



**Andy Beshear**  
GOVERNOR

**CABINET FOR HEALTH AND FAMILY SERVICES**  
**DEPARTMENT FOR COMMUNITY BASED SERVICES**

**Eric Friedlander**  
SECRETARY

275 East Main Street, 3W-A  
Frankfort, Kentucky 40621  
Phone: 502-564-3703  
Fax: 502-564-6907

**Lesa Dennis**  
ACTING COMMISSIONER

February 28, 2023

Mr. Mark Mitchell  
Block Grant Coordinator  
Legislative Research Commission  
Room 172, Capitol Annex  
Frankfort, Kentucky 40601

Dear Mr. Mitchell:

Enclosed is the preliminary Social Services Block Grant (SSBG) 2023 State Plan. This plan specifies the proposed use and distribution of SSBG federal funds.

Please assign to the appropriate oversight committee(s). If you require additional or further clarification, please contact Laura Begin at [Laura.Begin@ky.gov](mailto:Laura.Begin@ky.gov).

Sincerely,

DocuSigned by:

A handwritten signature in blue ink that reads "Lesa Dennis".  
2597068C24204CA...

Lesa Dennis  
Acting Commissioner

Enclosure



**Andy Beshear**  
GOVERNOR

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**DEPARTMENT FOR COMMUNITY BASED SERVICES**

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**Lesa Dennis**  
ACTING COMMISSIONER

February 28, 2023

To the Citizens of the Commonwealth:

It is my pleasure to share with you a copy of the State Fiscal Year 2023 Annual Plan for the intended use of Social Services Block Grant funds, in accordance with Title XX of the Social Security Act. The annual plan is based on estimated receipts in accordance with federal authorization. Should the actual appropriation differ, the plan will be changed accordingly.

The plan focuses on continuation of those programs mandated by Kentucky Revised Statutes and the family-based approach to service delivery as authorized by the Kentucky General Assembly. This annual plan does not reflect the total social services programs, as some programs and services are not funded by the Social Services Block Grant.

Informed and active citizens' participation continues to be a major factor in the prudent use of scarce resources. Please send any comments or recommendations to Tracy DeSimone, Division of Protection and Permanency, 275 East Main Street, 3E-A, Frankfort, Kentucky 40621 or [tracy.desimone@ky.gov](mailto:tracy.desimone@ky.gov).

Your assistance in helping us develop and implement the best possible social services programming is appreciated.

Sincerely,

DocuSigned by:  
*Lesa Dennis*  
2597068C24204CA...

**Lesa Dennis**  
Acting Commissioner



## **Cabinet for Health and Family Services**

### **Department for Community Based Services**

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#### **Title XX –Social Services Block Grant Preliminary Annual Plan**

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**July 1, 2023, Through June 30, 2024**

Frankfort, Kentucky  
February 28, 2023

**TEAM**  
**KENTUCKY**

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## Introduction

The Omnibus Budget Reconciliation Act of 1981 enacted by Congress and signed by the President on August 13, 1981, amended Title XX of the Social Security Act to create the Social Services Block Grant (SSBG). This act, P.L. 97-35, became effective October 1, 1981. The purpose of P.L. 97-35 was to consolidate federal assistance for social services into a single grant, to increase state and local flexibility in managing federal funds and enable states to target social services to those populations that might not otherwise be eligible for services needed to remain self-sufficient and economically independent.

With the Omnibus Budget Reconciliation Act of 1981, states were given the responsibility for determining what services, supports, and activities they deemed appropriate to meet the overall goals of the SSBG program. They were also asked to determine which entities or service delivery methods to provide, the eligibility requirements for individuals to be served, and the entities, network, or administrative functions to administer these funds. The Commonwealth of Kentucky (Commonwealth) has determined that in addition to the existing federal program goals, training is a critical need for staff dedicated to the delivery of services and supports to meet these goals. Significant components of Kentucky's annual plan to ensure successful program outcomes include:

- Adult protective services;
- Child protective services;
- Home safety services;
- Juvenile services;
- Residential treatment services; and
- Staff training program.

The Commonwealth provides for legislative oversight, review, and approval processes for all federal block grants, as set forth under Kentucky Revised Statutes (KRS) 45.350 through 45.359. The legislative research commission (LRC) is the fact-finding and service body for the state's legislature, and as such refers the block grant application to the designated review body of the general assembly.

Kentucky's annual plan for the intended use of the SSBG funds is prepared in accordance with 42 U.S.C. Sec. 1397; KRS 45.350 through 45.359; CFR Title 45, Part 96; and other applicable policies and procedures established by the Cabinet for Health and Family Services (CHFS/cabinet), Department for Community Based Services (DCBS/department).

## Designation of The State Agency and Organization

The Cabinet for Health and Family Services, Department for Community Based Services is the official title of the single state agency responsible for the direction, use, and reporting of the comprehensive activities in compliance with the proper and efficient operation of social services programs in the Commonwealth of Kentucky. Organizational charts for both the cabinet and DCBS are in **Appendix I**.

## Program Year

Kentucky's program year coincides with the state fiscal year (SFY). This annual plan covers the period from July 1, 2023, through June 30, 2024. Funds expended for contractual services, supports, and activities are set out in written agreements with effective dates that coincide with the SFY dates.

Since the federal fiscal year (FFY) runs from October 1<sup>st</sup> through September 30<sup>th</sup>, the estimated SSBG federal funds available for the SFY are obtained by using one-fourth of the funds appropriated in FFY 2023 and three-fourths of the funds appropriated in FFY 2024. **See Appendix II.**

## Goals and Objectives

SSBG may be used to provide services directed toward one or more of the following five national goals:

- Achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency;
- Achieving or maintaining self-sufficiency, including reduction or prevention of dependency;
- Preventing or remedying neglect, abuse, or exploitation of children or adults unable to protect their own interests, or preserving, rehabilitating, or reuniting families;
- Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care; and
- Securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.

The Commonwealth has designed its social services programs to address these goals and supports a delivery network to ensure successful outcomes for the goals. The following are service categories and their related goals under SSBG:

- **Adult protective services:** Services designed to prevent and remedy abuse, neglect, or exploitation, increase employability and/or self-sufficiency, prevent inappropriate placement, or secure appropriate placement.
- **Child protective services:** Services to children and their families to prevent or remedy abuse, neglect, or exploitation.
- **Home safety services:** Services to families to enable them to improve or maintain adequate in-home living and family well-being.
- **Juvenile services:** Services to children and their families to prevent or remedy abuse, neglect, or exploitation, and to help prevent the youth's future involvement with the juvenile or criminal justice system.
- **Residential treatment services:** Community-based residential care and treatment for children with behavior problems to enable the individual to become self-supporting, function better in the community, and avoid inappropriate institutionalization.
- **Staff training program:** Professional development and training for DCBS staff.

## Eligibility Criteria

To be eligible for social services provided under SSBG, a person must be a resident of Kentucky, or a juvenile classified as a runaway. The provision of service depends not only upon the need of the individual or family, but also upon the availability of the service at that time. The quantity of block grant services available at any given time must be held at a level that will assure the availability of services throughout the program year within the limitations of the budget. Eligible clients who cannot be served at the time of their request will be so notified. There are no fees for services.

In addition, to determine "adult" or "child", the following definitions apply:

- “Adult” as defined by KRS 209.020 means “a person eighteen (18) years of age or older who, because of mental or physical dysfunctioning, is unable to manage his or her own resources, carry out the activity of daily living or protect himself or herself from neglect, exploitation, or a hazardous or abusive situation without assistance from others, and who may be in need of protective services.”
- KRS 199.011 and 600.020 define “child” as “any person who has not reached his eighteenth (18<sup>th</sup>) birthday”.
- Additional clarification regarding the definition of child can be found in KRS 610.110 which states “...upon motion of the child and agreement of the Department of Juvenile Justice or the Cabinet, as appropriate, the court may authorize an extension of commitment up to age twenty-one (21) for the purpose of permitting the Department of Juvenile Justice or the cabinet, as appropriate, to assist the child in establishing independent living arrangements if a return to the child’s home is not in his best interest.”

## **Planning and Budgeting Process**

The planning and budgeting process within DCBS follows the state budget process. In early fall of odd numbered years, the Governor provides each department within state government an indication of the allowable limits of the budget for the next biennium. The commissioners of the departments then meet with executive staff to indicate the budget limitations to be expected. Each individual program director completes budget forms using input from staff, current levels of service, anticipated increases or decreases, and program evaluation and monitoring. These budget forms are in the nature of a budget request.

The department’s Division of Administration and Financial Management (DAFM) provides technical assistance to DCBS divisions. The budget forms from DCBS are consolidated into a total budget request for the cabinet. The cabinet then submits its request to the Office of State Budget Director for review, recommendations, and inclusion in the Governor’s budget request to the general assembly, during the regular session of the legislature. The budget includes SSBG funds.

The Kentucky legislature typically meets in January of even-numbered years to implement the biennial budget. The product of the legislative session is an appropriation for each of the next two years including all funding sources. This SSBG plan is based on continuation of existing funding. A budget reduction plan to manage any federal or state fund reduction has also been developed.

## **Data Used to Determine the Proposed Use and Distribution of Funds**

The following data was used to determine the clients to be served, and the use and distribution of funds:

- State-mandated programs;
- Prior and present service utilization;
- Funds available;
- Information obtained from surveys, focus groups, program evaluation, and monitoring;
- Availability of other funds for the service; and
- Historical data on trends.

