome:	number of entities in compliance with requirements

Output:	percentage of high school students who graduate
	is not the same as
Outcome:	percentage of students attaining a specified level of knowledge or mastery of skills in certain subjects upon graduation

Service Delivery. The following diagram is intended to depict the proper relationship between various elements of an agency's service delivery system, particularly with respect to outcomes. Note the relationship between inputs—representing budgetary resources in support of people, time, space, and information—and outputs. It also shows the relationship between outputs, as an immediate product of the agency's effort, and outcomes, the effect the service has on the agency's clientele.

Service Delivery System and Outcomes

Agency Delivery System
(Processes within the Agency)

Inputs	Input Indicators	Agency Activities	Output	Output Measure
Personnel	$ for salaries	Transportation: Road Repair	Lane-miles of road repair	No. of lane-miles repaired per $ expended
Supplies	$ for asphalt/ aggregate			
Facilities	$ for capital projects			

Outcomes
(Results outside the Agency)

Outcome	Outcome Measure
Quality or condition of roads	Percentage of lane-miles in good condition

Efficiency
"Doing things right"

Effectiveness
"Doing the right things"

Another type of output indicator measures efficiency. An efficiency measure is generally stated as a ratio of output to input or as an average. Ratios are used to express the relationships between performance measures to convey information about the productivity and cost effectiveness of a program or subprogram. In the example above, the cost per lane-mile of road repaired is an efficiency measure.

Checklist for Good Performance Measurement

Well-developed performance measures should include the following characteristics:

- **Meaningful:** measures are significant and directly related to the mission and goal.

- **Relevance:** data essential for understanding the accomplishment of goals and objectives are included.

- **Comparability:** there is a clear frame of reference for assessing performance.

- **Timeliness:** information is available to users in time to make decisions and assess accountability.

- **Consistency:** data are reported consistently from period to period. It should be reviewed regularly and modified or replaced as needed to reflect changing circumstances.

- **Reliability:** measures are derived from systems that produce controlled and verifiable data.

- **Comprehensibility:** measures are comprehensive enough to be a fair representation of the agency's overall effort.

Developing Performance Measures

- **Establish appropriate mission and goals as outlined above.**

- **Select initial performance measures.** Ideally, performance measures are established by program managers with feedback from customers and policy-makers. The most effective measures are those which represent a consensus of what is intended and expected. Inputs are generally easiest to collect; outcomes tend to be the most difficult. Try to balance the measures to include both. Based upon a review of the agency's mission, program goals and any existing measures:

  > Generate an initial list of inputs.
  > Generate an initial list of outputs.
  > Generate an initial list of outcomes. (It may be easier to identify these first.)
  > Generate an initial list of output measures.
  > Generate an initial list of outcome measures.

- **Select the key performance measures.** For each program, review the list of initial measures and select those that are **most important** based upon the mission and goals. In other words, identify which are the vital few measures from a policy-maker's perspective.

- **Define performance measures.** Good performance measures need to be specifically defined. Clear explanations of what is being measured, the source of the information, and how the value is being calculated should be documented:

  > Have the terms been clearly explained? e.g., "poverty"
  > How is the number calculated?
  > What formulas are used?

- **Determine data requirements.** Information used to measure performance can take different forms. It can be financial (cost per application processed) or non-financial (infant mortality rate). To determine the data the agency needs to collect, ask:

  > What information do we currently gather? Will it meet our needs?
  > What new information will be collected?
  > Can data collection efforts be layered onto existing collecting efforts?
  > What existing data collection should be discontinued? Why?
  > What computer hardware and software exist to assist data collection and analysis?
  > What new or modified forms will be needed to collect data?
  > What resources will be needed to manage performance data?
  > What are the constraints to changing data collections? (Money, technology, tradition, politics, privacy, etc.)
  > How frequently will the data be collected? Monthly? Quarterly? Annually?

Performance data should be collected at the source of service because:

> Those closest to program service know the program best.
> Those who deliver the service can identify collection problems very quickly.
> They also often have the best solutions to solving collection problems.
> It may be too costly to train someone else to collect the data.

- **Determine baseline performance.** The next step is to assess baseline performance (Where are we now?). A baseline is established with data collected at the beginning of an improvement process so that it can be compared with future data to measure progress and improvement. If historical data are available, they can be used to determine the baseline. The baseline is usually derived from the most recent one-year period, or a shorter time-frame, if data are unavailable.

- **Use benchmarks to establish performance targets.** Benchmarks may be professional standards, national standards, accreditation standards or quality practices. After comparing baseline status and benchmarks for a particular program, managers and staff know how far the organization must go to equal the best performers. The difference or "gap" between the target and the actual performance represents room for improvement and should form the basis of expected improvements to agency performance.

- **Measure actual performance and report results.** An important way to measure progress toward the goals in the strategic plan is to measure actual performance. While agencies can never measure all the variables or identify true cause-and-effect relationships, unexpected results should be explained, if possible.

- **Review and Update Performance Measures.** Developing good performance measures is a process that evolves with time. Measures will need to be reviewed on an ongoing basis, and changed as necessary, based on experience.

9. Action Plans

Description. Action plans make up the "How do we get there?" part of the strategic planning process. The action plan contains the details of how objectives, and consequently the goals, programs and the mission of the agency will be implemented. In other words, who does what and when?

Guidelines. Action plans should contain as much detail as each level of management feels is important. The section, unit or individual who is responsible for implementing and reporting each objective will need the most detail. As with the external/internal assessment, they are not generally included in the budget request, but provide background information to the published strategic plan. To manage an action plan, it is necessary to:

- Assign responsibility for successful completion of the action plan.

- Set a time-frame for completion of the action plan.

- Detail the action plan in steps.

- Determine the fiscal effect of the action plan and the resources to carry it out.

Example.

Goal: To ensure that all nursery and garden businesses meet the initial requirements for licensure.

Objective: Review materials submitted by individuals who seek licensure to ensure that they meet the requirements for licensure.

Strategy: Provide assistance to potential licensees who may not understand or meet all licensing requirements.

Action Plan: By March 1, 2017, Daisy Crabtree, Examiner II, will develop a brochure regarding licensure requirements for operating a nursery and garden facility.

By April 1, 2017, brochures will be printed and distributed to all post-secondary education institutions that have programs in horticulture or landscape architecture. For printing and mailing costs, $200 is included.

By May 1, 2017, Ms. Crabtree will have an outline for an oral presentation to be given at the post-secondary institutions, high schools or other pertinent groups, regarding the regulated profession.

By June 1, 2017, she will begin scheduling presentations around the state. $500 is included in the next year's operating budget for travel costs.

Budget Preparation

This section of the *Budget Instructions* is intended as an overview for agency budget request preparation. For those forms that will continue to be submitted in separate electronic files (such as the budget narrative), specific instructions are provided in this and other sections. Two requirements for submitting agency budgets deserve special notice. First, the data columns for all of the affected years must be completely filled out in detail. Second, each agency must submit its budget to the Division of the Budget and the Legislative Research Department **no later than September 15,** or the first subsequent business day if that day falls on a weekend. Earlier submission is encouraged and is accomplished by following the instructions in the system User Manual for submitting the agency request to the Budget and Legislative Research analysts. To assist budget system users, a job aid has also been prepared to step agencies through the sequence of getting a budget submitted within the budget system. This job aid can be found on the DOB website.

All state agencies are to submit complete budget estimates every other year. A new biennium starts with an even-numbered fiscal year. For example, in September 2018, agencies should submit proposed revised estimates for FY 2019 and new estimates for FY 2020 and FY 2021, as well as actual data on FY 2018. In September 2019 agencies should submit revised estimates for both FY 2020 and FY 2021.

Organization of Budget Data

An agency budget comprises many data elements, which are organized in various ways in the budget system. The budget database provides a structure from which specific data may be extracted to develop reports or examine trends. In order to obtain accurate reports, users of the system must understand this organization and follow the guidelines for entering the budget data. With the direct download of raw transaction data, the budget system is constrained to report expenditures and revenue information exactly as they were processed through the accounting system. In order to obtain the best information possible, the Division of the Budget continues to work with agencies and the accounting staff within the Department of Administration to change fund structures or other processes to enhance the usability of the system.

Federal Funds

In order to distinguish expenditures from federal sources, the Division of the Budget, with the assistance of the Department of Administration, requires that new federal monies be identified in their own separate funds. They can no longer be blended with state sources within a single fund. New federal funds will continue to be added, as necessary, to preserve the integrity of reporting expenditures from federal sources. A separate federal fund must be established for each federal grant, identified by a separate CFDA value. Agencies must identify new funds to be added in their budget narrative, so that the Division of the Budget analyst can place them in the appropriation bill.

Non-Expense Items

With regard to non-expense items, these expenditures are excluded from total reportable expenditures. Because data are loaded automatically from SMART, users should understand how these expenditures are addressed. Within the budget detail, non-expense items are included on both the expenditure by account code (formerly object code) and by funding source. On standard budget system reports, no distinction is made between reportable and non-reportable expenditures. To distinguish these data, the custom DA 406/410 report excludes these expenditures from the agency and program reportable expenditures. The Division of the Budget excludes certain funds from the budget system in their entirety so that the state budget is not improperly overstated. For further information, refer to the Glossary in these *Budget Instructions*, and for agency-specific questions on this issue, please contact your budget analyst.

Record Class (Series)

In the budget database, expenditures and financing of those expenditures must be balanced not just by reporting level, but by series of expenditure, otherwise known as record class. The list below denotes the series used for data entry of expenditure and financing data. The budget system will verify that expenditure and financing data are in balance for each series upon budget submission. For ease of use, the system budget validation report indicates the series and reporting level(s) that are out of balance for the user to correct.

Series Name	Record Class Identifier
Salaries and Wages	1
Shrinkage	10
Contractual Services	2
Commodities	3
Capital Outlay	4
Capital Improvements	5
Debt Service—Interest	6
Debt Service—Principal	7
Aid to Locals	8
Other Assistance	9
Operating Adjustments	91
Non-Expense Items	92

Overview of Fiscal Year Data

State law requires that expenditure and funding proposals for the upcoming fiscal year be accompanied by parallel information on spending and funding levels for the current and prior fiscal years. An agency's budget request must contain actual year data, the current year revised estimate and the budget year request. The budget system is configured with the columns listed below for the upcoming cycle.

Column 1	FY 2018 Actuals
Column 2	FY 2019 Posted Payroll
Column 3	FY 2019 Base Budget Entry
Column 4	FY 2019 Base Budget Request
Column 5	FY 2019 Agency Change Packages
Column 6	FY 2019 Adjusted Budget Request
Column 7	FY 2020 Posted Payroll
Column 8	FY 2020 Base Budget Entry
Column 9	FY 2020 Base Budget Request
Column 10	FY 2020 Agency Change Packages
Column 11	FY 2020 Adjusted Budget Request
Column 12	FY 2021 Base Budget Entry
Column 13	FY 2021 Base Budget Request
Column 14	FY 2021 Agency Change Packages
Column 15	FY 2021 Adjusted Budget Request

Actual Year Expenditures

The actual year data in column 1 represent expenditures which occurred in the prior fiscal year and provide a point of comparison. Data in this column come directly from the state's accounting system for

reporting purposes in downloads. The download occurs in mid-August to incorporate updated actual expenditures.

Changes to actual year expenditures after the books have been closed must be negotiated with central accounting staff within the Department of Administration, which notifies the Division of the Budget for entry into the system. Agencies will not have an opportunity to change actual expenditures in the budget system, so that data in the two systems remain identical.

Current and Budget Year Estimates

Within appropriation constraints, agencies should adjust projected current and budget year expenditures to reflect the most current and realistic estimate of expected expenditures. These estimates are a revision or modification of the approved budgets for FY 2018 and FY 2019.

Agencies will have the opportunity to enter revisions to their approved FY 2019 budget without using change packages in the system. Reallocations among expenditure types and programs may be done within the budget detail; however, if compelling circumstances require that an agency receive an increase in expenditure authority, a supplemental request should be included as an identifiable change package. Reappropriations should be entered as part of the revised request. This information can be found in the fund detail of the Special Fund Balance module in the budget system. If additional expenditures will be made using these reappropriated funds, agencies may enter these in the Base Budget Entry column 3. Column 4is the sum of data in columns 2 and 3; it allows no direct data entry. Column 5 reflects current year policy changes to the budget, such as requests for supplemental appropriations, which must be presented in the form of change packages. Column 6 is the sum of data in columns 4 and 5; it allows no direct entry.

Instructions on how to develop a change package are found in the Budget System User Manual. These requests must be numbered on a priority basis and use the system categories "Group: Agency (A)" and "Type: Supplemental (C)." An overview of the supplemental request and offsetting savings should be provided as part of the change package description. This description should include an analysis of the reason(s) for the revised request, and a breakdown of revised needs by funding source.

Budget Year and Out Year Information

The budget years include data on the agency's request, including reduced resource packages and enhancement packages for which the agency is seeking funding and support. FY 2020 (budget year) and FY 2021 (out year) are the budget years to be requested in September 2018.

Agencies enter budget year request data in Columns 8 and 12, accounting for approved funds, plus all other agency funding sources available in those years. Columns 9 and 13 represent the total agency budget request, with the exception of enhancement packages. The FY 2020 and FY 2021 budget requests represent the best estimate of the agency's performance, within allocated resources. The Division of the Budget outlines certain criteria to be met for these requests, such as adjustments for estimated population or caseload changes. The agency budget requests are represented as an agency total on the various forms. Internal management initiatives or reorganizations that do not require additional funding or a change to the mission and goals of the agency can be represented in these budget scenarios. A significant change in policy direction should be discussed as an enhancement package, which is described below.

Columns 10 and 14 will be used for change packages in the budget year and out year. Agencies entering change packages should ensure that they are in balance (expenditure by account codes equals funding for every series). The budget system will require this balancing. Further detail is provided below on budget change packages. Columns 11 and 15 are the sum of columns 9 and 10 and columns 13 and 14 and require no entry on the agency's part.

Enhancement Package Instructions

Any enhancement to the agency budget request is to be requested in a change package. Enhancement packages are incremental adjustments to the budget year request. Enhancements can include an expansion of an existing program, the establishment of a new program, or a significant shift in program direction. The package reflects the incremental expenditures and personnel requirements, as well as the method of financing for the requested enhancement for the budget year and three ensuing fiscal years.

The packages should be designed under the assumption that the allocated agency budget request is available. Enhancement packages are an opportunity for an agency to demonstrate the effect of individual program expansions or new programs for the budget year. They also provide decision-makers with the necessary information to approve or deny an enhancement package based on performance and funding. The decision package is the key concept for the Governor to review the request.

Each package must contain complete information for that enhancement. The budget system provides that change package budget data are entered in the appropriate reporting level(s). Enhancement packages must be numbered on a priority basis and use the system categories "Group: Agency (A)" and "Type: Enhancement (E)." If an agency requests more than one enhancement, an agency-wide priority should be assigned to each enhancement, i.e., 1/3 (first of three). Each enhancement package should contain the following elements in the narrative:

1.   A general description and justification of the requested enhancement. It should also include discussion of any change in the law that would need to occur to carry out the enhancement as well as a discussion of increases or changes in fees, federal or private grants or other method of financing.

2.   Justification by major account code (salaries, commodities).

3.   A discussion and demonstration of the related goals, objectives, strategies, and performance measures for the budget year and three ensuing fiscal years. Particular attention should be given to the enhancement's relationship to the agency mission and providing valid and reliable performance measures. **Requests without such information will not be considered.**

4.   A discussion of the enhancement's effect on other agency programs or another state agency's programs.

5.   Tables reflecting expenditures, financing, and personnel requested for the budget year **and three ensuing fiscal years.**

Salaries and Wages

Guidelines for using the personal services module follow the prior pattern for constructing the traditional DA 412. It should be noted that for entering shrinkage adjustments, agencies should enter the amount directly in a unique salary account code, 519990, in each applicable reporting level within this account code, as a negative amount. On the funding side, the same amount is taken out of appropriate fund(s) for salaries in each reporting level. No FTE position changes should be made for a shrinkage adjustment.

The budget system will automatically enter FTE and non-FTE unclassified permanent position data for each reporting level, for the two upcoming budget fiscal years, when the position module is clicked to complete. Because agencies do not have access to column 1, the Division of the Budget will manually enter position data for the actual year, from data provided by the agency in the overview narrative.

Agencies sometimes request certain salary adjustments applied to positions in the classified service. Classification actions can take two forms: one for individual positions and one for groups of employees in the same or similar classifications. Requests for these actions are handled two ways. Agencies should include **individual** position classification actions as enhancement change packages in the format provided in these instructions; the number of positions affected should be identified. For **classification study actions** (including pay grade changes), agencies must receive approval from the Division of Personnel Services prior to including the enhancement package in the budget request. Agencies may include personnel actions for unclassified positions (individual positions and studies) in the budget requests, also as enhancement packages.

Unbudgeted individual position actions are allowed in recognition of the fact that agencies cannot always anticipate when such actions will be appropriate or required. However, unbudgeted personnel actions should be implemented only if the action can be financed from existing agency salary and wage resources. These changes can be accomplished within the personal services module on the position information tab for a position in the appropriate fiscal year.

It must be emphasized that agency fiscal personnel are responsible for assuring that salary and wage costs do not exceed salary and wage resources available for the current fiscal year. Some personnel classification actions may be imprudent; however, responsibility for that judgment rests with the agency. Division of the Budget approval of unbudgeted actions is not required. However, requests for supplemental funding as a result of unbudgeted actions will be recommended only in exceptional circumstances.

Capital Outlay

Similar to expenditures for personnel, expenditures for capital outlay items are given extended treatment in the budget process. Accounting Policy Manual, Filing 7,002 indicates the kind of expenditures that are included in this category (generally account codes in the 54XXX series).

Unless capital outlay items are to be purchased as part of a larger capital improvements project, they are included in the proposed operating budget of the program or subprogram where they will be used. Agencies enter dollar amounts in the budget detail by account code. The budget request narrative for capital outlay should include discussion of current year purchases in the event that they differ significantly from purchases approved by the Legislature.

For FY 2020 and FY 2021, requests for all vehicles should be included as part of the agency's operating budget. Assuming the purchase is not part of a program expansion, agencies should work financing of replacement vehicles within their base budget request. The following expenditure account codes are to be used in the budget system for these purchases:

Account Code	Description
540500	Passenger Cars
540600	Pickup Trucks and Passenger Vans

Overview of iBARS Budget Versions

iBARS identifies different stages of budget data through the use of versions. The system accommodates several version types, such as "Download," "Agency," "Executive," and "Final Approved." Within limits, more than one budget can be created within the same type of version (Agency 1, Agency 2, etc.). Budget versions are "owned" by different users throughout the budget process for viewing and development. The graphic on the following page depicts how the budget system uses the same column structure throughout the budget cycle, with different versions to distinguish the agency budget from the Division of the Budget recommendation, the Governor's recommendation, or the Legislature's approved budget.

The budget system is configured to include numerous version types:

Download   Initial "starting point" that includes prior year actual and cash balance data from SMART.

Agency   Agencies' working copies of budget request, prior to submittal.

Agency Submitted Agency final request, which is "submitted" and opened to the Division of the Budget and Legislative Research Department.

Division of Budget DOB analysts' working copies of agency budgets.

DOB Submitted   Final DOB recommendations provided on November 10.

Governor   Division of the Budget working versions to formulate the Governor's recommendations.

Governor Submitted Finalized Governor's budget recommendations opened to agencies and Legislative Research Department in January.

Legislative   Working versions used by Legislative Research Department during the legislative session.

