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DEPARTMENT FOR LOCAL GOVERNMENT

SPGE Program

Interim Joint Committee on Local Government

October 25, 2022

What are Special Purpose Governmental Entities (SPGEs)?

SPGEs are independent, political subdivisions of the state, government entities that exercise less than statewide jurisdiction and are organized for the purpose of performing specific services within limited boundaries.

A few examples include libraries, tourism, and extensions.

Topics

DLG Compliance

New SPGE System Update

LRC Annual Compliance Report

DLG Responsibility per KRS 65A

Create and maintain:

- Online central registry
- Online reporting portal
- Online public access portal

Monitor compliance:

- Track status changes when notified (Newfound, Dissolution, and Housing Authorities)
- Prepare statutorily required reports
- Activate noncompliance procedures

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New SPGE System Update

Project Start Date: 1/1/2021
Est Project End Date: 12/31/2024

On Schedule

SPGE Automated System – KRS 65A

In Process	Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)
	Message Center Development (Allow 60 Days between Phases)
	Phase II – Public Portal (Search, reporting, download, and compare)
In Process	Phase III – DLG Dashboard (Status changes, record administration, and communications)
In Process	Phase IV – Compliance (Statute-driven deadlines and reporting)
	Phase V – Reporting (Ad hoc reporting)
In Process	Phase VI – Training Portal (Group Training, webinars, interactive training, classroom signups)
	Ongoing Maintenance and Updates (Feature requests, statute changes, and other)

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Phase I – Release Calendar

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Releases 1 and 2
11/19/21 to 1/31/22

- Build Initial Registration Forms (MVP)
- Registration - Save Registration
- Registration - Step 1 - Verify SPGE Contact information
- Registration - Step 2 - Oversight Agencies
- Registration - Step 3- SPGE Creation and Operational Information

- Registration - Step 4 - FY Registration Fee
- Registration - Step 5 - Taxes and Fees
- Registration - Step 6 - Board Meetings
- Registration - Step 7 - Board Members
- Registration - Payments
- Registration Payments - Call Back Service

- SPGE Management - Upload Files
- SPGE Management - Account Information Screen/Tab
- SPGE Management - Account Information Subsection
- SPGE Management - Account Information Subsection - Taxes and Fees
- SPGE Management - View and Download Files

- In Production
- In Development
- In Planning

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Releases 1 and 2
11/19/21 to 1/31/22

- Non-Enterprise Budget Estimates
- Non-Enterprise Budget Amendments
- Non-Enterprise - Year End Actuals
- Enterprise Budget Estimates
- Enterprise Budget - Exception Report

- Enterprise Budget Year End Actuals
- Identity Management - Setup User Account
- Identity Management - User Account - Update account information
- Identity Management - User Account - Password Change
- Identity Management - Deactivate User

- Identity Mgmt - Assign Roles
- Identity Management - Verify Email/Account Activation
- Identity Management - User Account - Forgot Password
- Identity Mgmt - Login Process
- Identity Management - Manage Roles
- Identity Management - Setup Internal User Account

- In Production
- In Development
- In Planning

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Releases 1 and 2
11/19/21 to 1/31/22

- SPGE Dashboard - Checklist
- SPGE Dashboard - Summary Fields
- SPGE Dashboard - Closed Checklist
- User Dashboard- General System alert
- User Dashboard - SPGE List
- Bulk Creation of User Accounts
- Water Districts - Restructure Tables
- Water District - Budget Amendments
- DLG Admin Panel - User List
- DLG Admin Panel - New SPGE Creation
- Data Migration
- Data Model
- Specialty Form - Registration - Housing Authority Exclusion
- Create Exception for Budget Data
- Create Authorizations

- In Production
- In Development
- In Planning

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Release 3a (4/8/22)

- SPGE Calendar Doc
- EB Estimates
- EB Amendments
- EB Year End Actuals
- Registration Fee Exemption
- Whitelist Capability
- SPGE Dashboard - User List Section