Funds are used to provide services directly by departmental staff located throughout Kentucky or by purchase of service contracts with individual, public, or private providers. These contracts are individually negotiated based on responses to the DCBS request for proposals and sole source negotiations.

Projected expenditures for the 2023-2024 fiscal year were based on actual cost data for prior years, the Kentucky Executive Branch budget, and supporting data prepared for that document. Since direct services staff provide most of the state-mandated services, this accounts for 90% of the funds expended. The service regions’ estimates for the proposed use of funds are based on utilization of services and staff costs.



The clients served and expenditures are only estimates and may be changed throughout the program year, depending upon the need and demand for a specific service. For fiscal year 2023, an estimate of clients and expenditures by service is included as **Appendix III**.

DCBS considers SSBG a revenue source, not a particular program. Estimated receipt of the federal funds applied for is approximately 25% per quarter. DCBS funds and administers all services addressed in this annual plan. In addition, there will be no transfer of funds from another block grant to SSBG or vice versa.

Administrative costs include funds expended for training, administrative support, or overhead costs. The portion of federal block grant funds to be used for administrative costs during SFY 2023 is projected at \$1,063,100.00.

## Needs Assessment

Estimates of needed services are derived from historical data regarding the need and use of these funds, departmental efforts to maximize resources, issues and problems identified by DCBS service regions, and information contained in the Kentucky Executive Branch budget. Needs assessment is a researched effort by DCBS, which includes data analysis and considerations from staff, clients, and community partners. Data analysis results from information pulled from Kentucky's Comprehensive Child Welfare Information System (CCWIS), known in Kentucky as The Worker's Information System (TWIST), and quality assurance reviews. TWIST contains not only data used for child welfare, but also contains data regarding adult protection cases.

Priority is placed on services mandated by Kentucky statutes, as state general fund dollars are not available to meet the total costs of the mandated services. **See Appendix IV**.

## Method of Service Delivery

DCBS uses two different, but related, methods of service delivery. Services are delivered through the direct service method or the contracted service method.

- Direct service method--This method involves the provision of services by DCBS regional staff assigned to each of the 120 counties of the Commonwealth. Generally, these services are necessary to carry out the state-mandated programs.
- Contracted service method--This method involves the purchase of services from another public or private agency through a contractual or written agreement. The contractual arrangements specify the services to be provided and the geographical area to be served. While these services support the state-mandated programs, the purchase of services through contractual arrangements have been determined to be more cost effective than to provide them directly, and direct service staff make referrals for these services. In certain areas of the state where direct service staff are not sufficient to meet service delivery needs, and there is an agency with the capability of providing the needed services, a contract is awarded rather than expanding state staff.

## Purchase of Services

Purchase of services by contract is an allowable method of service delivery under the block grant concept and is utilized within budget limitations. **See Appendix V**. Faith-based organizations providing contract services for the cabinet will be treated in accordance with CFR Title 45, Parts 87 and 96.18.

Proposed contractual arrangements and contract amounts projected within this plan are subject to review and modification based on the availability of funding, legislative committee oversight, and cabinet oversight processes. Inquiries regarding contracts for the provision of services and training under the block grant should be directed to the Office of Administrative and Technology Services, 275 East Main Street, 4EC, Frankfort, Kentucky 40621.

## Approach to Service Delivery

The mission of DCBS is to build an effective and efficient system of care with Kentucky citizens and communities to:

- Reduce poverty, adult and child maltreatment, and their effects;
- Advance person and family self-sufficiency, recovery, and resiliency;
- Assure all children have safe and nurturing homes and communities; and
- Recruit and retain a workforce and partners that operate with integrity and transparency.

It is the department's vision to be a human services system of care that operates with integrity and loyalty to a code of ethics requires courage to take responsibility for providing the highest quality of service to the vulnerable. The Department for Community Based Services is an innovative, solutions-focused learning organization built on a foundation of transparency in action and with accountability for results. Both within the organization and among our partners, we thrive on a culture of respect for diversity of opinion that is nurtured through open communication. Highly performing and committed, we are unified in our goal of excellence in achieving outcomes for those we serve with the level of quality we would demand for our own families.

## Role of Other Public and Private Agencies In the Service Delivery System

Services provided by departmental county offices are coordinated with other community resources and services through joint planning with other social planning bodies in the community, such as Community Action Agencies, Area Agencies on Aging, private child-caring (PCC) facilities and private child-placing (PCP) agencies, and regional committees/workgroups. In addition, the social service worker assigned to each family has the responsibility to coordinate services for the clients to avoid any possible duplication of services and to identify, evaluate, and utilize all available state, federal, and local resources that may be helpful to the family.

## Catalog of Services and Activities

The catalog of services is arranged in alphabetical order by service title. Each service contains a definition of the service, eligibility criteria, method of service delivery (direct service provided by DCBS service regions and/or service provided through written agreements), statewide and regional estimates of individuals to be served, estimate of expenditures, source of funds, and an established goal. **See Appendix VI.**

Other activities include:

- Room and board, medical care, and emergency shelter care; however, they must be integral, but subordinate to the social services being provided;
- Staff travel necessary to the provision of a service is an allowable service cost;
- Educational services included in some service definitions are either non-academic or those that are not usually available free to the general public; and
- Case management and activities, necessary to assess the needs of the individual or family, and develop or update the social services plan, are allowable activities under every service.

## Quality Assurance

The primary quality assurance mechanism in Kentucky is the continuous quality improvement (CQI) process. CQI is a continuous process that identifies and evaluates problems, uses a multidisciplinary approach, and focuses on systems rather than individuals. The CQI process underlies all programs and services provided by DCBS. The mission of the CQI process is to allow for a comprehensive department-wide process that staff uses to evaluate performance and create plans for improvement.

Since its introduction into the agency in 2000, the CQI process has allowed for significant progress through program development and implementation of the following corresponding strategies:

- Promoting a culture to sustain quality assurance and improvement;
- Ensuring that TWIST is capable of capturing key program data;
- Implementing a statewide CQI case review process and establishing quality improvement teams to empower staff at all levels;
- Viewing recipients of services and community stakeholders as partners in the achievement of quality results; and
- Collaborating with external resources for data, reports, and research to assist in improving the quality of services and outcomes.

The CQI process has been the foundation for strategic planning and program improvement in all department program areas and continues to evolve with improved use and organization of data. The cabinet has learned that presentation, consistency, analysis, and the use of data are required to improve practice and policy and facilitate the evolution of the CQI process. Another effort, continuing from the strategic planning in child welfare and expanding into other program areas, is data fact sheets that measures Kentucky's progress towards child welfare outcomes by service region and state. These data fact sheets are made available to the service regions on a regular basis throughout the year.

The cabinet has also sought guidance from the Administration for Children and Families (ACF) and technical assistance from national consulting groups with the tracking, presentation, and archiving of data that are most useful to the agency and best capture the provision of services and progress towards desired outcomes. These data will continue to assist in the service regions and central office's quality assurance efforts.

## **Service Appeals/Hearings**

DCBS has established a hearings process and policies and procedures covering applicants for and recipients of service (or their representatives) who allege that an agency action resulted in the denial, suspension, reduction, modification, or termination of services or federally funded benefits. These protections and processes are established in 922 KAR 1:320 and 1:480.

## **Staff Training**

The Training Branch provides comprehensive training and professional development for new and tenured protection and permanency staff. Training development and delivery is based on standards applicable to adult learning theory with the goal of increasing programmatic knowledge and job skills while improving work performance and service delivery to families and children. Training is based on the philosophy of continuously improving delivery of services that are strength based, client oriented, family focused, culturally responsive, and dedicated to promoting and enhancing self-sufficiency and safety for families, and protection and permanency for children.

Departmental training is designed for staff to proceed through a systematic program of improving knowledge and behaviors while enhancing job skills as outlined in the Protection and Permanency Staff Training Checklist. The Protection and Permanency Staff Training Checklist defines minimal training/educational activities for each DCBS program area. Outcome driven skills, competency-based training and educational courses are offered at a statewide or regional level as determined by the DCBS Training Branch.

The DCBS Training Branch will focus its efforts in several major areas including:

- Introduction to Community Based Services course-familiarize all new hires of DCBS with the functions of DCBS programs related to protection and permanency and family support. This includes an overview of all programs in DCBS, their mission and expected outcomes. This training enables staff to understand the overall strategic plan

of DCBS and how their individual positions support Cabinet and DCBS goals as well as how they are supported by others within the DCBS. These trainings are conducted on a regional level.