Final Budget   Finalized budget data adopted by the Legislature.
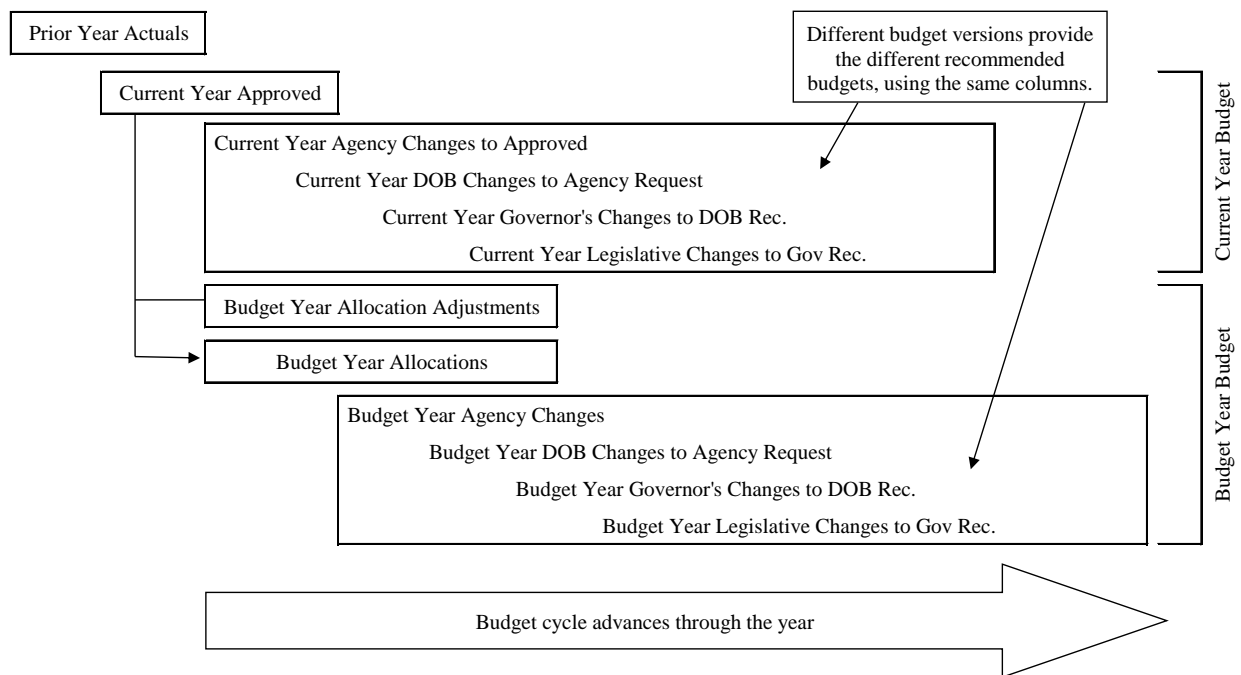
The ownership of the budget version dictates who has control over opening, closing or limiting access to the budget data. The type of budget version identifies the ownership of the budget data. For example, an agency controls the agency version, while the DOB analyst controls the executive version. The access field on the budget request checklist in the budget system is where versions are opened or closed to others by the party that controls the data.

Overview of DA Forms

The DA 400 series printed forms are no longer used for reporting of most budget data, but instructions specific to budget narrative and examples of the forms that have been retained follow this section of the instructions.

Agency/Program Narrative—DA 400

Narrative provides information regarding the agency and each of its programs, as well as strategic planning and budget proposals. Narrative is provided to describe the mission, goals, and statutory directives of the agency as a whole. It is to illustrate the basis for budget requests which represent the translation of program goals, objectives, and strategies into funding requests. Program narrative provides a major source of background information to the Division of the Budget, the Governor, and the Legislature when budget requests are evaluated.

As required by KSA 75-3717, the narrative description for each **new** or **expanded program** must include an estimate of anticipated expenditures for the budget year and three ensuing fiscal years that would be required to support the new or expanded program (see Enhancement Packages below).

When preparing narrative information for the agency and each of its programs, agencies should ask the following questions:

1. Have agency and individual program objectives, strategies for achieving those objectives, operations, governing statutes, and trends changed in the past year?

2. If changes in the agency program structure are necessary, how should they be incorporated into the program narrative?

3. Are there any new constraints, developments or trends affecting agency or program performance that a decision-maker should know about in order to make effective budget recommendations?

Budget narratives should be provided in electronic PDF format submitted by e-mail to the budget analyst. The Division of the Budget will retain the electronic files for archiving of budget data and information. For assistance in this area, please contact your budget analyst.

Note: Actual data for performance measures, revenue information (similar to the DA 405), and other background information should continue to be provided for two actual years.

The agency narrative should also include summary discussions of the budget year request, the reduced resource changes, and any enhancement package and its effect on agency operations and service delivery capabilities. Other specific narrative instructions are as follows:

Actual Position Numbers. As mentioned previously, the first column of budget data includes the prior year's actual expenditures and revenues. Numbers for actual filled positions in the prior year, however, are not filled in from either SMART or SHARP. The Division of the Budget analyst must manually enter these data for FTE positions as well as non-FTE unclassified permanent positions. Agencies are requested to provide this information within their agency overview narrative, on a reporting level or program basis, not only on an agency-wide basis.

New Funds. Agencies are requested to indicate as part of their budget request any new funds or accounts that they wish to have created. Agencies should include a suggested fund or account title consisting of three to five words that accurately characterize its intended purpose. Federal funds must have the word "federal" somewhere in the title. Also indicate the fiscal year or years for which the fund is needed. The Division of the Budget will use this information in drafting the appropriations bill. Particular attention should be paid to federal funds, given the new standard that every federal grant with a unique CFDA number have its own designated fund.

Narrative for Expenditure Requests by Major Account Code (e.g., Salaries, Contractual Services, Commodities, Capital Outlay)

Narrative should include an explanation of proposed expenditures by major account code category. The following information should be provided for the current and the budget years:

1. Use of historical references, where relevant, to justify the level of expenditure.

2. Detailed description and supportive information of estimated expenditures that represent a significant portion of the overall account code request.

3. Meaningful discussion of what expenditures will or will not accomplish.

4. A description of the agency or program staffing pattern.

5. A description of any lease purchase or installment purchase contracts.

6. A description of significant adjustments to current year expenditures.

Aid to Local Governments and Other Assistance, Grants and Benefits

The major account code categories of Aid to Local Governments and Other Assistance, Grants and Benefits require that additional narrative information be provided. Aid to Local Governments is defined generally as funds disbursed to counties, cities, public schools, community health centers, and other subdivisions of local government that have their own taxing authority. In addition, this category can include shared revenue and funds disbursed to qualified non-state, not-for-profit organizations.

The Other Assistance, Grants and Benefits category is defined as payments from state or federal funds for the benefit of eligible recipients. Payments for other assistance include personal claims, student financial aid, welfare assistance, and lottery prizes.

The narrative description on the DA 400 should provide a full explanation of the purpose of the aid or assistance request. If applicable, the narrative should also account for the effect of the expenditures on local governments. The narrative should include:

1. Description of the funding sources and matching requirements.
2. How and to whom the monies are distributed.
3. The population served.
4. Other revenue sources utilized by, or available to, the recipients.
5. Any other information necessary to describe the request.

Subprogram Narrative—DA 400

Agencies may retain their regular budget narratives to report agency and program information in the same manner as explained in the section above regarding budget narratives and the DA 400. However, some agencies also may have subprogram information to report as a result of performance based budgeting. If so, agencies should **at a minimum** use the subprogram narrative form. An example of the form is provided in the sample budget at the end of this section. A copy of the form can be found on the Division of the Budget website (https://budget.kansas.gov/agency-info/).

Subprogram narrative tables include the following information:

1.   Agency name;

2.   Program title;

3.   Subprogram name;

4.   Subprogram priority ranking;

5.   Whether or not the program is required by statute;

6.   Statutory citations;

7.   If there is a Maintenance of Effort Requirement;

8.   Purpose of subprogram; and

9.   Consequences of not funding the subprogram;

If your agency does not have subprograms, **please indicate a program priority ranking in your regular budget narrative.**

Resource Estimate by Fund—DA 404

The DA 404 report explains the factors that determine the amount of money available to, or required by, an agency from available funding sources. Because these forms are now incorporated within the budget system, agencies no longer must submit a set of paper or electronic DA 404 forms. Examples of 404 reports from the budget system are part of the example budget at the end of this section. For instruction on entering revenue data in the system, refer to the Budget System User Manual. The functionality of the 404 has been improved to provide for automatic calculation of the balance forward from one year to the next. Users no longer have to make column selections prior to running the DA 404 report.

Explanation of Receipt Estimates—DA 405

Accompanying the DA 404 forms, a narrative explanation should be provided using the DA 405 which explains the methodology used to estimate resources. **A DA 405 must be completed for every budgeted fund, except for the appropriated state funds** (State General Fund, Kansas Endowment for Youth Fund, Children's Initiatives Fund, Economic Development Initiatives Fund, State Water Plan Fund, Expanded Lottery Act Revenues Fund, and the three building funds). This form continues to be submitted with the narrative. Examples follow at the end of this section. Information on the form must include:

1.   State law or rules and regulations that establish the fund and determine receipts that are credited to it.

2.   A description of any fee structure used in the computation of estimated revenues.

3.   The identification of any authorized or proposed fee according to the revenue account classification administered by the Department of Administration.

4.   The appropriate level of balances that should be maintained in any particular fund and an explanation of the effect upon balances of the alternative expenditure levels.

5.   Agencies responsible for accounts receivable estimated to be $1,000 or more in the budget year must include the following information on the DA 405: accounts receivable balances, collection rates, and estimated revenue based on the probability of collection.

6.   Agencies receiving federal funds should include federal law or rules and regulations that govern the distribution and utilization of those funds.

Note: Indicate two years of actual information on the DA 405 for each fund source.

This budget example is intended to serve as an illustration of the different parts of an agency's budget; it is neither a complete nor an actual replication of any single agency's budget.

September 8, 2018

Mr. Larry Campbell, Director
Division of the Budget
900 SW Jackson, Suite 504-N
Landon State Office Building
Topeka, Kansas 66612

Dear Mr. Campbell:

As Interim Secretary of the Department of Commerce, I hereby submit for your consideration the Fiscal Year 2020 and 2021 budget document for the Department. It has been prepared in accordance with the instructions transmitted with your letter of July 14, 2018. To the best of my knowledge and belief, the information and explanation included in this budget request are correct and complete.

As always, my staff and I are prepared to provide any additional information which you or our budget analyst may require.

Sincerely,

Robert North
Interim Secretary

AGENCY MISSION
To deliver the highest level of Business Development, Workforce and Marketing services that build a healthy and expanding Kansas economy.

As the state's lead economic development agency, the Kansas Department of Commerce strives to empower individuals, businesses and communities to achieve prosperity in Kansas. To this end, the Department comprises a variety of programs and services that create jobs, attract new investment, provide workforce training, encourage community development and promote the state as a wonderful place to live, work and play.

PROGRAMS ESTABLISHED TO ASSIST WITH AGENCY MISSION

Business Development Division	Workforce Services Division
Rural Development Division	Kansas Athletic Commission
Trade Development Division	Kansas Film Commission
Entrepreneur Technology Program	

STATUTORY HISTORY
The Kansas Industrial Development Commission was created by an act of the 1939 Legislature to promote Industrial Development and improve the economic welfare of the state. Upon recommendation of the Governor's Economic Development Committee, the 1963 Legislature reorganized the Commission into a Department of Economic Development with increased responsibilities for community development. Executive Reorganization Order No. 7, K.S.A. 74-5002(a) created the Department of Economic Development as an executive cabinet-level agency in 1975.

K.S.A. 74-5008(a) through K.S.A. 74-5032 had major revisions in 1985 reorganizing the Department into four divisions: Small Business Development (K.S.A. 13-13a28); Community Development (K.S.A. 74-5009); Travel and Tourism and Film Services (K.S.A. 74-5032); and Industrial Development (K.S.A. 74-5008a) and two offices under the Secretary: Minority Business (K.S.A. 74-5012) and Advanced Technology (K.S.A. 13-13a27). Two divisions were abolished at that time: Housing and Minority Business.

In 1986, the name was changed to the Department of Commerce. In 1992, K.S.A. 74-5002(a) brought the Department under the provisions of the Kansas Governmental Operations Accountability law while abolishing the sunset provisions in K.S.A. 74-5049.

The 2003 Legislature adopted Executive Reorganization Order No. 30 which transferred the Division of Housing to the Kansas Development Finance Authority and changed the agency name to the Kansas Department of Commerce. This change was effective July 1, 2003.

The 2004 Legislature adopted Executive Reorganization Order No. 31 which transferred the Employment and Training Division of the former Department of Human Resources to the Kansas Department of Commerce, effective July 1, 2004.
The America's Job Link Alliance of the Department of Labor was transferred to the Kansas Department of Commerce effective July 3, 2005.

The Travel & Tourism Division was moved to the Department of Wildlife & Parks by ERO 36, effective July 1, 2011.

The Commission on Disability Concerns was moved to the Governor's Office by ERO 35, effective July 1, 2011.

AGENCY-WIDE OVERVIEW

Current Year:
There were a number of changes to the agency budget beginning in FY 2016. While a number of programs were moved to other agencies or eliminated, many new responsibilities were added: Animal Health Research Grant, Aviation Research Grant, Cancer Center Research Grant, Engineering Expansion Grants, Rural Opportunities Zones Program, Entrepreneur Technology Program (formerly KTEC), the Job Creation Fund, the oversight of the Governor's Economic Council and the new Creative Industries Commission.

In addition to all of these changes, the EDIF block grant allocation was reduced by 5% or $0.78 million. To maintain focus on delivering the agency's mission, all necessary reductions were evaluated and prioritized to minimize impact to any one program or service. Programs impacted include: business recruitment and retention efforts, Women & Minority Business program, KSBDC Passthrough, Network KS Passthrough, Main Street programs, Main Street Incentive Without Walls Grants, KS Industrial Training/Retraining (KIT/KIR) programs, Kansas Athletic Commission, and Kansas Film Commission.

In addition, professional services, contractual services, administrative costs and marketing will be impacted, but with attention will be paid to ensure the programs Commerce has to ensure maximum impact to our state's economy.

In accordance with the Division of the Budget instructions, Department of Commerce has submitted a budget within the amounts approved for FY 2019 by the 2018 Legislature. Where administrative savings have been found, those are detailed in the program-specific narrative.

Budget Years—Allocated Resource Budget:

The national economy continues a sluggish recovery; however, there are indications that Kansas may be nearing an upturn in its outlook but with a conservative approach. As such, the FY 2020 and FY 2021 allocations reflect a $786,671 or 5% in reduced resources from the EDIF.

While Commerce continues to strategically evaluate all programs and services for continued focus on its mission, the continued cuts could have an impact on the agency's ability to continue to serve Kansas and its businesses.

Programs impacted include: Women & Minority Business program, Agriculture Value-Added Loan program, Simply Kansas programs, KSBDC Passthrough, Network KS Passthrough, Main Street programs, SCIP grants, Community Capacity Building Grants, Main Street Incentive Without Walls Grants, Office of Rural Opportunity, KS Industrial Training/Retraining (KIT/KIR) programs, Kansas Athletic Commission, and Kansas Film Commission.

Additionally, professional services, contractual services, administrative costs and marketing will be adversely impacted resulting in reduced services to Kansas and overseas businesses and clients.

EDIF Operating Grant
Outcome Measures

	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimate	FY 2020 Estimate	FY 2021 Estimate
Jobs Created	9,398	6,500	6,500	6,500	6,500
Jobs Retained	8,486	8,500	7,100	7,000	7,100
Payroll Generated	$125,744,391	$205,000,000	$1,500,000	$1,500,000	$1,500,000
Capital investment in Kansas	$256,148,633	$313,000,000	$515,000,000	$315,000,000	$319,000,000
Funds leveraged through match	$18,117,349	$16,500,000	$16,500,000	$16,500,000	$16,500,000
Individuals trained	9,428	9,000	10,400	10,400	10,400
Sales generated	$75,949,689	$69,500,000	$110,000,000	$110,000,000	$110,000,000
Increased visitation	348,758	318,000	334,000	334,000	334,000
Tourism revenue generated	$33,102,594	$32,000,000	$33,600,000	$33,600,000	$33,600,000
Kansans served	4,462	4,400	4,450	4,450	4,450
Number of communities served	316	300	315	315	315

Actual Position Data:
The Department of Commerce has an FTE limitation of 164.25 for FY 2019, with 105.04 non-FTE unclassified permanent positions authorized. The Department's actual FTE data for FY 2018 was as follows:

Program		FTE Positions		Non-FTE Unclassified Permanent Positions
General Administration		44.25		5.00
Business Development		12.00		3.00
Rural Development		8.00		1.00
Trade Development		6.50		2.00
Workforce Development		89.25		89.00
Commissions		1.50		2.00
Agency Total		161.50		102.00

New funds requested for appropriation bill:
The Department of Commerce needs two new no-limit funds for FY 2020 and FY 2021: "Business Revitalization Fund" and "Re-employment Services Assistance–Federal Fund."

Enhancement Package – FY 2020 and FY 2021:
The Department is requesting two enhancement packages for consideration by the Governor and the Legislature. They are listed below with brief descriptions.

1. **Pilot Program to Recruit Small Technology Companies** – The $200,000 requested increase for both FY 2020 and FY 2021 will support a pilot program in coordination with other agencies and localities to target and attract small technology-based companies to Kansas. This pilot program, operated in conjunction with, and supported by Kansas Technology Enterprise Corporation, Kansas State University, the University of Kansas, the Manhattan and Lawrence Chambers and those local communities will focus on attraction of a segment of technology-based companies that are not being effectively addressed by existing efforts. This effort will focus on small but promising companies whose technology is in an area of university expertise and in line with the state's strategic opportunities for economic growth. Commerce's overall business recruitment effort has been very effective but focused primarily on companies larger than those that would be the target of this pilot initiative. The universities can provide the research capability, technical expertise and the access to talent that is critical to the growth and success of these types of company but are not geared for recruitment of such companies. This new program managed and supported jointly by the collaborating partners will attempt to fill the gaps identified as critical in the successful recruitment of such companies. The $200,000 requested would provide the basis for a fund that would be matched by the local communities and used to provide assistance necessary to successfully attract the target companies.

2. **Kansas Economic Opportunity Initiative Fund (KEOIF)** – The $800,000 requested in FY 2021 increase will support the only cash incentive tool for small and rural companies. KEOIF is a performance-based forgivable loan incentive program which assists Kansas' competitiveness in recruitment of new companies as well as encouraging existing companies' expansions. It is an important retention tool to reduce company closings and departures. This increase would provide additional incentive opportunities to further stimulate the Kansas economy.

The **Business Development Division** strives to grow the Kansas economy through the creation and retention of jobs and capital investment. This is done by recruiting new companies to Kansas and helping existing Kansas companies grow here. Our staff helps businesses:

- identify programs and incentives for which the company might be eligible
- assess the strengths and weaknesses of a particular site in Kansas
- conduct labor market research
- work with other state agencies
- meet licensing requirements

Financial incentives and programs we administer for businesses include:

- High Performance Incentive Program
- Kansas Economic Opportunity Initiatives Fund
- Kansas Enterprise Zone
- Promoting Employment Across Kansas (PEAK) Program
- Private Activity Bonds
- Wind and Solar Bond Financing
- Sales Tax Revenue (STAR) Bonds

Despite all the gloomy headlines about the national economy, Fiscal Year 2015 was one of our strongest years for recruitment of new companies and retention/expansion of existing companies. In fact, the Business Development Division combined to facilitate 110 successful relocations or expansions, which created or retained 19,454 jobs ─ 6,806 more than last year ─ and $1.3 billion in capital investment. These results earned Kansas unprecedented media coverage from outlets like Area Development, Business Facilities and Site Selection magazines, which in turn has generated several new business leads for Fiscal Year 2017 projects.

Recruitment

Fiscal Year 2017 was Kansas' best recruitment year in decades. Our recruitment team facilitated 68 corporate relocations and expansions, which created 13,870 new jobs ─ 4,770 more than last year ─ and $838 million in capital investment. Slightly more than half of these relocations involved professional service and white-collar-type office jobs, while 27 percent involved manufacturing jobs. Some of our largest recruitment projects included:

- Allen Foods, Topeka (50 jobs, $30 million capital investment)
- Cerner Corporation, Kansas City (4,500 jobs, $170 million capital investment)
- General Motors, Kansas City (1,000 jobs, $88 million capital investment)
- J.P. Morgan, Overland Park (650 jobs, $30 million capital investment)
- Jupiter Group, Junction City (169 jobs, $3.2 million capital investment)
- Redbarn Pet Products, Great Bend (200 jobs, $2 million capital investment)

- Regent Asset Management, Overland Park (1,250 jobs, $2 million capital investment)

- Tindall, Newton (400 jobs, $66 million capital investment)

- U.S. Bank, Overland Park (1,100 jobs, $21 million capital investment)

Retention and Expansion

In Fiscal Year 2017, our retention and expansion team facilitated 42 projects, which created 5,584 jobs ─ 2,036 more than last year ─ and $471.3 million in capital investment. Eighteen of the 42 successful projects are manufacturing, while two are classified as aerospace and two are classified as energy. The remaining projects are either retail, professional services or agricultural. Some of our largest retention/expansion projects include:

- PTMW, Inc., Topeka (135 jobs, $9 million capital investment)

- RTS International, Lenexa (165 new jobs, $5.2 million capital investment)

- Sugar Creek Packing Co., Frontenac (295 new jobs, $7.9 million capital investment)

- LDF Companies, Inc., Wichita (251 new jobs, 146 retained jobs, $11.9 million capital investment)

- Watco Companies, Pittsburg (304 retained jobs, $1.9 million capital investment)

Media Accolades and Rankings

Kansas' recruitment and retention/expansion success earned the state unprecedented media coverage and exposure among site location consultants nationwide. In fact, Kansas was recognized by six major media outlets, surveys or publications for business excellence in 2015. Our key media accolades and rankings are as follows:

- Kansas was named Top 10 in eight of 20 categories in Business Facilities magazine's 2013 Rankings Report, our best-ever finish.