Release 3b (7/1/22)

- GE – Grant Form Process
- GE – Grant Upload Process
- GE – Grant Approval Process

GE – Grant Exemption

- MU – W/Components Budget Form
- MU – Fed Form Upload w/Components
- MU – Fed Form Upload w/o Components
- MU – Pub Form Upload w/Components
- MU – Pub Form Upload w/o Components

MU – Municipal Utilities

Release 4 (10/7/22)

- SPGE Dashboard Status Change
- Housing Authority (Cycle 4)
- Identity Mgmt.
- Save Filter/ List
- SPGE Position Change
- LRC Report (Draft) (9/30/22)

Release 4b (10/21/22)

- Audit Process
- LRC Report (Final)
- Data Integrity Reports - Check – LRC (5002)

- In Production
- In Development
- In Planning

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Release 5
(11/30/22)

- Audit Process
- Fire Departments
- ODIN – Dissolution Process
- Data Integrity Check
- SPGE Dashboard Status Changes
- SPGE Dashboard SC Notifications
- SPGE Dashboard SC Notes
- Identity Mgmt.
- Save Filter/List
- C-4 Data Migration Compliance Spreadsheet

Release 6
(01/06/23)

- Budget Forms (Grant Related Enhancements)
- Grant Exemption- Budget Form
- Registration – Oversight Agency email

Release 7
(1/6/23)

- SPGE Dashboard Oversight Agencies - Email Address
- Data Integrity Check - Continued

Enhancements/ Data Migration (as needed)

- In Production
- In Development
- In Planning

Phase I – SPGE Reporting Portal (Foundation – Phase III, IV, and VI)

Release 8 (1/31/23)	**Release 9** (2/28/23)	**Release 10** (3/31/23)	**Transition Time Between Phase (60 days)**
Municipal Utilities	Ethics Ordnance	ODIN – Declassify Process	DLG Message Center
Identity Mgmt. – Secondary Accts	Support Page	ODIN – Newfound Process	Grant Approval/Denial
Identity Mgmt. – Clone Accts	Training Part 2	Housing Authority	Fire Approval/Denial
Training Part 1	SPGE User Dashboard Updates	Training Part 3	
Reporting	User Dashboard Updates	SPGE User Dashboard	
		User Dashboard	

Enhancements/ Data Migration (as needed)

- In Production
- In Development
- In Planning

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Phase 2 – System Release Calendar

COT and DLG Phase II Public Portal - Prioritization Started - October 1, 2022

Post-Message Center & Phase II – SPGE Public Portal

Post-Message Center

DLG User Maintenance & Access

CSD Alerts to SPGE

Adhoc Survey Data Collection

Newspaper Accounts Payable

Newspaper Account Receivable

"Are you a SPGE" interactive system

Oversight Agency Access – Assist Compliance

Area Development Access – Assist Compliance

Phase II – SPGE Public Portal

Historical & New Data Views/Downloads

Registration Data
Budget Data
Audit Data
Compliance Data
Survey Data

- In Production

- In Development

- In Planning

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2022 LRC Compliance Report Update

Data as of October 21, 2022

Footnotes & Assumptions

- Updated Data is as of – October 21, 2022, 11:30 am
  - Compliance is based on all Active SPGEs

To do

- Audit Feature is currently being tested by the CSD Branch
- CSD is performing a Data Integrity Audit
  - Non-Compliance data is truly noncompliant
  - Compliant submissions are truly compliant
  - Audit to find Lost and Blank submission forms
  - Audit of all non-active SPGEs

Findings:

- Budgets submitted with 0's – Tasks are being reopened for SPGE to fix.
- Municipal Utilities - Each Federal and Public Form needs to be reviewed to determine the Audit Requirements and load to the new system
- Fire Protection Districts are currently under Development
- Housing Authority Exemption Forms Verifications

- Column D – Provides the SPGE's current compliance

- Column I – "Participation Date"
  - On the 1st day of the fiscal year, the SPGE participated in KRS 65A

- "Compliance Status at Due Date"
  - What the SPGE's compliance status was one day after the due date

- "Audit Requirement" and "Audit Compliant" feature is still in development. Please see the calendar for the release date.