- Protection and Permanency (P&P) Foundations in Child, Family, and Adults Services (Foundations) for New Employees-The skills-based training initiative provides learning opportunities for new employees in P&P. The DCBS Training Branch has created the Foundations training series to better meet the needs of DCBS new employees, supervisors, and regional staff by providing a training experience framework that is more efficient and effective. The enhanced opportunity consists of seven core trainings, along with an additional training for adult protective services (APS) staff, that provide a clear guide as to what job skills new employees can perform upon completion of the various training components. Participation in subsequent P&P Foundations training/tracks is contingent upon the job function the new employee is assigned.
  - The new P&P Foundations series contains the following elements:
    - Job function specific “training track” for adult protective services workers.
    - Content and activities reflective of job duties and tasks identified in the Developing a Curriculum (DACUM) process;
    - Necessary knowledge, skills, critical actions, and standards of practice (SOP) to effectively perform the job; and
    - Each new employee is required to complete virtual pre-requisites for the P&P Foundations prior to participating in the series:
      - Social Work Principles, which includes engagement skills and interviewing techniques
      - Intake Process Systems Part 1, which includes central intake process and medical indicators, human trafficking, and cultural humility
      - Child Protective Services Assessment Skills and Policies Part I, which includes trauma and safety and risk
      - Child Protective Services Assessment Skills and Policies Part 2, which includes intimate partner violence and court
      - Case Management Part 1: Case Planning, which includes readiness for change, service array, individual and family level objectives
      - Case Management Part 2: Out of Home Care, which includes visitation and reunification
      - Child Sexual Abuse in Child Welfare, which includes effects of sexual abuse and working with the victim
      - Foundations in Adult, Child, and Family Service: Adult Protective Services Parts 1-2, which is required for adult protective service staff
- Specialized and advanced trainings are offered to staff to increase skills in service delivery and are offered on an ongoing basis. This includes, but it is not limited to implicit bias, forensic interviewing, specialized referrals, and collaborative services in mental health and substance abuse. Other program specific training is offered on special topics at a regional and statewide level as requested. Trainings for increasing employee skills in working with foster/adoptive parents are also offered on an ongoing basis.
- The Protection and Permanency Leadership Series is required for Protection and Permanency Family Services Office Supervisors (FSOS), Service Region Administrator Associates (SRAA), and Service Region Clinical Associate (SRCA). The series consists of five trainings presented to supervisors over a five-month period. Each of the trainings focuses on the knowledge, skills, and opportunities for application of critical supervisory skills with a focus on learning reinforcement/transfer of learning for new and tenured employees.

The delivery of outcome-driven training/educational courses require a variety of learning methodologies and instructional delivery models, including but not limited to synchronous and asynchronous instruction, distance learning and instruction, and “on the job” learning experiences in field offices blended with web-based learning and instruction time that supports the opportunity to practice new skills. Training is delivered to assist staff in meeting federal mandates. This includes but is not limited to limited English proficiency in Title VI of the Civil Rights Act, Health Insurance Portability and Accountability Act (HIPAA), American with Disabilities Act, and training related to meeting outcomes of federal Child and Family Services Review (CFSR).

Each DCBS service region has the capability of developing, coordinating, and/or providing in-service training to meet their specific needs through the Regional Learning Specialist (RLS) as an extension of the DCBS Training Branch. The RLS works in conjunction with the DCBS Training Branch to ensure specific regionalized trainings are consistent and meet the training needs.

A two-year pre-service certification program for child welfare workers, the Public Child Welfare Certification Program (PCWCP), is an ongoing DCBS program that works in conjunction with accredited undergraduate social work programs to provide specific academic courses, DCBS agency training, and tuition and stipend for qualified applicants approved to participate. After completion of the program, the PCWCP graduate is obligated to two years of employment in the state's public child welfare system.

DCBS continues to operate the MSW Stipend Program for selected tenured employees approved to participate. The program was established in response to meeting agency staff federal CFSR standards, and enhancement of workforce professionalism. This program works in conjunction with accredited graduate social work programs. After completion of the program, the MSW stipend graduate is obligated to an agency service commitment based on semester for semester.

Measuring training effectiveness and performance improvement because of training activities is essential to assess learning and ensure training alignment with DCBS goals. Training evaluations and feedback are conducted using an expanded version of the four level Kirkpatrick model designed to evaluate competency-based training curriculum and transfer of learning.

The Training Records Information System (TRIS) maintains the DCBS online training registration system (ORS) and training tracking system for all DCBS staff and foster/adoptive parents. TRIS provides aggregate data and special reports on training events, training hours, participants, prerequisite notification, compliance with training requirements, staff demographics, information for training needs assessment and budgetary analysis, and other related information. Both active and historical training files are maintained in TRIS.

## **Office of Human Resource Management**

The cabinet's Office of Human Resource Management (OHRM) focuses on all aspects of employee services, including personnel administration, professional development and training, health, safety, and equal employment opportunity (EEO) issues. To ensure equal opportunity employment for all Kentuckians regardless of race, color, religion, national origin, disability, sex, or political affiliation, a function of this office is to monitor compliance with civil rights laws. In addition, the cabinet has developed an affirmative action plan, which complies with the State Affirmative Action Plan. Copies of this plan are available in the cabinet's EEO/Civil Rights Compliance Branch, 275 East Main Street, 5C-D, Frankfort, Kentucky 40621.

## **Non-Discrimination**

Cabinet programs are operated in accordance with 920 KAR 1:090 Client Civil Rights complaint process and pursuant to KRS 344.015 Implementation plans for Federal Civil Rights Act, Title VI by state agencies.

## **Confidentiality/HIPAA**

KRS 194A.060 provides for protection of the confidential nature of all records and reports of the cabinet that directly or indirectly identify a client and ensure that these records are not disclosed. The cabinet has included confidentiality processes in its employee manual, throughout its orientation training, and additional training activities, as established in the cabinet's strategic plan. In addition, all employees and individuals contracted for service and support delivery to clients of the Commonwealth are required to sign assurances protecting the client's identity and relevant information.

The cabinet has developed policies and procedures for staff and contracted staff concerning requirements of the federal Health Insurance Portability and Accountability Act (HIPAA), and staff is trained in HIPAA privacy and security. To ensure compliance, HIPAA is also included within contractual language of the cabinet.

## **Audits**

The Kentucky State Auditor of Public Accounts (APA) conducts an audit of the Commonwealth of Kentucky annually. A final report is forwarded to the U.S. Department of Health and Human Services.

## **Block Grant Reporting Requirements**

DCBS assures compliance with all federal and state block grant requirements. Federal reporting requirements are established in 42 U.S.C. Chapter 7, Subchapter XX, Sec. 1397c and 1397e; and CFR Title 45, Parts 96.17 and 96.74. State reporting requirements are established in KRS 45.351 and KRS 45.357.

KRS 45.357 requires LRC to review the actual use and distribution of funds annually. The Actual Clients and Expenditures for Fiscal Year 2022 (July 1, 2022-June 30, 2023) is attached as **Appendix VII**. In addition to annual reporting, KRS 45.357 also requires the department to prepare and submit a half-year block grant program status report for legislative review (**included in attachments**).

## **Public Review**

Typically, the Kentucky General Assembly formally reviews a preliminary draft of the Social Services Block Grant Plan 90 days prior to the official deadline for submission to the federal agency. This year's submission is being filed simultaneously with the allowed comment period and legislative review. LRC will assign the plan to the committee of jurisdiction for their review and public hearing. Additionally, the cabinet advertises the upcoming year's intended use for these funds, and a notice is published in a sufficient number of newspapers to provide statewide coverage. A copy of the plan is made available upon request. Any revisions due to the comment period or legislative review will be incorporated into the plan and resubmitted prior to the implementation date of October 1, 2023.

## **Scope of Plan**

This plan does not include all social services provided by DCBS. Programs and services funded entirely by the Older Americans Act, Titles IV-A through IV-E of the Social Security Act, Community Services Block Grant, and general fund appropriations are not included in this plan. Additionally, other agencies may provide similar services, which are not state or federally funded, or administered by DCBS or under this block grant.