- Kansas was ranked No.3 in Southern Business & Development magazine's "Top Deals and Hot Markets" report, the state's best-ever finish and our second straight Top 5 ranking.

- Kansas was ranked the No. 7 most pro-business state in the Pollina "Top 10 Pro-Business States" report for the second straight year. It was our third straight Top 10 finish.

- Kansas was ranked No. 11 in CNBC's annual "America's Top States for Business" report for the second time in three years.

- Area Development magazine named Kansas the winner of the Silver Shovel Award for excellence in job creation and capital investment. This was our fourth Silver Shovel in five years.

- Site Selection magazine named Kansas one of the nation's Top 10 most competitive states for capital investment and facility development. This was our second straight Top 10 finish.

EXPENDITURE JUSTIFICATION BY OBJECT CODES

Object Code 100: Salaries and Wages

The 13.00 FTE positions in Business Development work to retain, expand and attract business opportunities through assistance (oftentimes financial) provided directly to companies seeking to locate or

expand in Kansas. We also provide a significant amount of technical and marketing assistance to small companies seeking to become established or grow their operations. Our FTE count includes a number of individuals who are dispersed throughout the state to provide a higher level of customer service and more immediate response to companies seeking to grow their operations in our state. Depending on need and situation, our staff can and does respond to a variety of informational and assistance needs.
FY 2018: $1,351,531
FY 2019: $1,346,125

Object Code 200: Contractual Services
Expenditures for contractual services are used to ensure that our broad base of clients receive the assistance necessary to encourage growth and development of the business in Kansas. Expenditures in this category are a reflection of the variety of services and assistance provided by the Division and range from printing costs for program guides, promotional materials and advertising to contracts for professional services with individuals providing representation for Kansas in various markets. Rents are also a significant component of this expenditure category.
FY 2018: $876,500
FY 2019: $829,000

Object Codes 300: Commodities
Expenditures in this category are primarily for consumables like stationery, fuel and publications. This budget will see some reduction year-to-year, as we have reduced expenditures in several categories significantly in an effort to offset increased fuel costs and gain some budget savings.
FY 2018: $16,275
FY 2019: $17,100

Object Code 400: Capital Outlay
Expenditures in this category are almost exclusively for technology upgrades, primarily computer replacement.
FY 2018: $1,500
FY 2019: $1,500

Object Code 500: Aid to Local Governments and Other Assistance
The amount budgeted for these expenditures are reflective of program funding levels and anticipated demand. Adjustments in funding level seen here are good-faith attempts to define the demand for resources available through these programs.
FY 2018: $ 218,075
FY 2019: $ 300,000

The **Trade Development Division** works with Kansas companies to help them sell their products and services in international markets. The Division also works to recruit international businesses to establish facilities and create jobs in Kansas. These two goals comprise our overall mission – to help Kansas capitalize on opportunities in the global economy.

Our staff directly helps Kansas businesses by:

- providing information on foreign markets and trends.

- gathering export data and foreign market research.

- coordinating with local, state, federal and foreign agencies.

- conducting export seminars.

- recruiting and assisting company participation in international trade shows.

- hosting foreign delegations to Kansas.

- distributing foreign trade leads.

- locating export financing packages.

- maintaining international consultants in key global markets, including Mexico and China.

Some of our most popular programs and services include:

- Kansas International Trade Show Assistance Program

- Governor's Exporter of the Year Award

- Foreign Trade Offices

Kansas Exports

Despite the global economic recession, Kansas businesses totaled $8.9 billion in exports in 2016, the state's third-highest export total in history. Prior to the global recession, Kansas had achieved record-high exports for four consecutive years — a trend that's likely to continue once the economy rebounds. As a result, the Trade Development Division continues to see a high volume of activity and requests for assistance from Kansas businesses and foreign companies looking to buy Kansas goods. The activity and requests cover various industries, including aviation, agriculture and alternative energy.

International Investment Projects

The Division continues its efforts toward maintaining a stream of foreign direct investment into the state by promoting Kansas worldwide and recruiting foreign firms to establish new facilities in the state. In FY 2017, our team recruited three foreign companies to Kansas, resulting in 214 new jobs and $25.9 million in capital investment. These projects were:

- CEVA Biomune, Lenexa (81 jobs, $13 million)

- Megastarter, Manhattan (13 jobs, $5.5 million)

- Jupiter Group, Junction City (120 jobs, $2.4 million)

Kansas International Trade Show Assistance Program

The Kansas International Trade Show Assistance Program (KITSAP) helps introduce Kansas companies to foreign markets by funding their participation in trade shows. Eligible companies are those whose product or service originates in Kansas or whose products receive substantial value-added processing in Kansas.

In FY 2017, the Trade Development Division awarded a total of $23,247 to six Kansas companies to attend a total of seven international trade shows. Those six companies reported sales of $1.25 million, which translates to a return on investment of $53.77 for every $1 in trade show assistance. Three of the six companies found a new agent or distributor as a result of their participation in a trade show.

Governor's Exporter of the Year

Each year, the Trade Development Division presents the Governor's Exporter of the Year Award to a single Kansas company for exceptional international marketing success. This award encourages the growth of the state's international commerce by showcasing successful exporters as role models to the Kansas business community.

The recipients are prime examples of how exporting is a significant catalyst for company growth and diversification. In FY 2017, Governor Sam Brownback and the Trade Development Division announced Bio-Microbics Inc. as the 2015 Governor's Exporter of the Year. Bio-Microbics Inc. produces innovative equipment to help organizations address a variety of environmental problems. Current product lines include decentralized wastewater transfer and treatment systems, storm water treatment equipment, wastewater screening devices, commercial grease interceptors and fill media for the global water, wastewater and storm water treatment industries.

Focus Groups and Seminars
In FY 2017, our Trade Development specialists conducted seven focus groups throughout rural Kansas to obtain a fresh perspective on the needs and experiences of the state's small business exporters. The two-hour sessions were held in Manhattan, Pittsburg, Independence, Leavenworth, Salina, Dodge City and Hays. Each group was asked to discuss their international marketing experiences, business risk, familiarity with the Kansas Department of Commerce, impact of exports on their business operations, and the use of social media to market and recruit.

Feedback from the Salina group included comments on the need for affordable, specialized training on European market regulations for manufacturers. As a result, the Trade Division partnered with the Salina Chamber to co-sponsor a two-day program on CE (European conformity) marking, a topic of huge importance to businesses wanting to export to Europe. Priced to appeal to small business, the program sold out quickly and was a great success. Approximately 30 business executive attended.

EXPENDITURE JUSTIFICATION BY OBJECT CODES

Object Code 100: Salaries and Wages
FTE: 6.50
Summary: The Division administers two sections, International Marketing (export) and International Investment (foreign company investment). Current approved personnel for these two sections are 6.50 FTE positions within the Trade Development Division (5.50 classified regular FTE positions and 1 unclassified regular position).
FY 2018: $547,577
FY 2019: $549,194

Object Codes 200: Contractual Services
Summary: The contractual services budget is the primary funding allocation for the Trade Development Division. A major expense is the foreign office contracts, which provide the foundation of the export services available to Kansas companies. The State of Kansas foreign offices are strategically located in markets/regions that purchase (and have the potential for growth) Kansas products; China, Mexico, and Japan. In addition, we have in-country specialists in Argentina, Brazil, Chile, and Korea. Services provided in tandem with the in-house staff include market research for competitive analysis, price structures, agent/distributor searches, business travel itineraries, regulatory requirements, investment leads, and trade show/mission support. Other funding includes in-state travel for on-site company consultations, out-of-state travel for trade shows and trade missions, rent for the Wichita and Overland Park Trade field offices, and communication (phone, fax, mailings) fees.

FY 2018: $442,303. The requested funding would maintain the foreign office contracts and fees outlined above. However, this funding level will hamper our ability to secure in-country specialists that provide valuable market intelligence and research for Kansas companies in regions of the world where we do not currently have offices.

FY 2019: $450,000. The requested funding would maintain the foreign office contracts and fees outlined above. However, this funding level will hamper our ability to secure in-country specialists that provide valuable market intelligence and research for Kansas companies in regions of the world where we do not currently have offices.

Object Codes 300: Commodities
Summary: These fees represent basic operational expenditures for the division to include office and professional supplies. The main expenses are for office supplies and trade resource directories, databases and journals.

FY 2018: $6,200 funding will maintain level of office and professional supplies necessary to maintain basic office activity.

FY 2019: $6,320 funding will maintain level of office and professional supplies necessary to maintain basic office activity.

Object Code 400: Capital Outlay
Summary: No capital outlay is anticipated.
FY 2018: None
FY 2019: None

Object Code 550: State Special Grants
Kansas International Trade Show Assistance Program (KITSAP)
Funding:
FY 2003 $132,000
FY 2004 $ 81,000
FY 2005 $ 40,000
FY 2006 $0
FY 2007 $ 50,000
FY 2008 $ 45,000
FY 2009 $0
FY 2010 $ 80,000
FY 2011 $ 81,600
FY 2012 $78,900
FY 2013 $78,300
FY 2014 $74,100
FY 2015 $79,200
FY 2016: $72,575
FY 2017: $73,800
FY 2018: $73,800

FY 2019: $73,800

Award Process: Eligible recipients include Kansas companies who are currently exporting or ready to export. The grant program will reimburse up to one-half of expenses attributable to participation in an approved trade show. Awards are $3,500 per foreign trade show, with an annual limit of $7,000 total reimbursements per company per fiscal year. The grant program funds trade shows new to the Kansas Company only. Repeat shows are not eligible. A grant application must be received at least 60 days prior to the trade show requested for reimbursement. A KITSAP overview committee (3 international trade specialists) reviews the application to ensure compliance with KITSAP guidelines. When approved by the overview committee, the application is forwarded to the Deputy Secretary for final review. Upon approval, a contract between Commerce and the Kansas company is signed and kept on file. The company agrees to provide post show results within 30 days upon return of the show.

Impact: The KITSAP program facilitates participation by small and medium size a company in international trade shows that otherwise may be cost prohibitive to attend. Companies use trade shows as a primary source of marketing to new buyers across the globe. Attendance at the major industry trade shows will provide new potential buyers and contacts and increase sales revenues for the Kansas company. Export sales create new jobs in Kansas from existing industry. KITSAP was not funded in FY 2009.

404 Report

Agency: 00300 Department of Commerce

Version: 2020-A-02-00300

Fund Number: 1000 0503

Name: Operating Expenditures

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0001	APPROPRIATION	686,189	654,573	648,327	648,327
R0002	REAPPROPRIATION	45,611	15,785	0	0
R0003	RESERVES AND REVISIONS	13,552	0	0	0
R0005	LAPSES	(13,552)	(15,785)	0	0
R0011	SUPPLEMENTAL APPROPRIATION	0	0	0	0
	Total Available	731,800	654,573	648,327	648,327
	Total Reportable Expenditures	716,015	654,573	648,327	648,327
	Total Expenditures	716,015	654,573	648,327	648,327
	Balance Forward	15,785	0	0	0

404 Report

Agency: 00300 Department of Commerce
Version: 2020-A-02-00300

Fund Number: 1800 6877
Name: Clean Water Grants

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0001	APPROPRIATION	425,000	500,000	475,000	475,000
R0002	REAPPROPRIATION	0	15,000	0	0
	Total Available	425,000	515,000	475,000	475,000
	Total Reportable Expenditures	410,000	515,000	475,000	475,000
	Total Expenditures	410,000	515,000	475,000	475,000
	Balance Forward	15,000	0	0	0

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Agency: 00300 Department of Commerce

Version: 2020-A-02-00300

Fund Number: 1900 0209

Name: Grants to Local Communities

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0001	APPROPRIATION	15,864,867	12,502,835	12,497,234	12,497,234
R0005	LAPSES	(158,659)	0	0	0
	Total Available	15,706,208	12,502,835	12,497,234	12,497,234
	Total Reportable Expenditures	15,706,208	12,502,835	12,497,234	12,497,234
	Total Expenditures	15,706,208	12,502,835	12,497,234	12,497,234
	Balance Forward	0	0	0	0

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Agency: 00300 Department of Commerce

Version: 2020-A-02-00300

Fund Number: 2000 0983

Name: Child Care Facility Grants

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0001	APPROPRIATION	721,000	685,000	689,000	689,000
R0002	REAPPROPRIATION	7,692	0	0	0
	Total Available	728,692	685,000	689,000	689,000
	Total Reportable Expenditures	728,692	685,000	689,000	689,000
	Total Expenditures	728,692	685,000	689,000	689,000
	Balance Forward	0	0	0	0

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Agency: 00300 Department of Commerce

Version: 2020-A-02-00300

Fund Number: 2200   5400

Name: Alcoholism Treatment Fund

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0007	CASH FORWARD	35,618	22,593	19,505	123,266
R1261	LIQUOR GALLONAGE TAX	694,726	767,447	786,633	786,633
R1262	LIQUOR--CLUB CATER DRINK EST	1,132,843	1,251,657	1,282,948	1,282,948
R2121	MOTOR VEHICLE OPERATOR & CHAUF	274,869	303,641	303,641	303,641
R2111	LICENSE FEE - ENGAGE IN BUSINE	900,861	904,980	994,980	1,024,829
R5409	OTHER FINES PENALTIES AND FORF	825,033	911,392	938,734	938,734
R2099	OTHER SERVICE CHARGES	15,330	23,578	23,578	23,578
R6601	OPERATING TRANSFERS IN	0	0	0	0
	Total Available	3,879,280	4,185,288	4,350,019	4,483,629
	Total Reportable Expenditures	3,856,687	4,165,783	4,226,753	4,226,753
	Total Expenditures	3,856,687	4,165,783	4,226,753	4,226,753
	Balance Forward	22,593	19,505	123,266	256,876

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404 Report

Agency: 00300 Department of Commerce
Version: 2020-A-02-00300

Fund Number: 2234   1943
Name: Land Survey Fee Fund

	FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0007 CASH FORWARD	9,409	15,307	18,057	20,777
R2040 CHARGES-CLERICAL SERV.ISSUE C	12,472	14,000	14,560	14,560
R2099 OTHER SERVICE CHARGES	3,299	4,000	4,160	4,160
Total Available	25,180	33,307	36,777	39,497
Total Reportable Expenditures	9,873	15,250	16,000	16,000
Total Expenditures	9,873	15,250	16,000	16,000
Balance Forward	15,307	18,057	20,777	23,497

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404 Report

Agency: 00300 Department of Commerce
Version: 2020-A-02-00300

Fund Number: 3539 3590
Name: Title II Vocational Education

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0007	CASH FORWARD	9,873	6,529	0	0
R4050	FEDERAL GRANTS - EDUCATION AND	9,142,558	9,142,558	9,429,634	9,725,725
	Total Available	9,152,431	9,149,087	9,429,634	9,725,725
	Total Reportable Expenditures	9,145,902	9,149,087	9,429,634	9,725,725
	Total Expenditures	9,145,902	9,149,087	9,429,634	9,725,725
	Balance Forward	6,529	0	0	0

404 Report

Agency: 00300 Department of Commerce

Version: 2020-A-02-00300

Fund Number: 3314 5202

Name: Medical Assistance Federal Fund

		FY 2018 Actuals	FY 2019 Adj Agency Budget Req	FY 2020 Adj Agency Budget Req	FY 2021 Adj Agency Budget Req
R0007	CASH FORWARD	12,067,811	5,679,713	5,938,250	6,387,737
R4036	SRS-FFG-AID FOR MEDICAL ASSIST	853,376,517	968,641,113	966,387,711	966,387,711
R5909	OTHER MISCELLANEOUS REVENUE	889,302	216,934	222,357	222,357
R6210	ESTATE RECOVERY PROGRAM (AGY 6	2,479,752	2,548,898	3,043,263	3,043,263
R6215	GENERAL MEDICAL RECOVERIES(62	791,999	2,407,777	2,484,826	2,484,826
R6216	DRUG REBATE	17,790,799	21,133,540	21,767,546	21,767,546
R6602	OPERATING TRANSFERS OUT	0	0	0	0
	Total Available	887,396,180	1,000,627,975	999,843,953	1,000,293,440
	Total Reportable Expenditures	881,716,467	994,689,725	993,456,216	993,456,216
	Total Expenditures	881,716,467	994,689,725	993,456,216	993,456,216
	Balance Forward	5,679,713	5,938,250	6,387,737	6,837,224

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Explanation of Receipt Estimates--DA 405

Division of the Budget

Agency _____ Department of Commerce

State of Kansas

2220 Alcoholism Treatment Fund

Statutory History: KSA 79-41a2 establishes a 10% tax on the gross receipts derived from the sale of alcoholic liquor by any club, caterer or drinking establishment. KSA 79-41a23 requires that 5% of this tax be deposited to the community alcoholism and treatment fund. KSA 41-2622 prescribes an occupation or license tax on clubs and drinking establishments. Of that amount collected, 50% is credited to the Other State Fees Fund of the agency and 50% is credited to the State General Fund. KSA 41-501 requires the State Treasurer to credit 10% of the funds collected from taxes imposed upon alcoholic beverages to this fund.

Estimated Receipts

Revenue Source:	FY 2017 Actual	FY 2018 Actual	FY 2019 Projected	FY 2020 Projected	FY 2021 Projected
Liquor-Club, Caterer or Drinking Establishment (1262)	1,091,627	1,132,843	1,251,657	1,282,948	1,282,948
Motor Vehicle Licenses (2121)	243,164	274,869	303,641	303,641	303,641
License Fee--Engage in Business (2111)	876,235	900,861	904,980	994,980	1,024,829
Liquor-Gallonage Tax (1261)	670,080	694,726	767,447	786,633	786,633
Other Fines, Penalties and Forfeitures (5409)	795,397	825,033	911,392	938,734	938,734
Miscellaneous Revenue	9,423	15,330	23,578	23,578	23,578
TOTAL	$ 3,685,926	$ 3,843,662	$ 4,162,695	$ 4,330,514	$ 4,360,363

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Explanation of Receipt Estimates--DA 405

Division of the Budget   Agency   Department of Commerce

State of Kansas

2234 - Land Survey Fee Fund

Statutory History: 1988 HB 3024 was enacted, abolishing the Land Survey Advisory Committee and transferring the duties for the Land Surveys to the Department of Commerce & Housing. The statutes affected by this bill are KSA 58-2007 through 58-2011. The agency is authorized to charge a fee for the clerical costs of filing land survey documents with 80% of such fee deposited in the fee fund and 20% in the State General Fund. The revenue estimates shown for this fund are based on FY 2013 receipts which included a price increase effective in October of 2012. The agency uses the fund to pay a portion ($9,000) of the clerical staff's salary who maintains the documents. In FY 2015, we intend to use $10,000 to begin a long-term preservation project related to the filed notes. We will digitize them to provide access and preserve the originals, eliminating continued copying on standard copy machines. Given the size of this fund relative to the agency's entire budget, it is suggested the cash balance be left at $10,000 or more.

Land Survey Fee Fund	FY 2017 Actual	FY 2018 Actual	FY 2019 Projected	FY 2020 Projected	FY 2021 Projected
Land Survey Fees	7,665	12,472	14,000	14,560	15,142
Land Survey Copies	2,239	3,299	4,000	4,160	4,326
TOTAL	$ 9,904	$ 15,771	$ 18,000	$ 18,720	$ 19,469

3539 - Federal Title II Vocational Education

Legal authorization comes from P.L. 100-297 and KSA 72-5112, et seq. As required by the new Carl Perkins Vocational and Technical Education Act of 1998, states develop and submit a four-year operation plan to the US Department of Education for approval. Approval of Kansas' plan was received on July 10, 2014, which allows the state to receive its grant award for the upcoming fiscal year. Of the $10.0 million basic grant, 85% must be distributed to the local education agencies and the remainder may be reserved by the state. Of the 15% reserved by the state, no more than 5% may be used for administration and the remaining 10% must be used to fund state leadership activities. Essentially no cash balance is maintained in this fund.