Overall Compliance

Compliant (%)	Non-Compliant (%)	Compliant (#)	Non-Compliant (#)
82.14%	17.86%	1177	256

Compliance by Cycle

Cycle	Compliant (%)	Non-Compliant (%)	Compliant (#)	Non-Compliant (#)
Jan-Dec	75.74%	24.26%	103	33
Apr-Mar	70.73%	29.27%	29	12
Jul-Jun	83.57%	16.43%	1038	204
Oct-Sep	50.00%	50.00%	7	7

LRC Compliance Report Update

Compliance by District Type

District Type	Compliant (%)	Non-Compliant (%)	Compliant (#)	Non-Compliant (#)
Agricultural Extension	100.00%	0.00%	120	0
Air Board	80.85%	19.15%	38	9
Ambulance	78.05%	21.95%	32	9
Area Development	66.67%	33.33%	10	5
Area Planning Commission	87.50%	12.50%	14	2
Cable Commission	66.67%	33.33%	2	1
Cemetery	100.00%	0.00%	1	0
Community Action Corporation	87.50%	12.50%	21	3
Community Correction Advisory	100.00%	0.00%	1	0
Community Improvement	66.67%	33.33%	4	2
Courthouse Commission	0.00%	100.00%	0	1
Drainage and Levee	66.67%	33.33%	2	1
Emergency Telephone Service	69.23%	30.77%	9	4
Fire Protection	63.55%	36.45%	68	39
Flood Control	100.00%	0.00%	1	0
Hospital	77.78%	22.22%	7	2
Housing Authority	77.32%	22.68%	75	22
Humane Society	100.00%	0.00%	1	0
Industrial Development Authority/Economic Development	73.20%	26.80%	71	26
Library	89.66%	10.34%	104	12
Mass Transit Authority	100.00%	0.00%	7	0
Mental Health	100.00%	0.00%	10	0
Other	100.00%	0.00%	7	0

LRC Compliance Report Update

Compliance by District Type - Continued

District Type	Compliant (%)	Non-Compliant (%)	Compliant (#)	Non-Compliant (#)
Parks and Recreation	46.67%	53.33%	7	8
Performing Arts	0.00%	100.00%	0	1
Public Health	97.46%	2.54%	115	3
Public Health (Fee Exemption)	93.10%	6.90%	54	4
Public Utilities (With Components)	84.62%	15.38%	11	2
Public Utilities (Without Components)	100.00%	0.00%	1	0
Recycling	100.00%	0.00%	1	0
Regional Jail	50.00%	50.00%	2	2
Rescue Squad	41.18%	58.82%	7	10
Riverport Authority	90.00%	10.00%	9	1
Road District	0.00%	100.00%	0	1
Sanitation District	69.23%	30.77%	18	8
Senior Center	0.00%	100.00%	0	1
Sewer District	58.33%	41.67%	7	5
Soil and Water Conservation	95.12%	4.88%	117	6
Solid Waste Management	71.43%	28.57%	5	2
Tourist and Convention	75.23%	24.77%	82	27
TVA Municipal Utilities (With components)	85.71%	14.29%	6	1
TVA Municipal Utilities (Without Components)	100.00%	0.00%	4	0
Utility Provider (Combined)	100.00%	0.00%	1	0
Water Commission	66.67%	33.33%	6	3
Water District	71.82%	28.18%	79	31
Watershed Conservancy	95.24%	4.76%	40	2

LRC Compliance Report Update

Kentucky Department for Local Government

SPGE Program

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