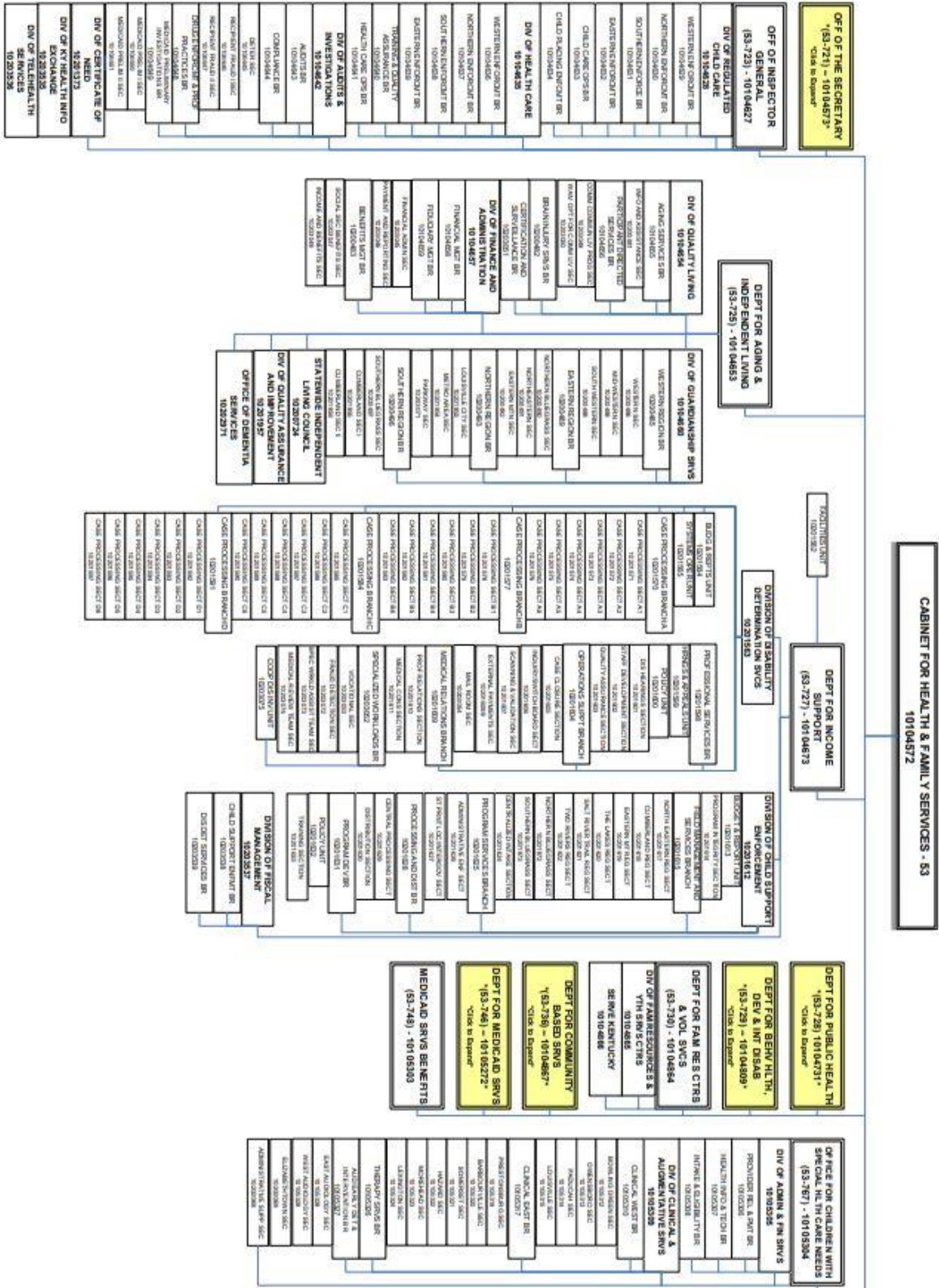
## **Revision to Plan**

The plan will be revised throughout the program year whenever there is a substantial change in the activities, such as the addition or deletion of a total service, or a major change in eligibility or legislative intent. A formal revision to the plan will immediately be submitted to the federal and state agencies for review and approval.

The level of services planned is based on Kentucky's share of the national authorization. Should the appropriation change, the plan will also be revised accordingly.

# Appendices

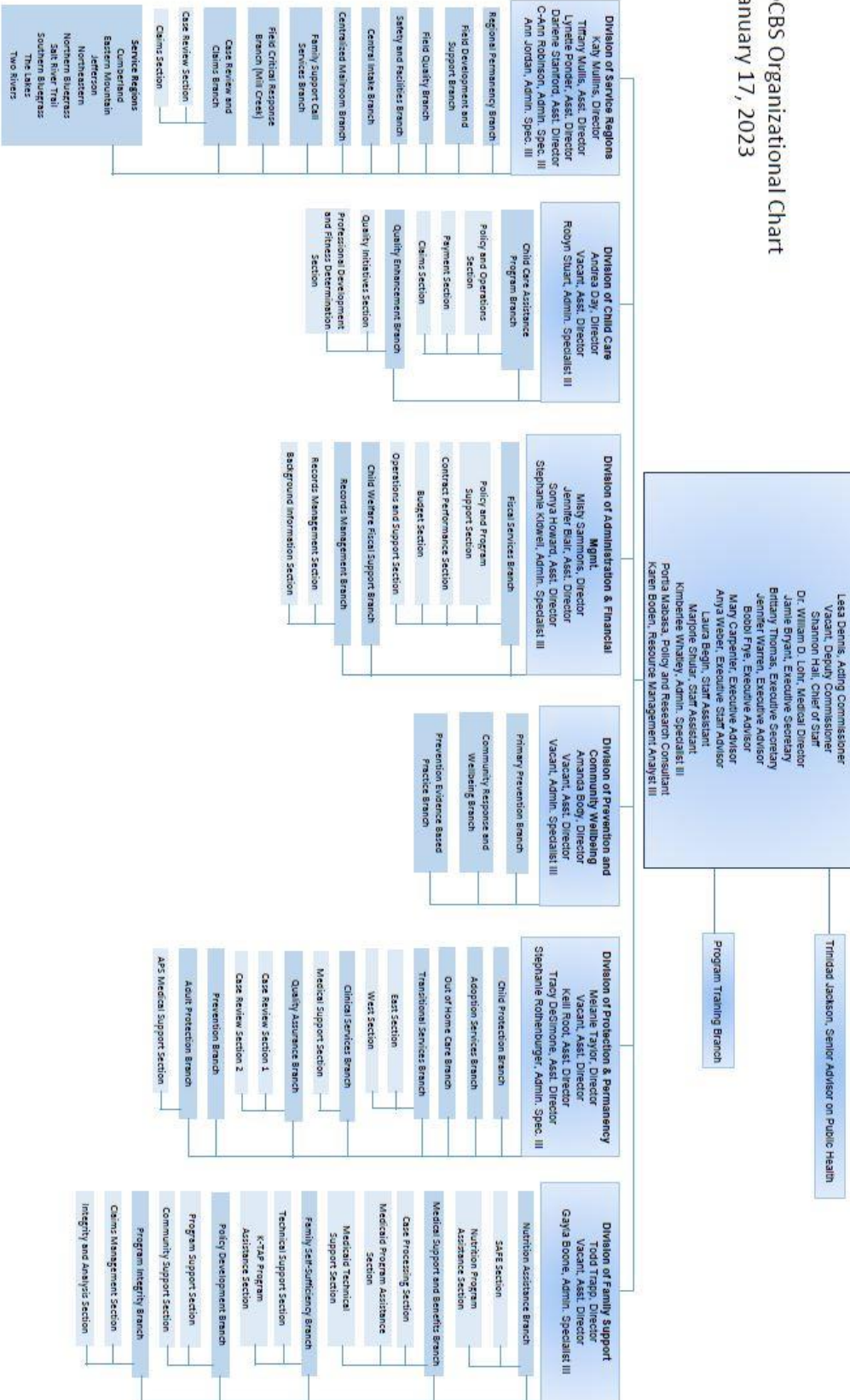
APPENDIX I





APPENDIX II

DCBS Organizational Chart  
January 17, 2023



## APPENDIX III

## TITLE XX - SOCIAL SERVICES BLOCK GRANT

## SFY 2023 Tentative Federal Appropriations

Federal Fiscal Year 2023	Federal Appropriations		SFY 2022 percentage	SFY 2022
10/01/21-09/30/22	\$21,671,317		25%	5,417,829
10/01/22-09/30/23	\$27,415,440		75%	\$ 20,561,580
			<b>TOTAL FFY 2023</b>	\$ 25,979,409
*Estimates based on the award received for 1 <sup>st</sup> quarter of FFY 22.				
	SSBG	\$	25,979,409	
	SSBG Brought Forward	\$	4,798,323	
	TANF Transfer to SSBG	\$	-	
	Total Federal Funds	\$	30,777,732	
	State Funds	\$	176,652,096	
	Local Match	\$	-	
	Estimated Funds Available	\$	207,429,828	

## APPENDIX IV

**SSBG ESTIMATED CLIENTS AND EXPENDITURES  
SFY 2023**

SERVICE	ESTIMATED CLIENTS	TOTAL BUDGETED FUNDS		
		FEDERAL	NON-FEDERAL	TOTAL
Adult Protective Services	96,909	\$ 3,874,600	\$ 11,235,900	\$ 15,110,500
Child Protective Services	337,019	\$ 13,474,600	\$ 147,058,700	\$ 160,533,300
Home Safety Services	3,102	\$ 124,000	\$ 929,040	\$ 1,053,040
Juvenile Services	1,535	\$ 61,400	\$ 2,844,000	\$ 2,905,400
Residential Treatment	357	\$ 8,215,700	\$ 13,647,656	\$ 21,863,356
Staff Training	2,144	\$ 126,300	\$ 936,800	\$ 1,063,100
<b>TOTAL</b>	<b>441,066</b>	<b>\$ 25,876,600</b>	<b>\$ 176,652,096</b>	<b>\$ 202,528,696</b>

## APPENDIX V

**STATE MANDATED PROGRAMS AND SERVICES  
UTILIZED TO CARRY OUT MANDATES**

<b>MANDATED PROGRAMS</b>	<b>SERVICES *</b>
Child Protection - KRS 199 - KRS 200 - KRS 600-645	Intensive family services which may include preventive services, emergency shelter care, day care for children, foster care, or adoptions.
Adult Protection - KRS 209 - KRS 387	Intensive family services which may include adult protective services, alternate care, general adult services, home safety services, guardianship services, or preventive services.
Care and Treatment of Juvenile Public Offenders, Status Offenders, and Emotionally Disturbed Children - KRS 600-645	Day treatment, group home, juvenile services in the community, residential treatment, foster care, or clinical services.