Explanation of Receipt Estimates--DA 405

Division of the Budget   Agency _____ Department of Commerce _____

State of Kansas

3314 Medical Assistance Federal Fund

Title XIX of the Social Security Act, also known as Medicaid, provides medical assistance for eligible individuals and families with low incomes and resources.

In general, federal match for medical assistance is determined by the state's Federal Medical Assistance Percentage (FMAP).

Federal match is available on an open-ended basis for allowable medical services rendered to eligible individuals, as provided in federal law and regulations

and as specified by the state in its State Medicaid Plan.

The FMAP for Kansas is as follows:

Federal Fiscal Year (Oct thru Sept)

2017	60.03%	39.97%	
2018	59.85%	40.15%	
2019	61.55%	38.45%	(projected)
2020	60.42%	39.58%	(projected)
2021	60.14%	39.86%	(projected)

State Fiscal Year (July thru June)

2017	60.04%	39.96%	
2018	59.90%	40.10%	
2019	61.70%	38.30%	(projected)
2020	60.49%	39.51%	(projected)
2021	60.18%	39.82%	(projected)
2022	60.04%	39.96%	(projected)

Federal match for administrative costs of the program is generally 50.0 percent. Enhanced federal match is available for skilled medical professionals
providing medical administration (75%), operation of the Medicaid Management Information System (75%), and 90% for design and implementation of
changes to the MMIS. Sufficient cash is carried over from one fiscal year to the next so that the first month's bills may be paid in a timely manner.

Estimated Receipts

Revenue Source:	FY 2017 Actual	FY 2018 Actual	FY 2019 Projected	FY 2020 Projected	FY 2021 Projected
Federal Title XIX Medical Assistance Fund	717,510,682	853,376,517	968,641,113	966,387,711	966,387,711
Estate Recoveries	2,271,999	2,479,752	2,548,898	3,043,263	3,043,263
General Medical Recoveries	3,908,383	791,999	2,407,777	2,484,826	2,484,826
Drug Rebate	14,788,554	17,790,799	21,133,540	21,767,546	21,767,546
Miscellaneous Revenue	571,518	889,302	216,934	222,357	222,357
TOTAL	$ 739,051,136	$ 875,328,369	$ 994,948,262	$ 993,905,703	$ 993,905,703

Subprogram Name	Export Consulting
Priority	1 of 3
Required by Statute	Yes
Maintenance of Effort or Matching Requirement	None.
Statutory Requirements	K.S.A. 74-5008a
Purpose	Provide assistance to Kansas businesses and foreign companies looking to buy Kansas goods.
Consequences of Not Funding	Lower volume of activity and requests for assistance would lead to decrease in Kansas exports.

Subprogram Name   International Investment Promotion

Priority   2 of 3

Required by Statute   Yes

Maintenance of Effort or Matching Requirement   None.

Statutory Requirements   K.S.A. 74-5008a

Purpose   Promote Kansas on a worldwide basis and recruit foreign firms to establish new facilities in the state.

Consequences of Not Funding   Decrease in jobs and capital investment from foreign companies.

Subprogram Name   Focus Groups

Priority   3 of 3

Required by Statute   Yes

Maintenance of Effort or Matching Requirement   None.

Statutory Requirements   K.S.A. 74-5008a

Purpose   Conduct focus groups throughout rural Kansas to identify the needs of the state's small business exporters.

Consequences of Not Funding   No capability to ensure small business exporters are receiving necessary information and expertise to penetrate various markets.

Budget Mechanics

Although quite different in function and scope, the budgeting and accounting worlds must necessarily interface. This section is intended to explain how the two interface and how appropriation language translates to the accounting system.

Budgeting and Accounting Interface

Nomenclature

Budgeting and accounting are two different functions, although the terminology used often refers to the same concept. The following table outlines some of these differences.

Accounting	Budgeting
Appropriation	Appropriation
Reappropriation	Reappropriation
Limited Reappropriation	Limited Reappropriation
Lapse	Lapse
Expenditure	Expenditure
Encumbrance*	Expenditure
Account	Object Code
Fund	Fund, Line ID
Budget Unit	Account
Program	Reporting Level
DeptID (first 3 digits)	Agency
DeptID (last 7 digits)	Detail Under Program
Service Efforts & Accomplishments	Performance Measures

Budget Actuals (expenditures) are the sum of SMART expenditures and encumbrance balances for the budget period (budget year).

Chart of Accounts

The Office of System Management provides a chart of accounts for all agencies that delineates all available accounts an agency may use. The COA provides the Business Unit (Agency ID), Fund, Fund Description, Budget Unit, Budget Unit Description, Budget Period, Appropriation Type and the Appropriation/Limitation Amount.

The Chart of Accounts Query can be found in SMART using the following navigation:

Reporting Tools > Query > Query Viewer. Enter the Query Name "KS_CHART_OF_ACOUNTS."

Business Unit—five digits
Fund—four digits (1000=SGF, 2000=Children's Initiatives Fund, etc.)
Fund Descr—Fund name
Budget Period (formerly Fiscal Year)—four digits (Fiscal Year is a General Ledger term)
Bud unit—four digits
Bud Unit Descr—Budget Unit name
Approp Type—Appropriated, Limited or Unlimited
Appropriation/Limitation—Amount of appropriation or limitations (Note: unlimited funds have a
    limitation of $999,999,999 (or greater) on the COA

Queries to obtain active ChartField values are available using the following navigation and Query Name:

Reporting Tools > Query > Query Viewer. Enter the Query Name:

Chartfield	Query Name
Program	FIN0052_VALID_PROGRAMS
DeptID	FIN0011_DEPARTMENT_CODES

Agencies may have responsibility for anywhere from one to many funds. For example, biennial fee agencies generally have one fee fund into which receipts are deposited and spent for agency operations. Some agencies are financed with only one State General Fund appropriation and do not have a special revenue fund (Legislative Coordinating Council, Guardianship Program). Other agencies are financed with State General Fund appropriations, fee funds, and a variety of other sources, such as federal or private monies. Agencies' charts of accounts reveal these funding combinations.

Similarly, agency program structure varies from a single program code (also referred to as PCA) to several hundred program codes. Because the state's budgeting system is directly tied to the state's accounting system, the program structure in the accounting system is closely reviewed with an eye to how agencies' budgets are developed.

The Budget Evolves over Time into an "Approved Budget"

An approved budget is the total estimate of expenditures for a state agency for the current year or the budget year, as appropriated by the Legislature and signed by the Governor. The amount has a legal basis in appropriation bills, but it cannot always be determined by the appropriation bills alone.

How many budgets are there for FY 2020?

Calendar Year 2019

1. Agency's original budget request in September
2. DOB's recommended budget in November

Calendar Year 2020

3. Governor's recommended budget in January
4. Governor's amendments in April to the recommended budget
5. Legislative approved budget in May
6. Approved budget in August after unspent monies reappropriate
7. Agency's revised estimate of expenditures in September
8. DOB revised recommended budget in November

Calendar Year 2021

9. Governor's revised recommended budget in January
10. Governor's amendments to the revised recommended budget in April
11. Legislative approved revised budget in May

What are the components of the approved budget?

The approved budget may include any combination of the following, depending on the agency's

funding structure:

	SGF, EDIF, CIF, ELARF, SWPF*		Special Revenue Fund (with an expenditure limit)		Special Revenue Fund (no expenditure limit)
New money (appropriation)	Appropriations bill: • Supp. for current FY • Reg. for budget FY • Capital for budget FY • Omnibus bill: for either current or budget year • Pay plan distributions	+	• All money appropriates but expenditures are constrained by a limit	+	• All money appropriates and any amount in the fund can be spent
Old money (reappropriation)	• With a limit • Without a limit		• (No distinction between new & old money)		• (No distinction between new & old money)

* There is another possible piece of the approved budget that has been rare. This occurs when the Finance Council allows all or part of a limited reappropriation to be spent.

Documentation

The table that follows lays out how each of these types of funds and accounts is expressed in various documents. For example, the cell in the extreme upper left indicates that State General Fund (SGF) accounts are expressed as a specific line item in an appropriations bill. Notice under "How funds are cancelled" on the next page that SGF expenditure amounts and a few special revenue funds (EDIF, KEY, Children's Initiatives, ELARF and Water Plan) will lapse unless there is specific reappropriation language for funds to carry forward into the next fiscal year.

With most special revenue funds, the monies are controlled by the expenditure limitation, so there is no need to make a distribution about new and old money. Sometimes there is reappropriation language on capital accounts. If there is no expenditure authority in the budget year, old money can carry forward automatically from blanket authority in the appropriations bill (see savings clause below). There must be lapse language to cancel expenditure authority for special revenue funds with limitations.

The following table displays how the different types of appropriation are addressed in the appropriation bill, the Chart of Accounts, and the DA 404 forms.

	SGF, EDIF, KEY, CIF, ELARF, Water Plan	Special Revenue Fund (with a limit)	Special Revenue Fund (no limit)
Appropriation in appropriations bill	Specific line item dollar amount	Specific line item dollar amount	Name of fund, Just says "no limit"
Reappropriation in appropriations bill	Specific reappropriation language is needed for the old money to carry over into the new fiscal year	Expenditure limit governs. Monies do not reappropriate unless language in the bill specifically does so or the "savings" clause kicks in when there is no line item in the new fiscal year (see below)	No limit allows all funds to be spent; reappropriations would be irrelevant
DA 404	Dollar amount ties exactly to bill	Dollar amount ties exactly to bill	Dollar amount on DA 404 only
Chart of Accounts	Dollar amount ties exactly to bill	Dollar amount ties exactly to bill	Name of fund, just says 0.00
How funds are cancelled in appropriations bill	Do not put in reappropriation language or lapse all or part of an appropriation by specifying the amount	Lapse part of an appropriation by specifying the amount	Lapsing would not apply because there is no control on the fund

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Savings Clause (at the back of the appropriation bill) for "limited" special revenue funds:

Savings. (a) Any unencumbered balance as of June 30, 2017, in any special revenue fund, or account thereof, of any state agency named in this act which is not otherwise specifically appropriated or limited by this or other appropriation act of the 2017 regular session of the legislature, is hereby appropriated for the fiscal year ending June 30, 2018, for the same use and purpose as the same was heretofore appropriated.

(b) This section shall not apply to the expanded lottery act revenues fund, the state economic development initiatives fund, the children's initiatives fund, the state water plan fund, the Kansas endowment for youth fund, the Kansas educational building fund, the state institutions building fund, or the correctional institutions building fund, or to any account of any such funds.

Information Technology Project Plans

State law requires agencies to produce planning and programming documents for information technology projects costing greater than $250,000. These documents allow for resources scheduling, funds management and program coordination.

The Kansas Information Technology Office (KITO) supports the statutory responsibilities of the executive, judicial, and legislative branch Chief Information Technology Officers (CITOs) and the Chief Information Technology Architect (CITA). The 17-member Information Technology Executive Council (ITEC) is responsible for approval and maintenance of all information technology policies, IT project management procedures, the statewide technical architecture, and the strategic information management plan. The Information Technology Advisory Board, or ITAB, as it is more commonly known, functions as a technical resource to the Chief Information Technology Officer, or CITO for the Executive Branch of state government. ITAB includes senior managers of state information technology organizations along with representatives of private industry and local governments.

Information Technology Project Defined

KSA 75-7201 defines an information technology project as a major computer, telecommunications, or other information technology improvement with an estimated cumulative cost of $250,000 or more and any new or used equipment or software for (1) improvements to existing equipment and any computer systems, programs, or software upgrades for it or (2) data, consulting, or other professional services for such a project. Cumulative cost means the total expenditures, from all funding sources, for any information technology project by one or more state agencies to meet project objectives from project start through project completion or termination.

Refer to the website at http://oits.ks.gov/kito/ for further information on obtaining approval of information technology projects. Detailed instructions are maintained on the KITO website and ITEC websites.

A high-level IT project plan must receive CITO approval prior to contract award and/or project execution. This project plan is to include a cover letter signed by the agency head, DA 518, DA 519, Work Breakdown Structure (WBS) with milestones and Architectural Compliance along with a completed Agency Checklist for High-Level IT Project Plans. Agencies will submit a risk assessment analysis (RAM) along with their High-Level IT Project Plan (http://oits.ks.gov/kito/epmo). Agencies must also submit a statement identifying all records in the proposed system with a retention schedule of ten or more years as approved by the State Records Board, Supreme Court Rule 108, or the Legislature.

One **digital** copy of the project plan is to be submitted at least two to four weeks prior to the contract award and/or project execution to the CITO for the agency's respective branch of government, listed below. When the project plan has received CITO approval, a copy of the approved project plan will be sent to the Division of the Budget, the Joint Committee on Information Technology in care of the Legislative Chief Information Technology Officer, and to the Legislative Research Department.

Chief Information Technology Officer
Executive Branch
900 SW Jackson, Suite 751
Landon State Office Building

Chief Information Technology Officer
Judicial Branch
Office of the Judicial Administrator
Judicial Center

Chief Information Technology Officer
Legislative Branch
063-West, Statehouse

Information Technology Project Request Explanation—DA 518

The DA 518 form must be prepared for every proposed project. In making proposals, agencies should be realistic in assessing the need for a particular project, specifically in relation to financing methods and availability. Following are some of the basic instructions for completing the DA 518.

In **Item 1**, enter a brief title of the project and the agency name. Care should be exercised in the choice of terminology to assure the title clearly reflects the nature and scope of the proposed project, not a stand-alone acronym.

In **Item 2**, enter the priority designation assigned to the project. Agencies should assign priority designations irrespective of the fiscal years for which the projects have been proposed. The highest priority would receive a "1," the next highest a "2," etc.

In **Item 3**, provide the proposed starting and ending date of the project. According to KSA 75-7201(j), "Project Start" is the date and time when a state agency begins a formal study of a business process or technology concept to assess the needs of the state agency, determines project feasibility or prepares an information technology project budget estimate under KSA 2011 Supp. 75-7209 and amendments thereto. The estimated close-out end date is when the agency has completed project close-out activities, including but not limited to completion of the Post Implementation Evaluation Report (PIER).

In **Item 4**, provide a description of, and justification for, the project. This should include an analysis of project activities and needs. Explanations should cover the intended uses and improvements to existing information technologies. Please note if the project is in the current three-year information technology plan. The detailed project description and justification must contain the following information:

1.   An analysis of the programs, activities, needs, and intended uses for the additional or improved information technology.

2.   A statement of project scope, including identification of the organizations and individuals to be affected by the project, and a definition of the functionality to be achieved by the project.

3.   An analysis of the alternative means by which such information technology needs and uses could be satisfied.

4.   Project goals and objectives. The relationship between project goals and agency goals should be discussed as well as the goals of the State Information Management (SIM) plan. The justification should cover mandated changes, cost savings, as well as service enhancements. The project justification is a key part of the information technology project plan. The plan will be evaluated based on a number of considerations, such as data sharing, hardware and software sharing, design sharing, and deliverables. A separate sheet may be attached if more space is required.

In **Item 5**, space is available to report the estimated costs associated with the project. Include these costs by major object code or category of expenditure, then show a total. The cost is for all years through close-out.

Indicate the name, start date, end date, and internal and external costs for each subproject in **Item 6**. Internal costs include the direct cost of state government staff. When project costs are reported they should clearly show the costs associated with planning, with actual execution and close-out. Again, provide totals.

Item 7 calls for the amount of financing by funding source. Enter in the appropriate column the amounts necessary to show the total cost of the project by fiscal year. If the project will be financed from sources other than the State General Fund, the amounts should be placed in Columns 2 through 5, with the columns labeled with the proper funding source.

Project costs and dates should be consistent across all plan documents.

Information Technology Cost-Benefit Statement—DA 519

An Information Technology Cost-Benefit Statement (DA 519) must be prepared for every proposed project.

In **Item 1**, enter a brief title of the project and the agency name. Care should be exercised in the choice of terminology to assure the title clearly reflects the nature and scope of the proposed project, not a stand-alone acronym.

In **Item 2**, provide the proposed start and end date of the project. An entry for "Project Months" is automatically populated, based on the starting and ending dates entered (mm/dd/yyyy).

In **Item 3**, enter the agency name.

In **Item 4**, enter the name of the project director or manager.

In **Item 5**, provide an explanation of the qualitative and quantitative savings derived from the project, as outlined in Item 6. These savings are a method to justify the expenditure. This section should clearly document the savings and benefits from the proposal, and clearly and concisely communicate the project's value. A separate sheet may be attached if more space is required.

In **Item 6**, detail the qualitative and quantitative savings estimates with descriptions and amount by fiscal year. When figuring soft and hard dollar savings, think about the four categories listed below and the example of savings.

Cost Avoidance (Soft Dollars)

1. Labor Savings: the savings due to expected position reductions from implementing the planned project.

2. Productivity Benefits: the gains in user productivity from implementing a solution, including reductions in system downtime or efficiency gains in performing specific user tasks. Often, productivity benefits are discounted to account for the fact that not all of the gains will yield an increase in productive work time.

Cash Savings (Hard Dollars)

1. Capital Expense Reductions: expenses saved in areas such as office supplies, printing costs, power or facilities expenses from implementing the planned project.

2. Business Benefit: the gains in profit resulting from revenue.

Examples of Savings:

1. Testing Labor Avoidance (creating a more stable foundation that eases the testing burden and helps ensure quality).

2. Maintenance Labor Avoidance (reducing the maintenance burden, so critical development resources can focus on strategic business issues).

3. Deployment Acceleration (enterprise installation done easily through a log-in script, batch file or third party software installer).

4.   Downtime Loss Avoidance (lost productivity).

5.   Support (saving time and money of help desk resources, eliminating costly technical support calls).

6.   Evolve (components are reusable, portable across platforms and updated to integrate new technologies, saving time, money and resources during application evolution).

In **Item 7**, enter the project costs. This figure should match the total found in Items 5, 6 and 7 of the DA 518 form. Net Cost Benefit, Cost Benefit per Month and Calendar Months to Break Even are automatically populated based on information entered into the form. The formula used to calculate these figures is found in the bottom left-hand corner of the DA 519 itself.

In **Item 8**, enter estimated ongoing costs. These are operational/maintenance costs from any source of funds for three ensuing fiscal years after project execution. If the proposed system contains records with retention periods of ten or more years as approved by the State Records Board, Supreme Court Rule 108, or the Legislature, costs to provide integration of these records into the Kansas Enterprise Electronic Preservation System must be shown here. *Note: all funds identified for this purpose will be transferred at the start of each fiscal year to the Kansas State Historical Society's Records Management Fund.*

Project costs and dates should be consistent across all plan documents.

For information on completing the other forms required for each proposed project, please refer to the KITO website, noted above.

Capital Improvements

State agencies maintain buildings of various agencies all over the state. Given the financial commitment the state's facilities demand, expenditure requests for capital projects are made in a distinct process within the budget cycle. The state gives priority to maintaining its existing facilities before considering new construction. Other criteria for assessing the priority of capital projects include safety for state employees and visitors, compliance with prevailing building codes, modifications to enhance accessibility for the disabled, physical modifications caused by program changes, and cost effectiveness. Most projects are funded through direct appropriations from dedicated capital funds, as well as the State General Fund and other special revenue or federal funds. The use of revenue bonds for financing capital projects is also an option.

Overview of Capital Improvement Process

Agencies requesting expenditure authority for capital projects submit a five-year facilities plan each July 1, consisting of the forthcoming fiscal year and the following four years. Capital projects are reviewed by the Division of the Budget for development of the Governor's recommendations. They are also reviewed by the Kansas Legislative Research Department as well as the Office of Facilities and Property Management within the Department of Administration, which provides technical support to the State Building Advisory Commission, an Executive Branch body responsible for reviewing the cost estimates and technical aspects of projects.

State agencies requesting funding for capital improvement projects must submit a copy of the summary five-year capital budget plan (DA 418A) and project request explanation (DA 418B) to the Division of the Budget, one copy to the Office of Facilities and Property Management for the State Building Advisory Commission, and one to the Kansas Legislative Research Department for the Joint Committee on State Building Construction. State statute specifies a deadline of July 1.

Contact the Division of the Budget (785-296-2436) with any questions about these instructions or completion of the forms. Questions about project cost estimates and project phasing should be addressed to the Office of Facilities and Property Management (Design, Construction and Compliance) within the Department of Administration (785-296-8899).

Agencies should use the following categories when requesting capital projects:

1. **New Construction and Additions:** all new construction and building additions;

2. **Remodeling:** all major projects that substantially change the existing structure and its uses;

3. **Acquisition:** the purchase of an existing facility;

4. **Razing:** the demolition of existing structures; and

5. **Rehabilitation and Repair:** routine, major, or emergency maintenance; restoration; replacement of fixed equipment; energy conservation; requests related to compliance with the Americans with Disabilities Act (ADA); and code compliance projects as well as projects needed to meet program requirements.