See the following KRS website for titles and chapters designated above:

<https://apps.legislature.ky.gov/lrcsearch#tabs-3>

**\*Some services are not financed by the Social Services Block Grant but are available through the Department for Community Based Services, the Department of Juvenile Justice, and the Department for Aging and Independent Living.**

## APPENDIX VI

**CABINET FOR HEALTH AND FAMILY SERVICES  
DEPARTMENT FOR COMMUNITY BASED SERVICES  
SFY 2023 ESTIMATED CONTRACTUAL ARRANGEMENTS**

Provider of Service	Service	Agency		Federal	State	Total
		Type				
Department of Juvenile Justice Capital Complex East Bldg #3 1025 Capital Center Drive Frankfort, KY 40601	Residential	Public		\$8,215,700	\$13,647,656	\$21,863,356
Eastern Kentucky University Dept of Corrections Stratton Building Richmond, KY 40475-3131	Training	Public		\$104,300	\$491,200	\$595,500
KY Domestic Violence Assoc, Inc. PO Box 356 Frankfort, KY 40602	Spouse Abuse Shelters	Public		\$17,171	\$154,535	\$171,706
Seven Counties Services 10401 Linn Station Rd, Suite 100 Louisville, KY 40223	Adult Protection Hotline	Public		\$3,816	\$34,344	\$38,160
Seven Counties Services 10401 Linn Station Rd, Suite 100 Louisville, KY 40223	Child Abuse Hotline	Public		\$17,384	\$156,458	\$173,842
Community Medical Assoc Inc 224 E Broadway, 5 <sup>th</sup> Floor Louisville, KY 40202	Child Protection	Public		\$10,000	\$90,000	\$100,000
<b>TOTALS</b>				<b>\$8,368,371</b>	<b>\$14,574,193</b>	<b>\$22,942,564</b>

APPENDIX VII

**Uniform Definition of Services**

**State Title**

Home-Based Services

Home Safety Services

Protective Services - Adult

Adult Protective Services

Protective Services - Children

Child Protective Services

Special Services - Youth at Risk

Juvenile Services

Residential Treatment

Residential Treatment Services

Administrative Costs

Staff Training Program

## APPENDIX VIII

## SFY 2023 PLAN: Effective July 1, 2022

SERVICE:	<b>Protective Services - Adult</b>	TOTAL ESTIMATED EXPENDITURES	
	<b>Adult Protective Services</b>	Federal	\$ 3,874,600
	<b>State Title</b>	Non-Federal	\$ 11,235,900
AREA:	Statewide	Total	\$ 15,110,500

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
X	X	
	Public	Private
	X	

ELIGIBILITY: Need

Adult protective services are designed to protect persons 18 years of age or older, who because of mental or physical dysfunction, are unable to manage their own resources or carry out the activities of daily living or protect themselves from neglect, hazardous, or abusive situations without assistance from others. These services undertaken with or on behalf of an adult may include investigation of complaints of possible abuse, neglect, or exploitation, and taking appropriate action; identifying individuals at risk; assisting with financial management and providing supportive services; counseling; safety planning; advocating for clients; securing safe emergency shelter; providing information and making referrals; locating needed community resources; or preventing or remedying abuse, neglect, or exploitation. Adult protection staff may serve on the interdisciplinary team for determination of disability and assist in making arrangements for a guardian, conservator, or payee to represent a client.

## GOAL

To provide protective services to 96,909 adults designed to prevent and remedy abuse, neglect, or exploitation; to increase employability and/or self-sufficiency; prevent inappropriate placement; or secure appropriate placement.

## APPENDIX IX

## SFY 2023 PLAN: Effective July 1, 2022

SERVICE: **Protective Services - Children**  
**Child Protective Services State Title**

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 13,474,600
Non-Federal	\$ 147,058,700
<b>Total</b>	<b>\$ 160,533,300</b>

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
	X	
X	Public	Private
	X	

ELIGIBILITY: Need

Child protective services are preventive and corrective services directed toward safeguarding the rights and welfare of an abused, neglected, or dependent child; assuring for each child a safe and nurturing home; strengthening family life; and assisting a parent or other person responsible for the care of a child in recognizing and remedying conditions detrimental to the welfare of the child. The primary elements of protective services consist of identification of children at risk; receipt and investigation of reports of abuse, neglect, or dependency; determination of the risk to and vulnerability of the child and/or his siblings; initiation of court action, when necessary; arranging for the provision of, and assisting families in the utilization of appropriate services and community resources; removal of the child from the home when necessary; or information and referral services. This service also includes conducting investigations for the court on petitions brought to the court on abuse, neglect, or dependency of children, and custody investigations ordered by the court.

## GOAL

To provide 337,019 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.



## APPENDIX X

## SFY 2023 PLAN: Effective July 1, 2022

SERVICE: **Home-Based Services****Home Safety Services  
State Title**

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES		
Federal	\$	124,000
Non-Federal	\$	929,040
Total	\$	1,053,040

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
X	Public X	Private

ELIGIBILITY: Client must currently be receiving adult protective, general adult, or child protective services; household income must be equal to or less than 200% of the federal poverty level; and unable to access similar services through other community resources.

Home safety services are provided to prevent the removal or repeat maltreatment of a child or to maintain an adult safely in the home or community. Activities may include arranging for community agencies to provide help with day-to-day household tasks; instructing and assisting with meal planning and preparation; nutrition; budgeting; general household management; essential shopping; assistance with medications; maintaining records; home-delivered meals; chore services, such as light housecleaning; personal care or attention to personal hygiene; labor associated with minor home repairs; escort services, such as transportation and personal accompaniment of clients to physicians, dentists, or other essential transportation; instructions in home safety; client assessment; or case management, including care planning, arranging for services, and monitoring and reassessment. Services may also include the supervision of in-home visits with a child and the child's social services worker; or provide transportation for children in out-of-home care.

## GOAL

To provide 3,102 families with home safety services to enable them to improve or maintain adequate in-home living and family well-being.

APPENDIX XI

**SFY 2023 PLAN: Effective July 1, 2022**

SERVICE: **Special Services - Youth at Risk**  
**Juvenile Services State Title**

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 61,400
Non-Federal	\$ 2,844,000
<b>Total</b>	<b>\$ 2,905,400</b>

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
X	X	
	Public	Private
	X	

ELIGIBILITY: Need

Juvenile services include community treatment for juveniles and their families, to rehabilitate the youth and help prevent the youth’s future involvement with the juvenile or criminal justice system. Components of these services may include interaction with the courts on behalf of juveniles; evaluation of the child’s strengths, weaknesses, and emotional needs through psychological testing and/or psychiatric consultation and diagnosis, basic etiological factors, and social adjustment; assisting youth in making necessary adjustments for societal living; counseling; psychological, and/or psychiatric therapy; communication and coordination with treatment programs in relation to specific youth and their family; development and implementation of community resources for youth returning to the community from out-of-home care and residential settings; interaction with school officials, law enforcement, potential employers, community leaders, and other significant resources in the community; utilization of appropriate resources; follow-up services; supervised aftercare; probation supervision; or programs to provide constructive interpersonal relationships.

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**GOAL**

To provide 1,535 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.

APPENDIX XII

**SFY 2023 PLAN: Effective July 1, 2022**

SERVICE:	<b>Residential Treatment</b>	TOTAL ESTIMATED EXPENDITURES	
	<b>Residential Treatment Services</b>	Federal	\$ 8,215,700
	<b>State Title</b>	Non-Federal	\$ 13,647,656
AREA:	Statewide*	Total	\$ 21,863,356

METHOD OF SERVICE DELIVERY		
Direct	Memorandum of Understanding	
X	X	
	Public	Private
	X	

ELIGIBILITY:      Need\*\*

Residential treatment services provide a comprehensive treatment-oriented living experience, in a 24-hour residential facility, for juvenile offenders committed to the Cabinet for Health and Family Services or the Department of Juvenile Justice. Components of this service may include placement into and out of residential care; 24-hour personal and shelter care, including room and board; social functioning and psychological evaluation; social adjustment counseling; remedial education; GED preparation; vocational and pre-vocational training; health education; physical examinations; supervision of medical regimen and social interaction; or recreation.

**GOAL**

To provide community-based residential care and treatment for 357 children with behavior problems to enable the individual to become self-supporting; to function better in the community; to avoid inappropriate institutionalization; and to refer to appropriate institutions when necessary.

\* Referrals accepted statewide

\*\* Committed or court ordered

APPENDIX XIII

**SFY 2023 PLAN: Effective July 1, 2022**

SERVICE: **Administrative Costs**  
**Staff Training Program**  
**State Title**

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 126,300
Non-Federal	\$ 936,800
<b>Total</b>	<b>\$ 1,063,100</b>

AREA: Statewide

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
	X	
X	Public	Private
	X	

ELIGIBILITY: DCBS staff

The staff training program supports the Cabinet’s goals to be a nationally recognized, high-quality service delivery organization. These services are provided for ongoing training for staff that addresses the skills and knowledge base necessary to carry out their duties with regard to services included in the Social Services Block Grant program. Training is based on the philosophy of continuously improving delivery of comprehensive services that are strength-based, client-oriented, family focused, culturally sensitive, and dedicated to promoting and enhancing self-sufficiency and safety for families and protection and permanency outcomes for children.

**GOAL**

To improve service delivery by providing approximately 592 hours of training per month for staff of the Department for Community Based Services.

Note: Included in the Catalog of Services only for the purpose of showing estimated expenditures in order to commit all SSBG funds.