The first four categories require a separate line item appropriation for each project. The final category is a single line item appropriation with discretion given to the agency as to the most immediate need for the funds.

Debt Service

Capital improvements can be financed through a direct appropriation of funds or debt financing. Budgeting through debt financing can be complicated because, in the accounting system, one set of funds and account codes is used for budgeting purposes and another set for the bond-related transactions of the Kansas Development Finance Authority (KDFA). KDFA, which is responsible for overall administration of the debt, uses mostly enterprise funds (5XXX) and capital project funds (8XXX) in the accounting system. The overall debt obligation is paid off using several sources of revenue, such as investment earnings on the bond proceeds that KDFA manages. The main source, however, is the amount for debt service that agencies include in their budgets. These instructions apply only to the funds that are used to pay the portion of the debt service that comes from agency budgets. Debt service for capital budgeting purposes does not include bond proceeds or payments to contractors.

Accordingly, agencies should use the following expenditure account codes for debt service payments on capital projects (1) to enter their debt service estimates into the budget system and (2) for coding vouchers that make debt service payments from the State General Fund or any special revenue fund.

560200	Revenue Bond Principal Payments
561200	Interest & Service Charges on Revenue Bond Debt
561950	Arbitrage Rebate Expense on Revenue Bond Debt

The principal portion of the debt service payment is a capital expenditure, because only that portion constitutes a capital asset when the debt is retired. Interest and arbitrage payments are operating expenses, and for budgeting purposes these expenditures are reportable. Agencies should use the amount identified by KDFA as principal (560200) to be paid from budgeted debt service funds and code the remainder of those budget funds as interest (561200). To avoid duplicating expenditures, 56XX funds are treated as reportable and all other 5XXX funds are non-reportable. The three building funds, the Educational Building Fund (8001), the State Institutions Building Fund (8100), and the Correctional Institutions Building Fund (8600), are reportable, but all other 8XXX funds are non-reportable for budgeting purposes.

For bonds to be issued in FY 2020, agencies should budget estimated debt service payments for FY 2020 and FY 2021 and explain that these amounts are estimated.

For budgeting purposes, the Facilities Conservation Improvement projects through the KCC's program constitute debt service payments on capital improvements. Agencies should use the following account codes for debt service payments on these projects:

542100	Facilities Conservation Improvement Program—Principal—Buildings and Improvements—Capital/Inventory
542110	Facilities Conservation Improvement Program—Interest—Buildings and Improvements—Capital/Inventory

Instructions for Preparing DA 418B Forms

A Project Request Explanation (DA 418B) must be prepared for every project proposed in all years of the plan period. Projects proposed for the out years need not be described to the same extent as projects proposed for the budget year. However, the incorporation of out-year projects in an agency's five-year capital improvement plan implies that the agency has given serious consideration to the eventual need for each project. An out-year project should be explained sufficiently so that it can be considered for approval during the plan period. Following are instructions for completing the DA 418B.

In Item 1, enter the project title using terminology suitable for an appropriation title. Care should be exercised in the choice of terminology to assure the title clearly reflects the nature and scope of the proposed project. Also in Item 1, enter the agency name.

In Item 2, enter the priority designation(s) assigned to the project. Projects proposed by umbrella agencies, such as institutions under the jurisdiction of the Board of Regents, are to be assigned both an agency priority and a system priority. The system priority is to reflect the assigned status of the project in relationship to all projects requested for the entire system. For example, if all institutions under the jurisdiction of the Department for Aging & Disability Services collectively have proposed 50 projects over the period, then the system priority designations would range from 1 to 50. Accordingly, a state hospital might assign a priority of 3 to a particular project while the Department might assign a priority of 10 to the same project. In this instance, the appropriate designation to be placed in Item 2 would be "A3-S10," with the A designating agency and the S designating the system.

In Item 3, provide a description of and a justification for the project. All projects should be explained as thoroughly as possible. For example, in the case of the proposed construction of a classroom building, the description should indicate the number of teaching and student stations in classrooms and laboratories, the type of utility systems, and the estimated gross and net usable square feet of the structure. Also, provide an analysis of the alternative means by which the space needs could be satisfied. In the case of a project to re-roof a building, the description would include information about the type of roof to be provided and the number of squares of roof to be replaced. The forecasted effect of projects on an agency's operating budget must be clearly noted and explained. Examples may include additional utilities and maintenance costs attributable to new space. If the project constitutes only one phase of a larger project, this information should be included in the project description. If the project request is for rehabilitation and repair of existing facilities, any part of the request that is for ADA purposes is to be explained and its cost identified separately.

Agencies should not feel constrained in their justification for a project by the space on the DA 418B. If additional space is needed, continue the narrative on a separate sheet of paper. A complete written program statement must be provided for any project proposed for the budget year that will require the services of a project architect or engineer.

In Item 4, enter the cost of each of the following major components of the proposed project:

1. **Construction.** This includes the cost of construction, site work, and the cost of fixed equipment built into the project.

2. **Architect or Engineer Fee.** This includes the costs for preliminary planning (schematic design and design development), final planning (construction documents), bidding services, and construction administration services. When estimating project architect or engineer fees, the fees should be calculated on the basis of the fee schedule included in KSA 75-1263. The fees are subject to the guidelines set forth in the "A/E" Fee guidelines in Chapter 2 of the current edition of the Department of Administration's, Office of Facilities and Property Management, Building Design and Construction Manual. The guidelines take into account cost, complexity, type of work and services required of the architect or engineer.

3. **Moveable Equipment.** This is a cost estimate for capital outlay equipment, which must be purchased to place the facility in operation. Included in this category is all equipment not built into the actual structure.

4. **Project Contingency.** This is the amount included in the project cost to finance unforeseen occurrences during the construction phase.

5. **Miscellaneous Costs.** These are costs other than those included in Items 1-4 associated with the project. These costs include land acquisition, site survey, subsoil investigation, printing and mailing of plans and specifications, consultant and design services, and construction management services permitted by KSA 75-1265. In addition, this item includes the fees charged for architectural, engineering, or management services provided by the Department of Administration for capital improvement projects, currently a fee ranging from .5 percent to 2.0 percent depending on the complexity and services provided. An additional negotiated fee is charged on projects for which the Office of Facilities and Property Management provides architectural and engineering design services.

In Item 5, the estimated total project cost reflected in Item 4 should be broken down into three major phases: preliminary planning, final planning, and construction. Not all projects will include costs for each project phase.

1. **Preliminary Plans.** This phase includes the costs of preparing preliminary plans (schematic design and design development) for the project based on 35.0 percent of total architect or engineer fees attributable to the entire project. This amount includes miscellaneous costs that will be incurred during this phase of a project. Examples would be costs for a site survey, subsoil investigation, etc.

2. **Final Plans.** This phase includes costs attributable to the services of a project architect to develop detailed plans (construction documents). This amount is 45.0 percent of the architect or engineer fee for the entire project. Of the total amount, 5.0 percent is the portion of the architect or engineer fee for bidding services and all miscellaneous costs that will be incurred during this phase.

3. **Construction.** This phase includes costs attributable to construction of the project (or remodeling, renovation, or rehabilitation and repair). In addition, this amount should include miscellaneous and other costs that will be incurred during this phase of a project. For example, this would include costs for the remaining 20.0 percent portion of the architect or engineer fee for construction administration and costs for acquisition of moveable equipment, etc.

With respect to Items 4 and 5, agencies should submit a separate sheet, labeled appropriately, which provides additional information concerning the estimated project cost and the manner in which this cost has been broken down into the three project phases. Examples of the type of information that should be provided include the cost per gross square foot and any inflation assumptions used in generating the project estimate. If the project is a roof project, the cost per square of roofing is provided. Also, a breakdown of the architect's fee and miscellaneous costs and how these costs have been reflected in the project phases should be provided.

Item 6, enter in the appropriate column the amounts necessary to show the total cost of the project by funding source. If the project will be financed from sources other than the State General Fund, the amounts should be placed in Columns 2 through 5, with the columns labeled with the proper funding source. The fiscal year in which the cost of the proposed project would be incurred should be entered on a fiscal year line. If the total cost is to be incurred in a single year, then only the appropriate fiscal year should be entered. For those projects that require multi-year financing, one DA 418B form should be prepared. The form must indicate the fiscal year in which the initial funding of the project is proposed. If multi-year financing is requested, the appropriate fiscal years should be entered. If a major project is proposed to extend beyond the five-year plan period, financing for subsequent fiscal years should also be shown. An entry on the prior year's line should be made only if an appropriation has been made for any fiscal year prior to the current year. Current year, budget year, and subsequent fiscal year expenditures are noted separately.

Instructions for Preparing DA 418A Forms

       The DA 418A provides a summary of all projects proposed for the five-year planning period and should have every project listed for which a DA 418B was prepared. The Five-Year Capital Budget Plan should include projects for which financing has already been provided, but additional expenditure authority is needed. Instructions for the DA 418A are detailed below:

1.   **Project Title.** Enter in this column the title of each project proposed for the plan period as it appears on the DA 418B. The projects must be listed in numerical order in accordance with the agency priority that has been assigned to each project.

2.   **Estimated Project Cost.** Enter in this column the estimated cost for each project. For those projects to be financed over more than one year, the estimated project cost should represent the total cost of the project.

3.   **Prior Fiscal Years.** An entry in this column should be made for any project that has funds already approved prior to the current fiscal year. In this way, proposals for additional expenditure authority can be evaluated in the context of the total project.

4.   **Current Fiscal Year.** This column will contain all estimated current year expenditures for each project request. Any supplemental appropriation requests for capital projects must also be noted here.

5.   **Five-Year Plan.** Enter in the appropriate column the fiscal years(s) for which funding of each project for the plan period is proposed. In the case of projects recommended for multi-year financing, an entry will be made for each applicable fiscal year.

6.   **Subsequent Years.** Depending on the proposed timing of a major project for which multi-year financing is recommended, funding for a project could extend into fiscal years beyond the limit of the plan period. While these fiscal years will be identified on the project's DA 418B, for purposes of the DA 418A, all funding for fiscal years beyond the limit of the plan period should be totaled and the sum entered in this column.

       After making appropriate entries in columns on the DA 418A, all amounts should be added down to reflect fiscal year totals.

Five-Year Capital Budget Plan--DA 418A

Division of the Budget
State of Kansas

Agency Name: Department of Wildlife, Parks & Tourism

Project Title	Estimated Project Cost	Prior Years	Current Year FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	Subsequent Years
1. Lake Scott Water Main Replacement	176,000	37,924	102,076	36,000	--	--	--	--
2. Glen Elder Office Addition	80,000	--	50,000	30,000	--	--	--	--
3. Prairie Dog Water Well Replacement	10,000	--	--	--	10,000	--	--	--
4. Rehabilitation and Repair	400,000	--	--	100,000	100,000	100,000	100,000	--
Total	$ 666,000	$ 37,924	$ 152,076	$ 166,000	$ 110,000	$ 100,000	$ 100,000	$ --

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Project Request Explanation--DA 418B

1. Project Title: Agency: Department of Wildlife, Parks & Tourism	2. Project Priority: 1

3. Project Description and Justification:

The agency is requesting funds to continue replacement of a galvanized water main which was installed by the
Corps of Engineers in the early 1970s. It has become a high maintenance item, as the metal pipe has rusted through,
requiring excessive staff resources, time, and equipment expense to locate and repair leaks. It will be only a few years until
the total line is rusted to the point where maintenance or repair will be impossible. Therefore, before this happens, it
is essential that the old line be removed and a new line installed.

Preliminary and final planning for the project was conducted in FY 2015, Phase I was completed in FY 2016 at a cost
of $37,924. This phase replaced the section of the water main from the treatment facility to campground A.

Phase II will be completed in FY 2018 at a cost of $102,076. This phase will replace the water main leading
to campgrounds B, C, E, and G.

Phase III will be completed in FY 2019 and will replace the remaining sections of the water main, which lead to
campgrounds D and F. The cost for this phase will be $36,000. There will be no requests for additional funds for
operating expenditures as a result of the project.

4. Estimated Project Cost:		5. Project Phasing:	
1. Construction (including fixed equipment and sitework)	149,000	1. Preliminary plans (including misc. costs)	2,993
2. Architect or engineer fee	11,970	2. Final plans (including misc. and other costs)	6,583
3. Moveable equipment	3,210	3. Construction (including misc. and other costs)	166,424
4. Project contingency	8,550		
5. Miscellaneous costs	3,270		
Total	$ 176,000	**Total**	$ 176,000

6. Amount by Source of Financing:

Fiscal Years	1. SGF	Land/Water 2. Cons. Fund				Total
Prior Years	32,924	5,000				37,924
FY 2019	67,076	35,000				102,076
FY 2020	18,000	18,000				36,000
FY 2021						--
FY 2022						--
FY 2023						--
Subsequent Years						--
Total	118,000	58,000	$ --	$ --	$ --	176,000

Project Request Explanation--DA 418B

1. Project Title:	2. Project Priority:
Agency: Department of Wildlife, Parks & Tourism	2

3. Project Description and Justification:

The agency is requesting funds to continue to build an addition to the existing headquarters building in the River Pond area at Glen Elder State Park. The existing space does not meet state criteria for working space for the number of employees working out of the office. Employees using the office include the manager, rangers, clerical support staff, and workers involved in the Green Thumb Program. Moreover, additional space is required for record storage associated with permit sales and informational materials. The requested addition would provide 5,800 square feet of office space, including a conference room for meetings with highway engineers and contractors involved in park construction projects and programs for camping groups related to park information and promotion. Existing office space would be converted to enlarge the current maintenance area work space.

For FY 2019, $50,000 had been approved for the project. These funds will be used for planning and construction of the additional office space. The $30,000 requested for FY 2020 will be used to construct the conference room and storage space.

The project qualifies for matching funds under the Federal Land and Water Conservation program.

4. Estimated Project Cost:		5. Project Phasing:	
1. Construction (including fixed equipment and sitework)	72,433	1. Preliminary plans (including misc. costs)	1,000
2. Architect or engineer fee	4,000	2. Final plans (including misc. and other costs)	2,200
3. Moveable equipment		3. Construction (including misc. and other costs)	76,800
4. Project contingency	2,000		
5. Miscellaneous costs	1,567		
Total	**$ 80,000**	**Total**	**$ 80,000**

6. Amount by Source of Financing:

Fiscal Years	1. SGF	Land/Water 2. Cons. Fund				Total
Prior Years						--
FY 2019	25,000	25,000				50,000
FY 2020	15,000	15,000				30,000
FY 2021						--
FY 2022						--
FY 2023						--
Subsequent Years						--
Total	40,000	40,000	$ --	$ --	$ --	80,000

Project Request Explanation--DA 418B

1. Project Title:	2. Project Priority:
Agency: Department of Wildlife, Parks & Tourism	3

3. Project Description and Justification:

The agency is requesting funds to drill a new well to be used for public water supply at Prairie Dog State Park in FY 2020.
There are two existing wells which provide drinking water and water for the shower facilities used by the public. One
of the existing wells does not provide a consistent water supply during late summer when the water table is low. The
new well would be drilled approximately 1/4 mile east of the existing well and would be drilled deeper to reach a more
reliable water bearing stratum. The project includes a new force main and water lines connecting the new well with the
existing water supply system.

Preliminary and final planning will be done by agency staff avoiding any architect fee costs for the project.
The project will qualify for a match from the Federal Land and Water Conservation Program.

4. Estimated Project Cost:		5. Project Phasing:	
1. Construction (including fixed equipment and sitework)	7,235	1. Preliminary plans (including misc. costs)	
2. Architect or engineer fee	1,367	2. Final plans (including misc. and other costs)	
3. Moveable equipment	500	3. Construction (including misc. and other costs)	10,000
4. Project contingency			
5. Miscellaneous costs	898		
Total	$ 10,000	**Total**	$ 10,000

6. Amount by Source of Financing:

Fiscal Years	1. SGF	Land/Water 2. Cons. Fund				Total
Prior Years						--
FY 2019						--
FY 2020	5,000	5,000				10,000
FY 2021						--
FY 2022						--
FY 2023						--
Subsequent Years						--
Total	5,000	5,000	$ --	$ --	$ --	10,000

Project Request Explanation--DA 418B

1. Project Title:	2. Project Priority:
Agency: Department of Wildlife, Parks & Tourism	4

3. Project Description and Justification:

The agency has determined that it is necessary to begin a systematic program of rehabilitation and repair starting in FY 2018. Most of the facilities at the state parks were constructed in the late 1970s and early 1980s. As a result the age of the facilities makes routine repairs a necessity.

A list and short description of the projects will be included in next year's capital improvement request.
Typical rehabilitation and repair items will include renovation of shower facilities, replacement of water treatment equipment, replacement of sewage pumps, and control of shoreline erosion.

4. Estimated Project Cost:		5. Project Phasing:	
1. Construction (including fixed equipment and sitework)	500,000	1. Preliminary plans (including misc. costs)	
2. Architect or engineer fee		2. Final plans (including misc. and other costs)	
3. Moveable equipment		3. Construction (including misc. and other costs)	500,000
4. Project contingency			
5. Miscellaneous costs			
Total	$ 500,000	**Total**	$ 500,000

6. Amount by Source of Financing:

Fiscal Years	1. SGF	Land/Water 2. Cons. Fund				Total
Prior Years						--
FY 2019	50,000	50,000				100,000
FY 2020	50,000	50,000				100,000
FY 2021	50,000	50,000				100,000
FY 2022	50,000	50,000				100,000
FY 2023	50,000	50,000				100,000
Subsequent Years						--
Total	250,000	250,000	$ --	$ --	$ --	500,000

Governor's Budget Amendments

Although there is no statutory requirement for budget amendments, it has been long standing practice that the Governor can revise the original recommendations issued in *The Governor's Budget Report,* based on information arising after the budget submission in January. The amendment is a formal document submitted to the Chairs of the Senate Ways and Means Committee and the House Appropriations Committee. Generally, a Governor's budget amendment (GBA) addresses changes in policy, but may also relate to events occurring after the budget has been completed.

Potential items include the following:

- Any technical changes required to correct errors in *The Governor's Budget Report*;

- Cost differences that require adjustments based on policy decisions contained in the Governor's recommended budget (such as increases or decreases in the estimated caseload for a grant program);

- Adjustments based on legislation that has passed with the Governor's support; and

- New issues which have arisen since the original budget recommendations were finalized.

To initiate a request for a budget amendment, agencies should follow these steps:

1. Inform their budget analyst as soon as possible if they intend to request a Governor's budget amendment.

2. Assemble requests in priority order under a cover letter signed by the head of the agency and addressed to the Director of the Budget. Each requested issue should be described, including how costs were determined and the proposed sources of funding. Mention must be made of any future year costs, including full year costs, for any issues partially funded in the first year.

Requests seeking restoration of funds requested earlier, but not recommended by the Governor should not be requested unless substantially new information is provided. Agencies should make every effort to find savings within the recommended budget to offset the cost of any new items before requesting a Governor's budget amendment.

Technical Corrections: The first set of budget amendments has in the past been intended solely to correct errors made in *The Governor's Budget Report*. It is released by the Division of the Budget during the early days of the session. Immediately after release of *The Governor's Budget Report*, agencies should carefully review the data provided by the Division of the Budget. Agency staff should compare these forms to the appropriation bills and notify the Division of the Budget if errors are found. If an error exists, it can be corrected in the memorandum making technical corrections without additional information being required of the agency.

State Finance Council

The State Finance Council was created to act on budget matters that arise when the Legislature is not in session and that need resolution before the next session. The State Finance Council may consider only items that meet certain legal requirements:

1. The item must be characterized by statute as a matter of legislative delegation.

2. The request must be the result of an unforeseeable occurrence or the unascertainable effect of a foreseeable occurrence.

3. It must be shown that a delay would prevent the agency from carrying out a specific objective or goal which affects its powers and functions.

4. The proposed action must be an item that was not rejected by the most recent Legislature.

The Council consists of nine members: the Governor, the President of the Senate, the Speaker of the House, the Chair of the Senate Committee on Ways and Means, the Chair of the House Committee on Appropriations and the Majority and Minority Leaders of both houses of the Legislature. The Council's governing statutes are KSA 75-3708, et seq. Its powers include:

1. Approval of State General Fund transfers to the State Emergency Fund (KSA 75-3713),

2. Approval of certificates of indebtedness (KSA 75-3725a),

3. Increase of position limitations (KSA 75-3711c),

4. Increase of expenditure limitations (KSA 75-3711c),

5. Approval of the distribution of funds for implementation of the state employee pay plan, and

6. Other actions delegated by the Legislature.

The Division of the Budget maintains a list of appropriations that require Finance Council authorization prior to their expenditure. However, agencies must monitor these items as well. Meetings of the Council are not scheduled on a regular basis. The number and urgency of agenda items, in addition to accommodating the schedules of members, are the major determinants of when a meeting date will be established. Therefore, it is in the agency's interest to notify its budget analyst immediately of potential State Finance Council items. A request should follow as soon as possible with a brief cover letter addressed to the Director of the Budget that includes the following information:

1. The type of action requested that the Council is authorized to take;

2. A complete description of requested action, including the fiscal effect; and

3. A complete description of how the requested action meets the legal criteria as outlined above, and verification that the item has not been rejected by the prior Legislature.

Executive Directives

The Governor has the authority to issue formal orders that are a matter of public record and that implement certain personnel actions and fiscal decisions. The following functions are considered executive in nature and can be implemented by directives issued by the Governor:

1. Transfer of monies between appropriation accounts of the same fund within a state agency,

2. Reclassification or other adjustments to the classified pay plan,

3. Creation or deletion of job classes in the classified service, and

4. Authorization to expend federal funds for which no appropriation was provided by the previous Legislature.

Requests are submitted by the agency head in a letter addressed to the Director of the Budget. Executive directive requests will be handled as received from the agencies, although requests prior to the end of the fiscal year should be presented in time to anticipate the fiscal year closing of accounts. Agency requests should include:

1. Specific details of the request (such as which accounts are involved in the transfer),

2. The reasons for the requested action,

3. The fiscal year for which the action is requested, and

4. The fiscal effect of the action.

Internal Transfers

In addition to executive directives, fund transfers may be executed under the authority of the Director of the Budget. These revenue transfers are authorized in the regular appropriations bill and generally allow for State General Fund or State Water Plan Fund money to be moved from one line-item of appropriation to another within an agency, such as the agencies financed from the State Water Plan Fund, or within a system of agencies, such as KDADS and its hospitals, Corrections and its facilities, and the Board of Regents and its universities. One example of this language is shown below.

(c) During the fiscal year ending June 30, 2019, the secretary of corrections, with the approval of the director of the budget, may transfer any part of any item of appropriation for the fiscal year ending June 30, 2019, from the state general fund for the department of corrections or any correctional institution, correctional facility or juvenile facility under the general supervision and management of the secretary of corrections to another item of appropriation for fiscal year 2019 from the state general fund for the department of corrections or any correctional institution, correctional facility or juvenile facility under the general supervision and management of the secretary of corrections. The secretary of corrections shall certify each such transfer to the director of accounts and reports and shall transmit a copy of each such certification to the director of the legislative research.

The agency submits a request in writing to transfer funds. Except in emergency situations, transfers would not ordinarily be authorized when the Legislature is in session, not as a matter of law, but because the Legislature could make the transfer in an appropriations bill. When transfer requests are granted, a letter from the Director of the Budget to the Director of Accounts and Reports is sent to initiate the transfer.

Glossary

Account Code

A code used for accounting purposes in addition to a written description to describe the specific items or services purchased by state agencies within various expenditure categories. Expenditure codes are prescribed by the *Policy and Procedure Manual,* Filing 7,002 prepared by the Division of Accounts and Reports.

Allotment System

A procedure under which monies previously appropriated from a fund by the Legislature are legally reduced. The system, authorized by KSA 75-3722, is intended to assure that expenditures do not exceed available resources during a fiscal year.

Appropriation

A specified amount of money for a particular purpose that an agency is authorized to spend during a fiscal year. Generally, the entire amount is available at the start of the fiscal year.

Biennial Budget

A budget which plans revenues and expenditures for the two forthcoming fiscal years, rather than one year. KSA 75-3717(f) requires the following agencies to submit biennial budgets: Abstracters Board of Examiners, Board of Accountancy, Banking Department, Kansas Board of Barbering, Behavioral Sciences Regulatory Board, Board of Cosmetology, Department of Credit Unions, Kansas Dental Board, Kansas Governmental Ethics Commission, Board of Healing Arts, Hearing Instruments Board of Examiners, Board of Mortuary Arts, Board of Nursing, Board of Examiners in Optometry, Board of Pharmacy, Kansas Real Estate Appraisal Board, Kansas Real Estate Commission, Office of the Securities Commissioner, and Board of Technical Professions. All other state agencies will submit biennial budgets in the FY 2020-FY 2021 biennium, although not mandated by state law.

Budget

A plan of operation, including a strategic plan, an estimate of proposed expenditures and the means to finance expenditures, to meet the needs of the public.

Budget Amendment

An action by the Governor to revise budget recommendations during the legislative session. Amendments are submitted by letter from the Governor to the Chairs of the Senate Ways and Means and House Appropriations Committees advising them of the budget revisions by the Governor.

Budget Unit

The basic unit of classification in the budget process for agency monies; a sub-unit of a fund. Budget unit names and numbers can be found in the Division of Accounts and Reports' *Central Chart of Accounts*, which lists every active budget unit by agency. In the budget system, fund number is referred to as "line ID." Other definitions specific to the budget system are outlined in the Budget System User Manual. Budget units are referred to as "funds."

Budget Version

A variation of a budget request. Different budget versions exist at various stages of the budget process. Examples include download versions that are the starting point of the budget process,

agency work-in-progress versions, the budget request, DOB analyst work-in-progress versions, and the Governor's recommendations.

Capital Improvements

Projects involving new construction, remodeling, rehabilitation and repair, razing, and the principal portion of debt service for capital expenses. The interest portion of the debt is an operating expense.

Change Package

The incremental or decremental dollar amount associated with a particular budget issue. Similar to an enhancement package, a change package reflects some type of base budget adjustment. Examples include caseload changes, additional federal dollars, programs phased in or out, a supplemental appropriation request, budget amendments, executive directives, or Finance Council action.

Classified Positions

Classified positions are regulated by the Kansas Civil Service Act. Under the state's personnel and payroll system, all classified positions are either:

Regular—A position that counts toward the agency's FTE position limitation with duties and responsibilities of an ongoing nature. Employees on a regular classified position receive full benefits, based on the percentage time of the position.

Temporary—An appointment that does not exceed 999 hours of employment in a 12-month period. Temporary positions do not count toward the agency's FTE position limitation. Employees do not receive fringe benefits, unless the person is employed on successive appointments, and works more than 999 hours in a year.

Demand Transfer

Funds transferred annually from the State General Fund to specified expenditure accounts under the authority of laws other than appropriation acts. For FY 2019, there is one demand transfer authorized, Capital Outlay State Aid Fund for school districts.

Employee Benefit Contributions

State expenditures for retirement contributions, FICA, workers compensation, unemployment insurance, the state leave payment upon retirement assessment, and health insurance are employee fringe benefits. Each item is budgeted separately in the budget system salary module according to the rates in the cost indices at the end of these instructions.

Encumbrances

Obligations in the form of purchase orders, contracts, or salary commitments which are chargeable to an appropriation and for which a part of the appropriation is reserved. They cease to be encumbrances when paid or unencumbered. Some encumbrances may be carried forward. In the budget process, encumbrances are considered expenditures in the year the encumbrance is made, not the year in which they are finally paid.

Enhancement Package

A budget request which reflects either an increase to the services currently performed by an agency or the creation of new services. The package includes only the incremental cost of the increased expenditures to accomplish an activity.

Executive Directive

A formal order issued by the Governor that is a matter of public record and implements certain personnel actions and fiscal decisions. Also see **Transfer (Gubernatorial)**.

Expenditure

The actual payment of money out of any state fund or the commitment to make such a payment in the form of an encumbrance.

Expenditures, Non-Reportable

Disbursements, such as refunds, that do not result in net reductions of statewide assets. Also considered non-reportable are certain "off-budget" expenditures, many of which occur in the Department of Administration. For example, dollars are spent by many state agencies for printing services at the Department's printing plant. Those same dollars are spent again for the salaries, supplies, equipment, and other operating costs of the plant. To avoid reporting expenditures twice, the agencies' costs are treated as reportable and the printing plant's costs are non-reportable, or "off-budget." The same treatment is applied to expenditure of bond proceeds. The state budget reflects the cost of the debt service to repay the bonds, while the expenditure of the bond proceeds themselves are non-reportable.

Expenditure Categories

Classifications for goods and services purchased by state agencies. Primary among these are the following:

1. Salaries and Wages—Payments to state officers and employees for their personal services, and the state's costs for employee benefits such as FICA, retirement contributions, workers compensation, unemployment insurance, the state leave payment assessment, and health insurance.

2. Contractual Services—Payments for various services including communications, travel, utilities, and consultant services.

3. Commodities—Payments for consumable materials, supplies, and parts used in the operation of the agency.

4. Capital Outlay—Expenditures for items having a normal life of more than one year, such as office equipment, machinery, furniture, and motor vehicles.

5. State Operations—An expenditure summary category incorporating agency costs for salaries and wages, contractual services, commodities, and capital outlay.

6. Federal and State Aid to Local Governments—Aid payments to counties, cities, school districts, and other local governments with taxing authority.

7. Other Assistance, Grants and Benefits—Payments made to or on behalf of persons as aid (and not as salaries and wages or contractual services), including public assistance benefits, retirement benefits, claims, unemployment benefits, property tax relief payments, and tuition grants.

8. Operating Expenditures—An expenditure summary category incorporating all agency expenditures, except capital improvements.

9. Debt Service—Payments of the interest and principal included in agency budgets on various forms of debt financing, including bonded indebtedness, PMIB loans, master lease, Facility Conservation Improvement Program, third-party and other miscellaneous debt.

10.   <u>Non-Expense Items</u>—Disbursements such as refunds, advances, and investments which do not represent governmental costs. Expenditures for non-expense items, **which for budgeting purposes cannot be made from the State General Fund, KEY Fund, Economic Development Initiatives Fund, State Water Plan Fund, Children's Initiatives Fund, Expanded Lottery Act Revenues Fund, or the building funds**, are considered non-reportable.

11.   <u>Operating Grants</u>—A category of expenditure for budget request purposes only so that agencies, such as Regents institutions, can request funds without distributing them to the standard expenditure categories. This category does not exist in the accounting system.

12.   <u>Capital Improvements</u>—Cash or debt service principal payments for construction of highways, buildings or other facilities (including equipment necessary to place facilities in operation), remodeling and additions to existing structures, rehabilitation and repair projects, razing of structures, and the purchase or improvement of land.

Expenditure Limitation

A limitation placed on expenditures that may be made from a special revenue fund.

Finance Council

A state organization empowered to act on certain matters of legislative delegation, usually when the Legislature is not in session. The Council comprises the Governor (chair), President of the Senate, Speaker of the House of Representatives, Majority and Minority Leaders of each chamber, and the Chairpersons of the Senate Ways and Means and House Appropriations Committees.

Fiscal Year

The state fiscal year runs from July 1 to the following June 30 and is numbered for the calendar year in which it ends. The "actual fiscal year" is the year which concluded the previous June. The "current fiscal year" is the one which ends the coming June. The "budget year" refers to the next fiscal year, which begins the July following the Legislature's adjournment. "Out-years" refer to the years beyond the budget year.

Full-Time Equivalent (FTE) Position

A permanent state position that counts against an agency's position limitation authorized by the Legislature. FTE positions can be either full-time (1.00 FTE position), or part-time (a half-time position would be represented as a 0.50 FTE position). Limited term positions are included in an agency's position limitation. Teaching positions that are on contract for nine months or more are considered 1.00 FTE position. Temporary positions are not counted as FTE positions for purposes of the appropriation limitation, including those employees appointed to temporary positions who receive retirement benefits.

Functions of Government

Classifications for groups of similar agencies that reflect the basic purposes of state government. In Kansas, these functions and the primary agencies in each include the following:

Function 1—General Government
    Legislative agencies, constitutional offices, judicial agencies, Department of Administration, Department of Revenue, and various regulatory boards.

Function 2—Human Services

Kansas Commission on Veterans Affairs Office, Department for Aging and Disability Services, Department of Labor, Department for Children and Families and the health programs of the Department of Health & Environment.

Function 3—Education

Board of Regents institutions, Department of Education, State Library, and other education-related agencies. The state's payment of local school employer retirement costs is also included in this function.

Function 4—Public Safety

Correctional institutions for adults and youth, Adjutant General, Kansas Bureau of Investigation, Fire Marshal, Department of Corrections, Highway Patrol, Board of Emergency Medical Services, Sentencing Commission, and the Kansas Commission on Peace Officers Standards and Training.

Function 5—Agriculture and Natural Resources

Department of Agriculture, Water Office, State Fair, Department of Wildlife, Parks & Tourism, and the environmental programs of the Department of Health & Environment.

Function 6—Transportation

Department of Transportation and part of the Department of Administration.

Funds

Basic units of classification in both the budget process and the accounting system for agency monies. Monies in a fund may be used for a specific purpose as provided by law. Each fund is maintained in accordance with generally-accepted accounting principles with a self-balancing set of accounts recording all resources together with all related obligations, reserves, and equities. The major funds of the state include the following:

1. State General Fund—A fund for revenues not earmarked or dedicated for special purposes. It is used to finance governmental operations not provided for by other funds. The principal revenue sources for the State General Fund include individual and corporate income taxes, sales and compensating use taxes, severance and other excise taxes, and interest earnings.

2. State Water Plan Fund—A fund established under KSA 82a-951 to provide a dedicated source of funding to provide for the water resource needs of Kansas. For financing, the fund receives a transfer from both the State General Fund and the Economic Development Initiatives Fund. Other receipts come from fees charged to water users, pesticide label fees, fertilizer use fees, and environmental fines. Water Plan monies are appropriated to agencies, rather than transferred.

3. Economic Development Initiatives Fund—A fund established under KSA 79-4804 for financing economic development activities. The fund receives revenues from lottery activities. With the exception of the Kansas Economic Opportunity Initiatives Fund (KEOIF) and Kansas Qualified Bio Diesel Fuel Producer Incentive Fund (KQBFPIF) programs and the Water Plan Fund, monies are appropriated rather than transferred from this fund to various agencies, according to appropriation acts passed by the Legislature.

4. State Gaming Revenues Fund—This fund is created under KSA 79-4801 and functions as a clearing fund, disbursing receipts from lottery sales, taxes and fees on racing activities in accord with a statutorily prescribed formula. KSA 74-8711 sets out the formula for the distribution of the receipts. The current formula first transfers $80,000 to the Problem Gambling Grant Fund, then 85.0 percent of the remaining receipts to the Economic

Development Initiatives Fund, 10.0 percent to the Correctional Institutions Building Fund, and 5.0 percent to the Juvenile Detention Facilities Fund.

5.   Children's Initiatives Fund—This fund is used to benefit the physical and mental health, welfare, and safety of children in Kansas. The fund receives proceeds from the national tobacco settlement, which are appropriated by the Legislature for programs and activities benefiting children.

6.   Expanded Lottery Act Revenues Fund—This fund is created under KSA 74-8768 and may be used for the reduction of state debt, state infrastructure improvements, the University Engineering Initiative Act, reduction of local ad valorem taxes and reduction of the unfunded actuarial liability of the KPERS System.

7.   Special Revenue Funds—Funds into which statutorily earmarked receipts are deposited. There are several hundred such funds, and the revenues consist largely of special fees or levies assessed by the state as well as federal grant-in-aid receipts. Generally, these monies must be expended for purposes specified by state statutes, or in the case of federal grants, for purposes specified by the federal government. Another distinct class of these funds is the agency fee fund, which consists of receipts collected and retained by an agency. For reporting purposes, federal funds must be uniquely identified, separate from state monies.

8.   State Highway Fund—Receipts are dedicated to the maintenance and construction of state and local streets and highways and to operations of the Department of Transportation and the Department of Revenue's Division of Motor Vehicles. Revenue sources include motor fuel taxes, motor vehicle registration taxes, driver's license fees, special vehicle permits, federal funds, and proceeds from the sale of bonds.

9.   Enterprise Funds—Funds to account for charges for services, usually of a commercial nature, rendered to the public for compensation. The predominant use is accounting for dormitory operations at state universities.

10.   Intra-Governmental Service Funds—Non-reportable funds that account for the provision of goods and services by state agencies for other state agencies. Through these funds, the cost of the goods and services is charged to and paid by the recipient agency. Most of these funds are excluded from the budget system.

11.   Trust and Agency Funds—Funds containing monies received, held, and disbursed by the state acting as a trustee, agent, or custodian. Agency funds consist of monies collected by the state as agent and disbursed to other governments and individuals.

12.   Clearing Funds—Non-reportable funds into which monies are transferred from other funds and then disbursed for a particular general expenditure, such as payroll. These funds are excluded from the budget system.

13.   State Institutions Building Fund—A fund for constructing, equipping, and repairing buildings at the institutions under the Department for Aging and Disability Services, and the Department of Education, as well as the Veterans Commission Office and the state's juvenile correctional facilities. Income is derived from a one-half mill, statewide levy on property subject to ad valorem taxation.

14.   Kansas Educational Building Fund—A fund for constructing, equipping, and repairing buildings at the state universities. Income is derived from a one-mill, statewide levy on property subject to ad valorem taxation.

15.   Employment Security Fund—The fund from which unemployment benefits are paid through the Kansas Department of Labor. Deposits consist of employer taxes,

contributions, fines, and penalties levied on employers for unemployment benefits, as well as interest earned on unemployment trust funds deposited in the U.S. Treasury.

16. Retirement Funds—A class of funds including the several employee retirement funds managed by the Kansas Public Employees Retirement System.   State employees and employees of local governments who have joined the system are eligible to receive retirement benefits from these funds. The funds are financed by both employer and employee contributions and investment earnings.

17. State Emergency Fund—This fund is generally used to meet state obligations arising from natural disasters, match federal payments to individuals and families, and offer rewards to catch wanted criminals. The State Finance Council is empowered to authorize expenditures from the fund. It is financed through transfers from the State General Fund.

18. Other Funds—A summary category used in the budget to refer to all funds other than the State General Fund.

Each fund in the state budget has a four-digit assigned number based on the following classifications.

1000	State General Fund
1700	Expanded Lottery Act Revenues Fund
1800	State Water Plan Fund
1900	Economic Development Initiatives Fund
2000	Children's Initiatives Fund
2000 series	Special Revenue Funds—State
3000 series	Special Revenue Funds—Federal
4000 series	State Highway Fund
5000 series	Enterprise Funds
6000 series	Intra-Governmental Service Funds
7000 series	Trust and Agency Funds
8000 series	Capital Project Funds
9000 series	Clearing, Refund, and Suspense Funds

Lapse

That portion of an appropriation not spent or reappropriated. A lapsed appropriation reverts to the fund from which it was made and becomes part of the unappropriated balance. State General Fund appropriations automatically lapse at the end of a fiscal year unless specific legislative authorization provides for the carryover of unexpended funds (see **Reappropriation**).

Limited Reappropriation

That part of a reappropriation which exceeds the limitation established by the Legislature on expenditures from a reappropriation. Limited reappropriations may be expended only with approval of the State Finance Council or the Legislature.

Limited Term Appointment

A type of an appointment to a regular classified position in state civil service which is tied to funding limitations stipulated in grant specifications or other contractual agreements. Employment ends when the funding ends and the employee does not have layoff rights. Limited term positions are included in agency FTE position limitations.

Line-Item Appropriation

An appropriation made by the Legislature for a specific purpose. The term derives from the practice used in some jurisdictions of appropriating funds by narrowly defined "line-item" objects of expenditure.

Longevity

Bonus payments made to eligible classified employees or non-judicial personnel based on $40 per year of service multiplied by the number of years of state service. Minimum eligibility is ten years of service, and the maximum payment is $1,000 for 25 years. Employees hired more recently are not eligible for this bonus.

MEGA Appropriations Bill

Legislation which includes appropriations for all state agencies. Appropriation bills are effective for one year, unlike substantive statutes, which are effective on a permanent basis until amended or repealed. The MEGA bill contains supplemental appropriations and adjustments to the current fiscal year, appropriations for operating budgets for the upcoming fiscal year, and appropriations for capital improvements for the forthcoming fiscal year and any applicable out years as a multi-year appropriation.

Multi-Year Appropriation

A legislative authorization to expend monies from a fund in more than one fiscal year.

Non-FTE Unclassified Permanent Position

A position categorized in the SHARP payroll system as unclassified temporary and coded as a "P" or "L" but which receives retirement benefits, and is therefore counted as part of the permanent state workforce for budgeting purposes.