## APPENDIX XIV

**SSBG ACTUAL CLIENTS AND EXPENDITURES  
SFY 2022**

SERVICE	ACTUAL CLIENTS	TOTAL FUNDS SPENT		
		FEDERAL	NON-FEDERAL	TOTAL
Adult Protective Services	93,702	\$ 1,601,106.00	\$ 14,409,938.00	\$ 16,011,044.00
Child Protective Services	346,509	\$ 12,680,635.00	\$ 148,912,714.00	\$ 161,593,349.00
Home Safety Services	3,258	\$ 93,329.00	\$ 839,948.00	\$ 933,277.00
Juvenile Services	1,506	\$ 331,597.00	\$ 2,984,365.00	\$ 3,315,962.00
Residential Treatment	281	\$ 6,885,332.00	\$ 10,396,334.00	\$ 17,281,666.00
Staff Training	0	\$ 9,464.00	N/A	\$ 9,464.00
<b>TOTAL</b>	<b>445,256</b>	<b>\$ 21,601,463.00</b>	<b>\$ 177,543,299.00</b>	<b>\$ 199,144,762.00</b>

## APPENDIX XV

## COMPARISON OF SFY 2021 PLAN

EXPENDITURES			CLIENTS	
Service	Estimated SSBG Plan	Actual Expenditures	Estimated SSBG Plan	Actual Served
Adult Protective Services	\$ 17,543,800	\$ 15,278,956	132,090	93,702
Child Protective Services	\$ 17,594,440	\$ 147,280,948	498,708	346,509
Home Safety Services	\$ 176,100	\$ 723,550	6,605	3,258
Juvenile Services	\$ 4,112,100	\$ 3,251,000	4,095	1,506
Residential Treatment	\$ 30,385,734	\$ 17,281,666	526	281
Staff Training	\$ 1,656,800	\$ 7,010	2,648	0
<b>TOTAL</b>	<b>\$ 71,468,974</b>	<b>\$ 183,823,130</b>	<b>644,672</b>	<b>445,256</b>

## APPENDIX XVI

**CABINET FOR HEALTH AND FAMILY SERVICES  
DEPARTMENT FOR COMMUNITY BASED SERVICES  
SFY 2022 ACTUAL CONTRACTUAL ARRANGEMENTS**

Provider of Service	Service	Agency Type	Federal	State	Total
Department of Juvenile Justice Capital Complex East Bldg #3 1025 Capital Center Drive Frankfort, KY 40601	Residential	Public	\$6,853,315.62	\$0.00	\$6,853,315.62
Eastern Kentucky University Dept of Corrections Stratton Building Richmond, KY 40475-3131	Training	Public	\$7,167.10	\$64,503.90	\$71,671.00
KY Domestic Violence Assoc, Inc. PO Box 356 Frankfort, KY 40602	Spouse Abuse Shelters	Public	\$17,170.50	\$154,534.50	\$171,705.00
Seven Counties Services 10401 Linn Station Rd., Suite 100 Louisville, KY 40223	Adult Protection Hotline	Public	\$2,520.00	\$22,680.00	\$25,200.00
Seven Counties Services 10401 Linn Station Rd, Suite 100 Louisville, KY 40223	Child Abuse	Public	\$11,480.00	\$103,320.00	\$114,800.00
Community Medical Assoc, Inc. 224 E Broadway, 5 <sup>th</sup> Floor Louisville, KY 40202	Child Protection	Public	\$10,000.00	\$90,000.00	\$100,000.00
<b>TOTALS</b>			<b>\$ 6,901,653.22</b>	<b>\$435,038.40</b>	<b>\$ 7,336,691.62</b>

APPENDIX XVII



**CABINET FOR HEALTH AND FAMILY SERVICES**  
**Department for Community Based Services**  
**Division of Protection and Permanency**

**Andy Beshear**  
Governor

275 East Main Street, 3E-A  
Frankfort, KY 40621  
502-564-6852  
[www.chfs.ky.gov/agencies/dpbs](http://www.chfs.ky.gov/agencies/dpbs)

**Eric C. Friedlander**  
Secretary

**Marta Miranda-Straub**  
Commissioner

**KENTUCKY**  
**CABINET FOR HEALTH & FAMILY SERVICES**  
**DEPARTMENT FOR COMMUNITY BASED SERVICES**

**TITLE XX - BLOCK GRANTS TO STATES FOR**  
**SOCIAL SERVICES**

**July 1, 2022 to June 30, 2023**

**NOTICE**

The Department for Community Based Services (DCBS) plans to apply for funds available to the Commonwealth under the Social Services Block Grant program for Fiscal Year 2022-2023. A copy of the plan for the proposed use and distribution of block grant funds is now available for review and comment.

**PURPOSE**

To provide social services, within budgetary limitations, to persons residing in the state which: protect children and adults from abuse, neglect, or exploitation; secure appropriate placement; increase employability and self-sufficiency; and improve or maintain adequate in-home living and family well-being.

**SERVICES**

Social services to be offered in this plan include adult protection, child protection, home safety services, juvenile services, residential treatment, and staff training.

**COMMENT PERIOD**

Written comments will be received through April 30, 2022. A copy of this plan may be requested by calling 502-564-6852, and comments may be addressed to: Cabinet for Health and Family Services, Department for Community Based Services, Division of Protection and Permanency, 275 East Main Street, 3E-A, Frankfort, Kentucky 40621, ATTN: SSBG.





## Division of Protection and Permanency – Cabinet for Health and Family Services

### Social Services Block Grant

The Social Services Block Grant provides funding for which the Department for Community Based Services applies annually in order to provide services in the following areas:

- Adult and child protection;
- Home safety services;
- Juvenile services;
- Residential treatment; and
- Staff training.

The department offers these services through its staff and contracted providers. If you would like to review the current report and/or submit comments regarding it, please see the contact information in this letter: [Social Services Block Grant Legal Advertisement](#).

<https://chfs.ky.gov/agencies/dcbs/dpp/Pages/default.aspx>

## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

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

### Instructions for Certification

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

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

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

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

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

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered

into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

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

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

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

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

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

department or agency;

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

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

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

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

#### Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions Instructions for Certification

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

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

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

obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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

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

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

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

(1) The prospective lower tier participant certifies, by submission of

this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

---

DocuSigned by:  
*Lisa Dennis*  
2597068C24204CA...  
Signature

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Acting Commissioner  
Title

---

Cabinet for Health and Family Services  
Organization

## **CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements  
Alternate I. (Grantees Other Than Individuals)



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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free

workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

DocuSigned by:  
*Lisa Dennis*  
2597068C24204CA...  
Signature

Acting Commissioner

Title

Cabinet for Health and Family Services

Organization

## **CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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

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

DocuSigned by:  
  
2597068G24204CA...

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Acting Commissioner

Title

\_\_\_\_\_  
Cabinet for Health and Family Services

Organization

## **CERTIFICATION REGARDING LOBBYING**

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

### Statement for Loan Guarantees and Loan Insurance

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

that:

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

DocuSigned by:  
*Lisa Dennis*  
2597068C24204CA...

Signature

Acting Commissioner

Title

Cabinet for Health and Family Services

Organization



**Andy Beshear**  
GOVERNOR

## PERSONNEL CABINET

501 High Street, 3<sup>rd</sup> Floor  
Frankfort, Kentucky 40601  
Phone: (502) 564-7571  
Fax: (502) 564-1823

**Gerina D. Whethers**  
SECRETARY

### MEMORANDUM

**PERSONNEL MEMO 22-11**

**To:** Constitutional Officers  
Cabinet Secretaries  
Agency Heads  
Human Resource Administrators

**From:** Gerina D. Whethers, Secretary

A handwritten signature in blue ink, appearing to read "GDW".

**Date:** October 3, 2022

**Re:** **Annual State Certification for Drug-Free Workplace Federal Grants  
October 1, 2022 – September 30, 2023**

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Attached is your agency's copy of the Kentucky State Certification for Federal Grants under the provisions of the Drug-Free Workplace Act for Federal Fiscal Year 2022. Your agency may be required to submit a copy of this certification when applying for federal funding. The certification is valid from October 1, 2022 through September 30, 2023.

If you have any questions or concerns, please feel free to contact Rosemary G. Holbrook at (502) 564-6761 or via email at [rosemaryg.holbrook@ky.gov](mailto:rosemaryg.holbrook@ky.gov).

**Attachments:** Annual Certification for Drug-Free Workplace Federal Grants  
Agency Federal Funding Source 2022-2023

**Kentucky State Government  
Annual Multiple Agency Certification Regarding  
Drug-Free Workplace Requirements  
Federal Fiscal Year 2022/2023  
October 1, 2022 - September 30, 2023**

Pursuant to Executive Order 96-611 issued by the Governor of the Commonwealth of Kentucky on May 15, 1996, (attached as Appendix A) I, Gerina D. Whethers, Secretary, Personnel Cabinet, do hereby certify, on behalf of the Executive Branch of Kentucky State Government, that all of its agencies are in compliance with the Drug-Free Workplace Act of 1988, and it has:

- I. Published a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition (attached as Appendix B);
- II. Established an ongoing drug-free awareness program to inform employees about:
  - A. The dangers of drug abuse in the workplace;
  - B. The grantee's policy of maintaining a drug-free workplace;
  - C. Available drug counseling, rehabilitation, and employee assistance programs; and
  - D. The penalties that may be imposed upon employees for drug abuse violations;
- III. Made it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (I);
- IV. Notified each employee in the statement required by paragraph (I) that as a condition of employment under the grant the employee will:
  - A. Abide by the terms of the statement; and
  - B. Notify the employer of any criminal drug statute conviction for a violation in the workplace no later than five days after the conviction;
- V. Established a policy by which the employer will notify the granting agency in writing, within ten days after receiving notice under subparagraph (IV)(B) from an employee or otherwise receiving actual notice of such conviction;


- VI. Established a policy under which the employer will impose a sanction on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program by, any employee who is convicted; as required by 41 U.S.C. § 8104;
  
- VII. Made a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs I through VI.