Object

A generic term referring to the lowest level of data stored and accessed in the state's budget system. Object identifies a specific budget item. An object type is associated with each object to differentiate between expenditures (E), funding sources (F), revenue (R), and FTE positions (S).

Omnibus Appropriations Bill

A bill containing numerous individual appropriations for both the current and budget fiscal years that is considered during the "veto" stage of a legislative session. It finances items such as substantive legislation that passed and Governor's budget amendments adopted by the Legislature.

Performance Budgeting

A budgeting process that uses performance measures to distribute available financial resources. Outcome measures gauge the ultimate effect of programs on the problems or conditions they are intended to affect. Output measures indicate the level of resource input or intermediate agency work effort. Efficiency measures compare input to output.

Performance Information

Quantitative expressions which describe the effect a program has on a given condition or problem. Performance information provides a framework within which the benefits of the given program may be evaluated. Components of this information are a program purpose, which states

the policy goal being served; objectives, which state the criteria for determining progress in accomplishing the purpose; and performance measures, which are the data used to measure progress.

Performance Measures

Classes of data used to develop program performance information. Outcome measures are the most important, as they gauge the ultimate effect of agency programs. Effectiveness measures focus on how well program operations accomplish their particular goals. Workload or output measures indicate the level of resource input or intermediate outputs, while efficiency measures compare input to output.

Personal Services

A term used by the budget system for salaries and wages paid to persons employed by the state.

Position Classification Actions

Types of actions taken when it is necessary to change the classification of a position in the classified service. There are two types of actions: individual position classification actions and classification study actions. Individual position classification actions are changes in the classification of a position from one existing class to a different existing class (at the same or a different pay grade). Classification study actions may involve one or more positions in one or more classes. A classification study may redefine the work in a class or a class series, reassign pay grades, or establish new classes at the same or different pay grade.

Program

A set of related operations that follows a planned course of action to achieve a specified purpose and set of objectives. Programs are used to classify agency services and provide a basic framework for resource allocation decisions.

Reallocation

A change of funding levels between the programs in an agency, or object codes within a program. These changes reflect the adjustment of agency priorities or needs.

Reappropriation

Unexpended funds remaining at the end of the current fiscal year that are carried over to the next fiscal year. If the reappropriation is subject to an expenditure limitation, the limitation controls the amount of the reappropriation that can be spent in the next fiscal year. If the reappropriation is not subject to an expenditure limitation, all of it can be spent in the next fiscal year (see **Limited Reappropriation**).

Reduced Resource Package

A budget request which reflects a targeted reduction to a program or agency budget. The package includes only the decremental cost of the reduced expenditures. Information regarding the reductions, as well as the effect of the budget reduction, is included in a tabular and narrative format in the beginning of the agency budget, rather than being detailed on each budget form.

Reporting Level

In the state's budgeting system, a 24-digit number grouped into two different "layers" by hyphens used to identify the agency and major program level.

Revenue Estimates

Projections of anticipated State General Fund revenue for the current and budget fiscal years. An estimate is developed on a consensus basis by the Division of the Budget, Department of Revenue, university economists, and the Legislative Research Department twice annually. In November an estimate is made for the current and budget years. This estimate forms the basis of the Governor's budget recommendations to the Legislature. In the spring, prior to the end of the legislative session, the current and budget year estimates are reviewed and revised, if necessary.

Revenue Transfer

Authority in appropriation bills instructing the Department of Administration to transfer all or any part of the revenue in a particular fund to another fund either between agencies or within an agency in order to finance certain programs or operations. An example is the transfer from the State Highway Fund in the Department of Transportation to the Division of Vehicles Operating Fund in the Department of Revenue. Revenue transfers between funds or accounts within an agency are also made by an executive directive signed by the Governor. For a few agencies, most constituting a system, such as KDADS and the state hospitals, the Regents universities, and the Department of Corrections, revenue transfers can be made between agencies within a system with the approval of the Director of the Budget.

Salary Plan

The schedule for classified employees of position classifications, pay grades, and pay steps, as administered by the Department of Administration. This plan is used in developing salary and wage estimates.

Shift Differential

An additional amount paid to certain classified employees who work shifts other than the normal day shift. Because this rate is established by gubernatorial directive, budgeted increases for salary plan revisions are not applied to the amount budgeted for this purpose.

Shrinkage

The difference between the cost of fully funding salaries and wages in a budget, assuming all positions were filled at all times, and the actual salary costs, taking vacancies into account. Also called "turnover," it is expressed as a percentage.

Strategic Plan

A practical, action-oriented guide, based upon an examination of internal and external factors which directs goal-setting and resource allocation to achieve meaningful results over time.

Supplemental Appropriation

An appropriation made to finance the operations of state government during the current fiscal year in addition to regular appropriations already approved. Supplemental appropriations are considered when a shortage of funds is anticipated as a result of an emergency or unforeseen occurrence.

Unclassified Positions

Employees in the unclassified service are designated in KSA 75-2935:

Regular—A position that counts toward the agency's FTE position limitation with duties and responsibilities of an ongoing nature. Employees in a regular unclassified position receive

full benefits, based on the percent of time worked. Unclassified employees do not follow the same regulations as classified employees.

Non-FTE Permanent—A position that does not count toward the agency's FTE position limitation, but has duties of an ongoing nature and the incumbent in the position receives retirement and other benefits.

Temporary—Temporary unclassified positions do not count toward the agency's FTE position limitation. Employees are not limited to 999 hours in a year, as with classified temporary positions. Fringe benefits are at the discretion of the appointing authority.

Version

A term used in the new budget system to identify different stages of budget data. The system accommodates several version types, such as "Download," "Agency," "Executive," and "Final Approved." Within limits, more than one budget can be created within the same type of version (Agency 1, Agency 2, etc.). Budget versions are controlled by different users throughout the budget process for viewing and development.

Veto

The constitutional authority of the Governor to disapprove bills passed by the Legislature. The line-item veto is the authority of the Governor to disapprove any item of appropriation while approving the rest of the appropriations bill. The Legislature may override a veto with a vote of at least two-thirds of the members of each house.

Appendix
Budget Cost Indices

Cost indices for FY 2019, FY 2020 and FY 2021 are provided as guidelines to be used by all state agencies in preparing their budget requests.

Salaries & Wages

Salary Adjustments... Agencies shall not budget for step movement or a base salary adjustment. Any adjustments to the salary plan will be handled in the budget process.

Longevity Bonus Payments .... Longevity bonuses will be budgeted at $40 per year of service for employees hired prior to June 15, 2008 (KSA 75-5541).

	FY 2019	FY 2020	FY 2021
Shift Differential for Regular Employees (per hour or 10% of base salary)	$0.30	$0.30	$0.30
Shift Differential for Highway Patrol Troopers	0.75	0.75	0.75
Shift Differential for Employees Covered by KOSE & Juvenile Corrections Officers	0.50	0.50	0.50
Retention Incentive Differential for Building Trades Employees	0.30	0.30	0.30

Rates for Computing Fringe Benefits

KPERS Regular State & School Member Retirement [1,2]	FY 2019	FY 2020	FY 2021
Retirement Rate	13.21 %	14.41 %	14.23 %
Death & Disability Insurance	1.00	1.00	1.00
Composite Total	14.21	15.41	15.23
TIAA Members Current Service			
Retirement Rate	8.50	8.50	8.50
Death & Disability Insurance	1.00	1.00	1.00
Composite Total	9.50	9.50	9.50
Judges Retirement [2]			
Retirement Rate & Disability Benefits	15.89	18.65	17.26
Death Insurance	0.40	0.40	0.40
Composite Total	16.29	19.05	17.66
Deferred Compensation			
Retirement Rate	8.00	8.00	8.00
Death & Disability Insurance	1.00	1.00	1.00
Composite Total	9.00	9.00	9.00
Retirees Returning to Same or Different Employer [2]	13.21-30.00	14.41-30.00	14.23-30.00
Retired Nurses Returning to Same Employer [2]	14.28	15.49	14.23
Retirees Returning to School Employment that requires [2] a license under KSA 72-1388 (state agencies)	13.21-30.00	14.41-30.00	14.23-30.00

[1] KPERS Regular School employer contributions were reduced by $64.1 million in FY 2017 and $194.0 million in FY 2019. The reductions will be repaid as a level dollar annual payment of $25.4 million over the next 20 years. KPERS estimates the annual "layering" payments are equal to a rate of 0.69% in FY 2020 and 0.70% in FY 2021. This amount will be paid in addition to KPERS Regular School employer contributions calculated at the certified rates above.

[2] The FY 2021 rates were updated on August 2, 2018.

	FY 2019	FY 2020	FY 2021
Security Officer Retirement—Group A – Age 55 [2]			
Retirement Rate	13.21 %	14.41 %	14.51 %
Death & Disability Insurance	1.00	1.00	1.00
Composite Total	14.21	15.41	15.51
Security Officer Retirement—Group B – Age 60 [2]			
Retirement Rate	13.21	14.41	15.37
Death & Disability Insurance	1.00	1.00	1.00
Composite Total	14.21	15.41	16.37
KBI [2]	20.05	22.11	21.93
Highway Patrol State Troopers [2]	20.05	22.11	21.93
Highway Patrol, CASP, Motor Carrier Inspectors, State Fire Marshal, Regents, & Adjutant General [2]	20.05	22.11	21.93
FICA Rate (composite rate for OASDI—6.2% & Medicare—1.45%)	7.65	7.65	7.65
Maximum Salary for OASDI (none for Medicare)			
Paychecks issued July 1-December 31, 2018, 2019, 2020	$128,400	$135,600	$142,200
Paychecks issued January 1-June 30, 2019, 2020, 2021	$135,600	$142,200	$148,500
Additional Medicare taxes on wages over $200,000	0.9 %	0.9 %	0.9 %
Unemployment Insurance Assessment	0.09	0.10	0.10
State Leave Payment Assessment	0.68	0.68	0.68
Single Member Health Insurance Premium (monthly)			
Full-Time Employees	$587.52	$606.88	$626.92
Part-Time Employees (minimum of 1,000 Hours)	465.48	480.87	496.77
Dependent Health Insurance Premium (monthly)			
Full-Time Employees	277.88	287.00	296.48
Part-Time Employees (minimum of 1,000 Hours)	219.66	226.85	234.34
Healthy Kids Health Insurance Premium (monthly)			
Full-Time Employees	917.68	947.90	979.20
Part-Time Employees (minimum of 1,000 Hours)	728.58	752.61	777.45

Workers Compensation Assessment
Experienced-based Rates by Agency:

		FY 2019	FY 2020	FY 2021
016	Abstracters Board of Examiners	1.623 %	1.623 %	1.623 %
028	Board of Accountancy	0.229	0.229	0.229
034	Adjutant General	2.876	2.795	2.768
039	Department for Aging & Disability Services	0.096	0.093	0.092
046	Department of Agriculture	0.459	0.446	0.441
058	Kansas Human Rights Commission	0.170	0.165	0.163
082	Attorney General	0.022	0.022	0.021
083	Kansas Bureau of Investigation	0.219	0.297	0.294
094	Banking Department	0.286	0.278	0.275
100	Board of Barbering	0.396	0.468	0.468
102	Behavioral Sciences Regulatory Board	0.170	0.165	0.163
105	Board of Healing Arts	0.170	0.165	0.163
122	Citizens Utility Ratepayer Board	0.170	0.165	0.163

		FY 2019	FY 2020	FY 2021
143	Kansas Corporation Commission	0.659 %	0.640 %	0.634 %
149	Board of Cosmetology	0.170	0.165	0.163
159	Department of Credit Unions	0.170	0.165	0.163
167	Kansas Dental Board	0.223	0.223	0.223
173	Department of Administration	1.184	1.151	1.139
177	Ellsworth Correctional Facility	2.032	1.975	1.956
178	Office of Administrative Hearings	0.170	0.165	0.163
195	El Dorado Correctional Facility	2.646	2.572	2.546
204	Board of Mortuary Arts	0.199	0.199	0.199
206	Emergency Medical Services Board	0.170	0.165	0.163
234	State Fire Marshal	1.069	1.501	1.486
246	Fort Hays State University	0.235	0.229	0.226
247	Governmental Ethics Commission	0.170	0.165	0.163
252	Office of the Governor/Lieutenant Governor	0.170	0.165	0.163
264	Health & Environment	0.215	0.209	0.207
266	Hearing Instruments Board of Examiners	1.652	1.652	1.652
270	Health Care Stabilization	0.170	0.165	0.163
276	Kansas Department of Transportation	2.529	2.458	2.434
280	Highway Patrol	0.927	0.901	0.892
288	Historical Society	0.170	0.165	0.163
296	Department of Labor	0.312	0.303	0.300
300	Department of Commerce	0.246	0.239	0.237
313	Hutchinson Correctional Facility	4.434	4.309	4.267
328	Board of Indigents Defense Services	0.122	0.119	0.118
331	Insurance Department	0.069	0.067	0.066
335	Office of Information Technology Services	0.901	0.875	0.867
349	Judicial Council	0.170	0.165	0.163
352	Kansas Juvenile Correctional Complex	8.028	7.803	7.726
363	Kansas Neurological Institute	5.214	5.068	5.018
365	KPERS	0.170	0.165	0.163
367	Kansas State University	0.291	0.283	0.280
368	Kansas State University—Veterinary Medical Center	0.291	0.283	0.280
369	Kansas State University—ESARP	0.291	0.283	0.280
373	Kansas State Fair	0.170	0.165	0.163
379	Emporia State University	0.412	0.400	0.396
385	Pittsburg State University	0.486	0.473	0.468
400	Lansing Correctional Facility	5.369	5.218	5.167
408	Larned Correctional MH Facility	3.100	3.013	2.983
410	Larned State Hospital	2.987	2.903	2.874
422	Legislative Coordinating Council	0.170	0.165	0.163
425	Legislative Research Department	0.170	0.165	0.163
428	Legislature	0.057	0.056	0.055
434	State Library	0.170	0.165	0.163
450	Kansas Lottery	0.170	0.165	0.163
482	Board of Nursing	0.170	0.165	0.163
488	Board of Examiners in Optometry	0.605	0.605	0.605
494	Osawatomie State Hospital	5.609	5.452	5.398
507	Parsons State Hospital & Training Center	6.008	5.839	5.782
521	Department of Corrections	1.278	1.242	1.230
522	Kansas Correctional Industries	0.429	0.860	0.851
529	Peace Officers' Standards & Training	0.170	0.165	0.163
531	Board of Pharmacy	0.170	0.165	0.163
540	Legislative Division of Post Audit	0.170	0.165	0.163

		FY 2019	FY 2020	FY 2021
543	Real Estate Appraisal Board	0.185 %	0.185 %	0.185 %
549	Kansas Real Estate Commission	0.170	0.165	0.163
553	Kansas Racing & Gaming Commission	0.170	0.165	0.163
561	Board of Regents	0.170	0.165	0.163
562	Board of Tax Appeals	0.170	0.165	0.163
565	Department of Revenue	0.328	0.319	0.316
579	Revisor of Statutes	0.170	0.165	0.163
581	Norton Correctional Facility	2.210	2.148	2.127
604	School for the Blind	2.323	2.258	2.235
610	School for the Deaf	1.347	1.309	1.296
622	Secretary of State	0.170	0.165	0.163
626	Sentencing Commission	0.170	0.165	0.163
629	Department for Children & Families	0.419	0.408	0.403
652	Department of Education	0.448	0.435	0.431
660	Topeka Correctional Facility	2.717	2.641	2.615
663	Board of Technical Professions	0.170	0.165	0.163
670	State Treasurer	0.170	0.165	0.163
671	Pooled Money Investment Board	0.170	0.165	0.163
677	Judiciary	0.152	0.148	0.146
682	University of Kansas	0.270	0.262	0.260
683	KU Medical Center	0.252	0.245	0.243
694	Commission on Veterans Affairs Office	3.168	3.079	3.049
700	Board of Veterinary Examiners	0.170	0.165	0.163
709	Kansas Water Office	0.170	0.165	0.163
710	Department of Wildlife & Parks & Tourism	1.737	1.689	1.672
712	Winfield Correctional Facility	1.885	1.832	1.814
715	Wichita State University	0.292	0.284	0.281

General Cost Guidelines [3]

	FY 2019	FY 2020	FY 2021
Motor Vehicle Supplies	0.6 %	0.6 %	0.6 %
Clothing	0.5	0.5	0.5
Food	0.5	0.5	0.5
Fuel Oil & Coal	5.0	3.0	3.0
Gasoline & Oil	4.0	2.8	2.5
Electricity	2.5	2.5	2.5
Natural Gas	2.0	2.5	2.5
Medical Care	2.5	3.0	3.0
General	2.5	2.1	2.0

Rent & Other Building Cost Estimates

	FY 2019	FY 2020	FY 2021
Office Space (per square foot [4])			
Curtis, Docking, Eisenhower, Landon, Memorial	$19.50	$19.75	$20.25
Computer Space (per square foot [4])			
Curtis, Docking, Eisenhower, Landon, Memorial	50.00	50.00	50.00

[3] Division of the Budget estimates, June 2018.

[4] The total rates represent the space rental rates for state buildings. The federal rates, for agencies with federal fund revenues, represent that portion of the total rates that federal funds are estimated to finance. The difference must be financed from non-federal sources when the total rate exceeds the federal rate.

	FY 2019	FY 2020	FY 2021
Storage Space (per square foot [4])			
Curtis, Docking, Eisenhower, Landon, Memorial	5.50	5.50	5.50

Other Building Costs

	FY 2019	FY 2020	FY 2021
Moving Costs, General Labor (per man hour) [5]	25.00	25.00	25.00
Lease Administration Costs (per square foot)...	0.05	0.05	0.05

Physical Security & Access Control

	FY 2019	FY 2020	FY 2021
Security keycard (each)..	12.75	13.25	13.75
Security component installation			
(card reader, door monitor, simple or complex device) ....Actual		Actual	Actual
Security monitoring (per month)			
Doors (where a card reader is present)		45.00	45.00
Simple device (panic alarm button, door monitoring,			
remote door release, motion detection and glass break detection)		4.00	4.00
Complex device (iPhone video intercom w/remote door control,			
monitoring a fire alarm panel (supervisory or trouble), keypad control for			
shunting motion detection and door alarms, and DSC intrusion alarm panels)		15.00	15.00
Security component maintenance and support (per hour)...		Actual	Actual
Security component design, vendor integration and quotation (per hour).........................		Actual	Actual

Reimbursement for iStar control panel network connection (OITS Node) based on OITS published rate.

Video Surveillance

	FY 2019	FY 2020	FY 2021
Video monitoring and archival (per camera/per month)...		30.00	30.00
On site video station or Ccure access (per month)		50.00	50.00
Video system maintenance and support (per hour)...		Actual	Actual
Video system design, vendor integration and quotation (per hour)		Actual	Actual

Reimbursement for IP camera or analog encoder network connection (OITS Node) based on OITS published rate.

Federal Rates

Office Space (per square foot)

	FY 2019	FY 2020	FY 2021
Curtis	9.21	9.21	9.21
Docking	19.50	19.50	19.50
Eisenhower	12.10	12.10	12.10
Landon..	17.73	17.73	17.73
Memorial	5.47	5.47	5.47

Computer Space (per square foot)

	FY 2019	FY 2020	FY 2021
Curtis	23.88	23.88	23.88
Docking	0.00	0.00	0.00
Eisenhower	31.36	31.36	31.36
Landon..	37.61	37.61	37.61

Facilities Planning Project Fee

	FY 2019	FY 2020	FY 2021
Architect (hourly)	80.00	90.00	90.00
Engineer (hourly)...	90.00	150.00	150.00

Monumental Building Surcharge

	FY 2019	FY 2020	FY 2021
For support of State Capitol, Judicial Center,			
Cedar Crest, & Capitol Complex Parking Lots (per square foot [6])...............	2.66	2.70	2.75

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[5] Moving estimates are on a per job basis. Contact Office of Facilities Management for job estimates.
[6] Applies to all agencies located within Shawnee County; cannot be funded with federal funds; rate per square foot of rentable space in state buildings or leased space.

Central Mail Estimation Factors

Central Mail provides services in Topeka for state agencies that have committed to processing their outgoing mail through Central Mail. Services provided include: pickup, sorting and delivery of building mail, applying postage for letters, flats, and packages on outgoing United States Postal Service mail, sending flats and packages via United Parcel Service (UPS) and FedEx, inserter services, and pick up of already stamped mail.

The Central Mail outgoing mail rate covers the cost of operations for building mail, outgoing mail including postage, mail automation, and inserter services. USPS, UPS and FedEx charges are passed through to the agency.