Commonwealth of Kentucky, State Government

**Organization Name**

Gerina D. Whethers - Personnel Cabinet

**Name and Title of Authorized Representative**

  
**Signature**

October 1, 2022

**Date**





**PAUL E. PATTON**  
GOVERNOR

**EXECUTIVE ORDER**

96-611

May 15, 1996

**Secretary of State**  
Frankfort  
Kentucky

**RELATING TO DRUG-FREE WORKPLACE POLICY  
COMMONWEALTH OF KENTUCKY**

**WHEREAS**, in 1988, the United States Congress enacted the Anti-Drug Abuse Act (Public Law 100-690) which requires recipients of federal grants to certify that they have met the requirements designed to promote a drug-free workplace; and

**WHEREAS**, the Commonwealth of Kentucky has maintained a policy of prohibiting the manufacture, distribution, possession, and use of controlled substance drugs in the workplace and of enforcing such prohibition through disciplinary action against offenders while providing a program of rehabilitation and counseling through its Employee Assistance program and through the State-supported health insurance programs; and

**WHEREAS**, the unlawful manufacture, distribution, possession and use of controlled substances in the workplace constitutes a serious hazard to the health, safety and welfare of State employees as well as to the health, safety and welfare of the public they serve; and

**WHEREAS**, it is deemed appropriate that the Secretary of the Personnel Cabinet notify State employees of the penalties, programs and reporting requirements of the Anti-Drug Abuse Act of 1988:

**NOW, THEREFORE, I, PAUL E. PATTON**, Governor of the Commonwealth of Kentucky, do hereby order and direct the Secretary of the Personnel Cabinet to issue written notice to each employee of the Commonwealth of Kentucky, advising of the requirements of the Anti-Drug Abuse Act of 1988, of the range of penalties that may be imposed for violations, and of the rehabilitation and counseling programs that are available.

The Secretary of the Personnel Cabinet is authorized and directed to certify compliance with the Anti-Drug Abuse Act of 1988 to the appropriate federal grantor agency upon issuance of notice to State employees.

This Order is effective upon execution.

**PAUL E. PATTON**  
Governor

**JOHN Y. BROWN III**  
Secretary of State



**Andy Beshear**  
GOVERNOR

## PERSONNEL CABINET

501 High Street, 3<sup>rd</sup> Floor  
Frankfort, Kentucky 40601  
Phone: (502) 564-7571  
Fax: (502) 564-1823

**Gerina D. Whethers**  
SECRETARY

### MEMORANDUM

**PERSONNEL MEMO 22-10**

**To:** All State Employees

**From:** Gerina D. Whethers, Secretary

A handwritten signature in blue ink, appearing to read "GDW".

**Date:** August 22, 2022

**Re:** **Drug-Free Workplace**

---

The federal statute governing drug-free workplace requirements for federal grant recipients requires recipients of federal funds to certify that they have met requirements designed to promote a drug-free workplace (41 U.S.C. § 8103). In compliance with this Act, and at the discretion of the Governor, all state employees are notified that:

- A. The unlawful manufacture, distribution, dispensing, possession, or use of any controlled substance is strictly prohibited in the workplace.
- B. The Personnel Cabinet will continue to promote drug-free awareness programs through employee assistance and, in cooperation with state agencies, to eradicate the dangers that drugs in the workplace create for our employees. State-supported health insurance provides coverage for employees referred to or seeking treatment for drug and alcohol-related problems.
- C. Compliance with drug-free workplace requirements is a condition of continued employment with state government for all state employees. Each employee is obligated to report any conviction he or she receives as a result of a violation of any criminal drug statute occurring in the workplace within five (5) days after such conviction. Such a report is to be made to the employee's appointing authority and is required by federal law. Failure of any employee to report his or her conviction to the appointing authority may result in disciplinary action. The agency is obligated to report such conviction to the federal grantor within ten (10) days after it receives notice.
- D. Employees found to be in violation of drug-free workplace requirements may face disciplinary action by the appointing authority up to and including dismissal, in accordance with state law, or may be required to satisfactorily participate in a drug abuse assistance or treatment program.

Please contact your agency Human Resources Office with any questions concerning this directive. Employees who need assistance with substance abuse issues are encouraged to contact the Kentucky Employee Assistance Program at (502) 564-5788. Please refer to the [Personnel Cabinet's Substance Abuse website](#) for more information.



# Employee Handbook



Issued by: **TEAM KENTUCKY**  
PERSONNEL CABINET

September 2022

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- Employees shall carry or wear employee identification badges or other agency-identifying clothing;
- Flip-flops shall not be worn in the workplace;
- Employees shall not wear tops exposing their midriff;
- Employees shall not wear tops with oversized/large commercial logos or offensive language;
- Reasonable accommodations to this policy may be granted for religious, medical, or disability related needs;
- An employee seeking an accommodation should contact the agency's Human Resource office.

The Personnel Cabinet recognizes that individual workplaces have unique needs and requirements. Therefore, agencies are responsible for ensuring that their employees are aware of this policy in addition to any other policy that may exist for the agency. Any employee found in violation of the policy will be required to take corrective action, which may include leaving the work premises, and may be subject to disciplinary action, up to and including dismissal.

### **Drug-Free Workplace/Substance Abuse Assistance**

The federal statute governing drug-free workplace requirements for federal grant recipients requires recipients of federal funds to certify that they have met requirements designed to promote a drug-free workplace (41 U.S.C. § 8103). In compliance with this Act, and at the discretion of the Governor, all state employees are notified that:

- The unlawful manufacture, distribution, dispensation, possession or use of any controlled substance is strictly prohibited in the workplace.
- Employees may be required to satisfactorily participate in a drug abuse assistance or treatment program.
- State-supported health insurance provides coverage for employees referred to or seeking treatment for drug and alcohol related problems.
- Compliance with drug-free workplace requirements is a condition of continued employment with the Executive Branch. Each employee is obligated to report any conviction he or she receives as a result of a violation of any criminal drug statute occurring in the workplace within five (5) days of such conviction. Such a report is to be made to the employee's Appointing Authority and is required by federal law. Failure of any employee to report his or her conviction to the appointing authority may result in disciplinary action. The agency is obligated to report such conviction to the federal grantor within ten (10) days after it receives notice.
- Employees found to be in violation of drug-free workplace requirements may face disciplinary action up to and including dismissal. Employees who have questions concerning this directive are encouraged to contact their supervisor or agency Human Resources office.
- Employees who need assistance with substance abuse issues are encouraged to contact the Kentucky Employee Assistance Program at (502) 564-5788. Refer to the [Personnel Cabinet's Substance Abuse website](#) for more information.

#### **LEGAL REFERENCES:**

[KRS 18A.043](#)

[41 U.S.C. § 8103](#)

### **Drug Testing**

Some Executive Branch employees may be subject to drug testing. Employees should consult with their agency's human resources office to determine the applicability of drug testing.

Employees subject to drug testing should refrain from consuming supplements or other products that have not been approved by the U.S. Food and Drug Administration. For instance, some consumable

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2022/2023**  
(As of September 30, 2022)

**STATE AGENCY**

**FEDERAL FUNDING AGENCY**

**General Government Cabinet**

**Department of Agriculture**

U.S. Department of Agriculture  
U.S. Environmental Protection Agency  
U.S. Department of Defense  
U.S. Department of Health & Human Services

**Department of Military Affairs**

U.S. Department of Defense  
U.S. Department of Transportation  
U.S. Department of Health & Human Services  
U.S. Department of Homeland Security  
- Federal Emergency Management Agency  
U.S. Department of Justice

**Department for Local Government**

U.S. Department of Housing & Urban Development  
- Office of Community Planning and Development  
U.S. Department of the Interior  
- National Park Service  
U.S. Department of Transportation  
- Federal Highway Administration  
U.S. Department of Energy  
- Office of Energy Efficiency and Renewable Energy  
U.S. Department of Commerce  
- Economic Development Administration  
U.S. Department of Treasury  
Appalachian Regional Commission  
National Forest Receipts Fund  
Federal Flood Control Fund

**Council on Postsecondary Education**

U.S. Department of Education

**Kentucky Commission on Human Rights**

U.S. Department of Housing & Urban Development  
Equal Employment Opportunity Commission

**Kentucky Infrastructure Authority**

U.S. Environmental Protection Agency

**Kentucky Department of Veterans' Affairs**

U.S. Department of Veterans' Affairs  
U.S. Department of Health & Human Services  
Veterans Health Administration  
National Cemetery Administration