Postage rates will change for agencies when the United States Postal Service, United Parcel Service, or Federal Express has postage rate increases.

	FY 2019	FY 2020	FY 2021
Letters			
1st Class Postage (up to 2 ounces)	$0.54	$0.56	$0.58
Flat Rate (6.5x11.5 to 12x15 and less than 3/4 inch thick)			
Envelope (up to 1 ounce)	1.55	1.55	1.55
Envelope (up to 2 ounces)	1.75	1.75	1.75
Packages (zone 2, max 70 lbs, zones 3-9 extra)			
Up to 1 pound	6.75	7.15	7.30
Up to 2 pounds	7.05	7.25	7.50
Up to 3 pounds	7.75	7.90	8.25

Contact: Agencies needing assistance for budgeting mail services should contact David Lord at (785) 296-2321. Please note that the actual postage rate could differ in FY 2019, FY 2020 and FY 2021. These estimates are for planning purposes.

Printing Services

	FY 2019	FY 2020	FY 2021
Printing services general percentage increase	2.00 %	2.00 %	2.00 %
Black & white copying, single sided (per sheet)	$0.04	$0.04	$0.04
Black & white copying, duplex (per sheet)	0.08	0.08	0.08
Color copying, single sided, 8 1/2 x 11 (per sheet)	0.28	0.20	0.20
Color copying, single sided, 11 x 17 (per sheet)	0.56	0.40	0.40
Graphic design services (per hour)	65.00	65.00	65.00

Accounting, Payroll & Budget Systems Support Rates (APB) [7]

	FY 2019	FY 2020	FY 2021
Enterprise Applications—all (per transaction)	$1.576	$1.576	$1.576
Enterprise Applications—all (per accounting line)	0.127	0.127	0.127

Contact: Agencies needing more information regarding the APB rate should contact Jeff Scannell at jeff.scannell@ks.gov.

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[7] The APB rate will continue to be based on the volume of transactions and the volume of accounting lines. This basis for the rate more accurately represents actual usage of the system resources.

Travel & Subsistence

Subsistence & Lodging

SMART version 9.0 (effective 11/13/15)	FY 2019 M&IE	FY 2019 Lodging [8]	FY 2020 M&IE	FY 2020 Lodging [8]	FY 2021 M&IE	FY 2021 Lodging [8]
CONUS – Contiguous United States						
Standard Rate	$56	$96	$56	$98	$56	$101
Non-Standard Area (NSA) [9]	http://www.gsa.gov/portal/content/104877					
(Source – U.S. General Services Administration)						
OCONUS – Outside Contiguous United States						
Alaska, Hawaii, U.S. Territories [10]	http://www.defensetravel.dod.mil/site/perdiemCalc.cfm					
(Source – U.S. Department of Defense)						
International Travel						
M&IE [11]	https://aoprals.state.gov/web920/per_diem.asp					
Lodging	Actual		Actual		Actual	
Conference Lodging (KAR 1-16-18a(e)) [12]	Actual		Actual		Actual	

Private Reimbursement per Mile

	FY 2019	FY 2020	FY 2021
Automobile	0.545	0.580	0.610
Motorcycle	0.515	0.550	0.580
Airplane	1.210	1.280	1.360
Moving	0.180	0.190	0.200

OITS Rate Estimates

Information Processing Services

	Unit	FY 2019	FY 2020	FY 2021
ADABAS (charged to only 2 agencies) [13]	Month	$39,231.77	N/A	N/A
DB2 (charged to only 2 agencies) [13]	Month	22,259.57	N/A	N/A
SAS (charged to only 2 agencies) [13]	Month	14,257.44	N/A	N/A
MVS CPU (combined with CICS) [14]	Second	0.046	0.17	0.17
Data Storage	GB/Month	3.05	3.28	3.28
Data Center—LSOB [15]	Per Rack/Month	642.74	642.74	642.74
Data Center—TODC [15]	Per Rack/Month	592.55	592.55	592.55
Data Center as a Service (DCAAS) (vCPU x GB RAM):				
DCAAS-Platinum Level (2 x 4)	Month	399.07	725.23	719.12
DCAAS-Platinum Level (2 x 8)	Month	399.67	725.83	719.71
DCAAS-Platinum Level (2 x 16)	Month	400.87	727.01	720.89
DCAAS-Platinum Level (4 x 4)	Month	399.22	725.39	719.27
DCAAS-Platinum Level (4 x 8)	Month	399.82	725.98	719.86
DCAAS-Platinum Level (4 x 16)	Month	401.02	727.16	721.04

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[8] Meals & Incidental Expenses—M&IE: Actual cost of lodging up to this maximum.

[9] Agency should review the GSA website to determine if travel location is a Non-Standard Area and select seasonal rate if applicable for both M&IE and lodging. If travel location is not listed as a NSA, then the Standard CONUS rate will be used.

[10] Agency should review the U.S. Department of Defense website to select travel location and seasonal rate if applicable for both M&IE and lodging.

[11] Agency should review the U.S. Department of State website to select travel location and seasonal rate if applicable for M&IE.

[12] Meal allowance is based on destination city.

[13] ADABAS, DB2, and SAS—FY 2020: This will no longer be a rate. This billing will be a passthrough only.

[14] The MVS CPU and CICS rates will be combined as a common per-second rate with corresponding adjustments to the KOMAND accounting software for consistency and transparency.

[15] The LSOB and TODC data center rates are being changed from a per square foot billing metric to a per rack metric to reduce billing invoice complexity and ensure that costs are spread equitably to all data center customers.

	Unit	FY 2019	FY 2020	FY 2021
DCAAS-Platinum Level (8 x 8)	Month	$400.13	$726.28	$720.16
DCAAS-Platinum Level (8 x 16)	Month	401.33	727.47	721.35
DCAAS-Platinum Level (8 x 32)	Month	403.73	729.84	723.72
DCAAS-Platinum Level (12 x 12)	Month	401.03	727.18	721.06
DCAAS-Platinum Level (12 x 32)	Month	404.04	730.14	724.02
DCAAS-Platinum Level (12 x 64)	Month	408.85	734.88	728.76
DCAAS-Platinum Level (16 x 16)	Month	401.94	728.07	721.95
DCAAS-Platinum Level (16 x 32)	Month	404.35	730.44	724.32
DCAAS-Platinum Level (16 x 64)	Month	409.16	735.18	729.06
DCAAS-Platinum Level (24 x 32)	Month	404.96	731.04	724.92
DCAAS-Platinum Level (24 x 96)	Month	414.58	740.53	734.41
DCAAS-Platinum Level (24 x 192)	Month	429.01	754.75	748.63
DCAAS-Gold Level (2 x 4)	Month	380.67	707.26	701.47
DCAAS-Gold Level (2 x 8)	Month	381.27	707.85	702.06
DCAAS-Gold Level (2 x 16)	Month	382.47	709.03	703.25
DCAAS-Gold Level (4 x 4)	Month	380.82	707.41	701.62
DCAAS-Gold Level (4 x 8)	Month	381.42	708.00	702.21
DCAAS-Gold Level (4 x 16)	Month	382.62	709.18	703.40
DCAAS-Gold Level (8 x 8)	Month	381.73	708.30	702.51
DCAAS-Gold Level (8 x 16)	Month	382.93	709.49	703.70
DCAAS-Gold Level (8 x 32)	Month	385.34	711.86	706.07
DCAAS-Gold Level (12 x 12)	Month	382.64	709.20	703.41
DCAAS-Gold Level (12 x 32)	Month	385.64	712.16	706.37
DCAAS-Gold Level (12 x 64)	Month	390.45	716.90	711.11
DCAAS-Gold Level (16 x 16)	Month	383.54	710.09	704.30
DCAAS-Gold Level (16 x 32)	Month	385.95	712.46	706.67
DCAAS-Gold Level (16 x 64)	Month	390.76	717.20	711.41
DCAAS-Gold Level (24 x 32)	Month	386.56	713.07	707.28
DCAAS-Gold Level (24 x 96)	Month	396.18	722.55	716.76
DCAAS-Gold Level (24 x 192)	Month	410.61	736.77	730.98
DCAAS-Silver Level (2 x 4)	Month	365.26	692.21	686.70
DCAAS-Silver Level (2 x 8)	Month	365.86	692.80	687.30
DCAAS-Silver Level (2 x 16)	Month	367.06	693.99	688.48
DCAAS-Silver Level (4 x 4)	Month	365.41	692.36	686.86
DCAAS-Silver Level (4 x 8)	Month	366.01	692.96	687.45
DCAAS-Silver Level (4 x 16)	Month	367.21	694.14	688.63
DCAAS-Silver Level (8 x 8)	Month	366.32	693.26	687.75
DCAAS-Silver Level (8 x 16)	Month	367.52	694.44	688.93
DCAAS-Silver Level (8 x 32)	Month	369.93	696.81	691.31
DCAAS-Silver Level (12 x 12)	Month	367.23	694.15	688.64
DCAAS-Silver Level (12 x 32)	Month	370.23	697.12	691.61
DCAAS-Silver Level (12 x 64)	Month	375.04	701.86	696.35
DCAAS-Silver Level (16 x 16)	Month	368.13	695.05	689.54
DCAAS-Silver Level (16 x 32)	Month	370.54	697.42	691.91
DCAAS-Silver Level (16 x 64)	Month	375.35	702.16	696.65
DCAAS-Silver Level (24 x 32)	Month	371.15	698.02	692.51
DCAAS-Silver Level (24 x 96)	Month	380.77	707.50	701.99
DCAAS-Silver Level (24 x 192)	Month	395.20	721.72	716.22
DCAAS-Bronze Level (2 x 4)	Month	344.88	672.39	667.27
DCAAS-Bronze Level (2 x 8)	Month	345.48	672.99	667.86
DCAAS-Bronze Level (2 x 16)	Month	346.68	674.17	669.04
DCAAS-Bronze Level (4 x 4)	Month	345.03	672.54	667.42
DCAAS-Bronze Level (4 x 8)	Month	345.63	673.14	668.01

	Unit	FY 2019	FY 2020	FY 2021
DCAAS-Bronze Level (4 x 16)	Month	$346.84	$674.32	$669.19
DCAAS-Bronze Level (8 x 8)	Month	345.94	673.44	668.31
DCAAS-Bronze Level (8 x 16)	Month	347.14	674.62	669.50
DCAAS-Bronze Level (8 x 32)	Month	349.55	677.00	671.87
DCAAS-Bronze Level (12 x 12)	Month	346.85	674.33	669.21
DCAAS-Bronze Level (12 x 32)	Month	349.85	677.30	672.17
DCAAS-Bronze Level (12 x 64)	Month	354.66	682.04	676.91
DCAAS-Bronze Level (16 x 16)	Month	347.76	675.23	670.10
DCAAS-Bronze Level (16 x 32)	Month	350.16	677.60	672.47
DCAAS-Bronze Level (16 x 64)	Month	354.97	682.34	677.21
DCAAS-Bronze Level (24 x 32)	Month	350.77	678.20	673.07
DCAAS-Bronze Level (24 x 96)	Month	360.39	687.68	682.56
DCAAS-Bronze Level (24 x 192)	Month	374.82	701.91	696.78
Additional Storage Fee (Per GB)	Month	0.039	0.039	0.039
Long Term Retention				
Data Back-up Fee (Per GB)	Month	0.050	0.050	0.050

Telecommunication Services

KANWIN Services
KANWIN Router Only

	Unit	FY 2019	FY 2020	FY 2021
1-6 nodes	Month	355.77	355.77	355.77
7-23 nodes	Month	806.45	806.45	806.45
>23 nodes	Month	1,200.11	1,200.11	1,200.11
ACD Standard	Month	$23.78	23.78	23.78
ACD Enhanced	Month	30.01	30.01	30.01
ACD Premium	Month	10.68	10.68	10.68
Wireless—combined service	Month	54.73	54.73	54.73
Network Connect [16]	Month	59.11	42.11	42.11
Voice Mail	Month	2.80	2.80	2.80
Dial Tone	Month	14.16	14.16	14.16
Long Distance		At Cost	At Cost	At Cost
International Calls		At Cost	At Cost	At Cost
DS3 Router	Month	N/A	N/A	N/A
Telecom Professional Services [17]	Hour	70.00	70.00	70.00
Wiring Technicians	Hour	38.00	38.00	38.00

Professional Services

	Unit	FY 2019	FY 2020	FY 2021
Professional Technical Services [17]	Hour	73.50	73.50	73.50
Remote Connectivity	Per User/Month	11.19	Included in Network User Services	
FTP Service	Per User/Month	12.27	14.72	14.72
SharePoint Services	Per User/Month	28.00	Included in O365 Rate	
List Serve Distribution	Prescriber List	0.10	0.10	0.10
Network User Services [18]	Per User/Month	100.71	100.71	100.71
Virtual Server RAM Usage [19]	Per 2GB/Month	60.00	See DCAAS	See DCAAS
Tivoli [18]	Per GB/Month	1.00	See DCAAS	See DCAAS
SAN Storage [18]	Per GB/Month	0.35	See DCAAS	See DCAAS

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[16] FY 2019: Includes $42.11 node service and $17.00 enterprise security services (shown as ESS on invoice)

[17] Work performed outside the hours of 7:00am–6:00pm, Monday–Friday, and escalated projects taking immediate priority will be charged at 1.5 times the current rate.

[18] FY 2019: Includes $89.69 network user and $11.02 information security support consolidated AD (shown as CADSS on invoice)

[19] Cost is built into DCaaS fee.

	Unit	FY 2019	FY 2020	FY 2021
Sitefinity Hosting (small)	Per Site/Month	$230.89	$277.07	$277.07
Sitefinity Hosting (large)	Per Site/Month	260.25	312.30	312.30
Web Application Hosting	Per App/Month	97.26	116.71	116.71
Web Development Services	Hour	80.00	96.00	96.00
Small Agency Backup Monitoring	Per Agency/Month	25.84	25.84	25.84
Windows Update Services	Per Agency/Month	102.71	150.00	150.00
Service Desk	Per User/Month	10.90	10.90	

KITO

	Unit	FY 2019	FY 2020	FY 2021
Enterprise Project Management ($250k - $1m)	Quarter	0.40 %	0.40 %	0.40 %
Enterprise Project Management ($1m - $5m)	Quarter	0.30	0.30	0.30
Enterprise Project Management ($5m - $10m)	Quarter	0.20	0.20	0.20
Enterprise Project Management (> $10m)	Quarter	0.04	0.04	0.04
Infrastructure Projects	Quarter	0.03	0.03	0.03

Security (KISO)

	Unit	FY 2019	FY 2020	FY 2021
Enterprise Security Services [20]	Month		$17.00	$17.00
Security Consulting (Ad hoc)	Hour	100.00	100.00	100.00

Office O365 E-mail License Costs [21]

	Unit	FY 2019	FY 2020	FY 2021
K-1	Month	8.65	N/A	N/A
G-1	Month	11.21	14.62	18.48
G-3	Month	18.24	20.88	25.31
PSNT	Month	3.50	3.54	3.54
Encrypt	Month	0.85	0.85	0.85

Administrative Surcharge

Applies to all OITS rates listed above

	FY 2019	FY 2020	FY 2021
(cannot be paid with federal funds)	2.50 %	2.50 %	2.50 %

Contact: Agencies needing assistance for budgeting IT services should contact Donna Shelite at (785) 296-3463.

Master Lease Purchase Program interest rates

In May 2018, interest rates ranged from 2.5% to 2.9% depending on length of term. Rates will vary and agencies needing more specific information regarding interest rates should contact Pat Higgins at (785) 296-2145.

	FY 2019 Est. Price	FY 2020 Est. Price	FY 2021 Est. Price
Price & Cost Guidelines for Selected Equipment Items			
Statewide Contract Management Fee			
Applied to orders against statewide requirements contracts	0.5 %	0.5 %	0.5 %
New Motor Vehicles—Passenger (Fleet Prices)			
Sedan, 4-door compact	$15,500	$16,000	$16,500
Sedan, 4-door midsize	17,700	18,300	18,800
Sedan, 4-door midsize, hybrid	23,400	24,100	24,800
Sedan, 4-door intermediate	21,400	22,000	22,700

[20] Enterprise Security Services (ESS)—FY 2020: Rate will be independent from the Network Connect Rate. Each agency will be charged by FTE.

[21] Office O365—FY 2020: Monthly rate will include cost for Sharepoint. Agency will be responsible for cost of site development.
FY 2021: Monthly rate increase is due to license contract expiring. This estimate will be updated once the RFP process is completed and finalized.

Price & Cost Guidelines for Selected Equipment Items	FY 2019 Est. Price	FY 2020 Est. Price	FY 2021 Est. Price
New Motor Vehicles—Trucks (Fleet Prices)			
Mini-Van, 7-passenger	$22,200	$22,800	$23,500
Van, 8-passenger	25,500	26,200	27,000
Van, 12-passenger	26,000	26,700	27,500
Van, 15-passenger	28,500	29,400	30,200
Full Size SUV	37,400	38,500	39,700
Suburban, 3/4 ton (2 w/d)	40,000	41,200	42,400
Midsize Utility Vehicle	25,000	25,700	26,500
Pickup, 1/2 ton	19,800	20,400	21,000
Pickup, 3/4 ton	22,700	23,300	24,000
Pickup, 1 ton	25,200	26,000	26,800
4 WD pickup, 1/2 ton	22,100	23,800	24,500
4 WD pickup, 3/4 ton	24,800	25,500	26,200
Cabs and chassis, 1 ton	27,900	28,700	29,600
1 ton, with flat bed and hoist	46,300	47,600	49,100
Cab and chassis, 1-1/2 ton (GVW up to 17,000 pounds)	41,200	42,400	43,700
Vertical Files - Economy			
2-drawer, metal, letter	241	253	265
2-drawer, metal, legal	273	286	300
4-drawer, metal, letter	335	351	369
4-drawer, metal, legal	374	392	412
5-drawer, metal, letter	446	468	491
5-drawer, metal, legal	495	510	545
Traditional Style Steel Desks			
Flat top, 72" x 36", executive, double pedestal	977	1,025	1,077
Flat top, 60" x 30", executive, double pedestal	1,017	1,067	1,121
60" x 30", executive, single pedestal	686	720	756
Double pedestal typing return	1,070	1,125	1,180
Contemporary Style Steel Desks			
Double pedestal, 75"W x 30"D x 29"H	876	919	965
Double pedestal, 60"W x 30"D x 29"H	743	780	819
Single pedestal, 66"W x 30"D x 29"H	710	745	782
Single pedestal, side return, w/drawers, 75"W x 30"D x 29"H	1,075	1,128	1,185
Shell Chairs (fabric inner shell)			
Swivel tilt arm chair	285	299	314
Steno posture	243	255	267
Stack chair	1,266	1,329	1,395
Economy stack chair	73	76	80
Ergonomic Style Office Chairs			
Executive high back swivel tilt w/arms & casters	436	457	480
Executive low back swivel tilt w/arms & casters	412	432	454
Manager swivel tilt w/arms & casters	237	248	261
Secretarial swivel	398	418	438
Facsimile Equipment			
Plain paper fax, 8 MB, 33.6 Kbps, Brother 4100e	277	277	277
Plain paper fax, 8 MB, 33.6 Kbps, Brother 4750e	461	461	461

	FY 2019 Est. Price	FY 2020 Est. Price	FY 2021 Est. Price
Rental Photocopiers (price quoted is monthly)			
Digital Copier with stand, speed of 25 copies per minute, 5,000 copies per month volume	$152	$239	$239
Digital Copier with stand & sorter, speed of 30 copies per minute, 12,000 copies per month volume	282	273	273
Digital Copier with sorter, automatic document feeder & automatic duplexing, speed of 50 copies per minute, 40,000 copies per month volume	474	416	416
Digital Copier, console style, sorter, automatic document feeder & automatic duplexing, speed of 60 copies per minute, 60,000 copies per month volume	667	478	478
Digital Copier, console style, sorter, automatic document feeder & automatic duplexing, speed of 80 copies per minute, 100,000 copies per month volume	963	689	689

Rates may differ depending upon the contractor involved.

Monitors

19" Flat Panel	115	95	90
24" Flat Panel	165	160	155
27" Flat Panel	210	205	200

Laptop/Notebook Microcomputers

Desktop CPU Replacement (Dell Optiplex 3050r)	$480-$750	$470-$740	$460-$730
Standard Laptop (Dell Latitude 15 3000 series)	450-800	450-880	440-850
Ultralight Laptop (Dell Latitude 14 7000 series)	1,050-1,600	1,030-1,560	1,040-1,500