**Office of Homeland Security**

U.S. Department of Homeland Security

**State Board of Elections**

U.S. Election Assistance Commission

**Office of the State Treasurer:**

## **STATE AGENCIES' FEDERAL FUNDING SOURCES 2022/2023** (As of September 30, 2022)

Commonwealth Council for Developmental Disabilities

U.S. Department of Health & Human Services  
- Administration for Community Living

**Office of Attorney General:**

Office of Medicaid Fraud & Abuse Control  
Office of Victims Advocacy  
Office of Child Abuse & Human Trafficking  
Prevention and Prosecution  
Department of Criminal Investigations

U.S. Department of Health & Human Services  
U.S. Department of Justice

Office of Consumer Protection  
Office of Senior Protection

U.S. Department of Justice  
U.S. Social Security Administration  
U.S. Executive Office of the President  
U.S. Department of Justice  
U.S. Department of Justice

**Office of State Budget Director**

U.S. Department of Treasury

**Kentucky Board of Pharmacy**

U.S. Department of Treasury (TBD)<sup>1</sup>  
U.S. Department of Justice (TBD)

### **Transportation Cabinet**

U.S. Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Department of Transportation\*  
- Federal Aviation Administration  
- Federal Highway Administration\*  
- Federal Motor Carrier Safety Administration  
- Federal Transit Administration  
- National Highway Traffic & Safety Administration  
(\*Includes ARRA & Federal Lands Highway)

### **Economic Development Cabinet**

U.S. Small Business Administration  
U.S. Department of Treasury

### **Finance & Administration Cabinet**

Kentucky Higher Education Assistance Authority

U.S. Department of Education  
U.S. Department of Health and Human Services

Commonwealth Office of Technology

U.S. Department of the Interior  
U.S. Department of Agriculture

Department of Revenue

U.S. Department of Transportation

Kentucky Commission on Military Affairs

U.S. Department of Defense

### **Tourism, Arts & Heritage Cabinet**

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<sup>1</sup> TBD – To be determined based upon various factors going forward.



## **STATE AGENCIES' FEDERAL FUNDING SOURCES 2022/2023** (As of September 30, 2022)

Kentucky Arts Council	National Endowment for the Arts
Kentucky Heritage Council	U.S. Department of the Interior - National Park Service
Kentucky Historical Society	Institute of Museum and Library Services National Archives and Records Administration - National Historical Publications and Records Commission
Kentucky Department of Parks	U.S. Department of Transportation - Federal Highway Administration U.S. Department of Homeland Security Federal Emergency Management Agency U.S. Department of the Interior - National Park Service U.S. Department of Justice
<b><u>Education and Labor Cabinet</u></b>	
Department of Education	U.S. Department of Education U.S. Department of Health & Human Services U.S. Department of Agriculture
Kentucky Dept. for Libraries & Archives	Institute for Museum & Library Services National Archives and Records Administration National Historical Publications and Records Commission
Department of Workforce Investment	U.S. Department of Labor
Office of Adult Education	U.S. Department of Education
Office of Vocational Rehabilitation	U.S. Department of Education - RSA U.S. Department of Health & Human Services
Office of Employer and Apprenticeship Services	U.S. Department of Labor
Office of the Secretary (includes KYSTATS)	U.S. Department of Education U.S. Department of Labor U.S. Department of Health & Human Services U.S. Department of Commerce/Economic Development
Kentucky Environmental Education Council	U.S. Environmental Protection Agency Corporation for National and Community Service
Early Childhood Advisory Council	U.S. Department of Health & Human Services

## **STATE AGENCIES' FEDERAL FUNDING SOURCES 2022/2023** (As of September 30, 2022)

Office of Unemployment Insurance

U.S. Department of Labor

Career Development Office

U.S. Department of Labor

Department for Workplace Standards – OSH

U.S. Department of Labor

### **Energy & Environment Cabinet**

U.S. Environmental Protection Agency

U.S. Department of Interior

U.S. Department of Energy

U.S. Department of Defense

U.S. Department of Homeland Security

U.S. Department of Agriculture

U.S. Department of Transportation

U.S. Department of Labor

### **Public Protection Cabinet**

U.S. Department of Justice

Federal Financial Institutions Examination Council

Appraisal Subcommittee

### **Cabinet for Health and Family Services**

U.S. Department of Agriculture

U.S. Department of Health & Human Services

U.S. Department of Energy

U.S. Department of Education

Corporation for National and Community Service

U.S. Environmental Protection Agency

U.S. Department of Labor

U.S. Social Security Administration

U.S. Department of Justice

U.S. Department of Treasury

### **Justice and Public Safety Cabinet**

Office of the Secretary

U.S. Department of Justice

U.S. Department of Treasury

Department of Corrections

U.S. Department of Education

U.S. Department of Justice

U.S. Department of Treasury

Department of Public Advocacy

U.S. Department of Health & Human Services

U.S. Department of Education

U.S. Social Security Administration

U.S. Department of Justice

Department of Juvenile Justice

U.S. Department of Justice

Kentucky State Police

U.S. Department of Homeland Security

U.S. Department of Justice

U.S. Department of Transportation

U.S. Department of Health & Human Services

U.S. Executive Office of the President

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2022/2023**  
(As of September 30, 2022)

Department of Fish and Wildlife

- Office of National Drug Control Policy  
U.S. Department of Treasury

U.S. Department of the Interior  
U.S. Department of Agriculture  
U.S. Department of Homeland Security  
U.S. Department of Defense

**BLOCK GRANT PROGRAM STATUS REPORT**

July 1, 2022 – December 31, 2022

Department: Community Based Services (DCBS)Block Grant: Social Services Block Grant (SSBG)

This report is submitted in compliance with KRS 45.357. This report on achievements may be compared to the Block Grant application currently on file with LRC.

Block Grant Manager:

*Lesia Dennis*  
 2597668C24204CA...  
**Lesia Dennis**  
 Acting Commissioner

2/3/2023

Date

1. FINANCES	Federal Funds	General Funds	Trust/Local Match	Total
<b>Annual Budget</b>	\$9,987,070.00	\$88,132,826.70	\$17,226,121.30	\$115,346,018.00
<b>Actual Expenditures</b>	\$9,792,536.30	\$80,596,916.97	\$8,613,060.65	\$99,002,513.92
<b>Encumbrances</b>	\$0.00	\$0.00	\$0.00	\$0.00
<b>Available Balance</b>	\$194,533.70	\$7,535,909.73	\$8,613,060.65	\$16,343,504.08

**2. RESULTS BUDGETED/ACHIEVED**

OBJECTIVES	ACHIEVEMENTS
1. To provide protective services to 102,804 adults, designed to prevent and remedy abuse, neglect, or exploitation; to increase employability and/or self-sufficiency; prevent inappropriate placement; or secure appropriate placement.	1. Adult protective services were provided to 46,147 individuals in this six-month timeframe.
2. To provide 323,217 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.	2. Child protective services were provided to 160,485 children.
3. To provide 3,900 families with home safety services to enable them to improve or maintain adequate in-home living and family well-being.	3. Home safety services were provided to 1,477 families.
4. To provide 1,689 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation, which may include counseling or interaction with courts on behalf of the juveniles.	4. Juvenile services were provided to 731 clients.

**BLOCK GRANT PROGRAM STATUS REPORT**

July 1, 2022 – December 31, 2022

**Department: Community Based Services (DCBS)****Block Grant: Social Services Block Grant (SSBG)**

OBJECTIVES	ACHIEVEMENTS
5. To provide community based residential care and treatment for 236 children with behavior problems to enable the individual to become self-supporting; to function better in the community; to avoid inappropriate institutionalization; and to refer to appropriate institutions when necessary.	5. Residential treatment services were provided to 170 children.
6. To improve service delivery by providing approximately 592 hours of training per month for staff of the Department for Community Based Services.	6. Training was provided statewide to 1,169 employees who work in the areas of protection and permanency, for a total of 4,154 training hours, or an average of 692.33 hours per month.

**3. AUTHORIZED CHANGES (from the Block Grant Plan in Finances and/or Objectives)**

N/A

**4. EVALUATION OF RESULTS**

N/A

**5. ALTERNATIVES FOR IMPROVED SERVICE DELIVERY**

The vision statement of the Department for Community Based Services (DCBS) is to protect children and vulnerable adults and to promote self-sufficiency and permanency by providing the best regulatory framework and state plan structure possible. Our mission is also to ensure maximum flexibility for interpretation and implementation of policy and procedures, which best meet the needs of the community.

The Division of Protection and Permanency (DPP) recognizes the importance of a safe, secure, and nurturing environment for each Kentucky child, adult, and family. Within such an environment, we believe that families and their individual members become the most critical component of a strong society. Our vision is a division that is:

- Focused on families, children, and vulnerable adults
- Committed to families as partners in decision making
- Proactive, responsive, and accessible to all members of the community
- Sensitive to cultural and community differences
- Committed to innovation, continuous improvement, shared accountability, and measurable outcomes
- Community focused and partnership-oriented
- Recognized as the best human service delivery organization in the nation

To facilitate an accurate examination of the Cabinet's direct service delivery system, the Cabinet utilizes a continuous quality improvement (CQI) case review process, with the goal of ensuring quality, consistency, and

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timelines of services provided to clients to meet federal and state child welfare outcomes, and ensure the safety, permanency, and well-being of families and children.

CQI is a structured process which allows staff to participate in the examination and evaluation of:

- The effectiveness, quality, and efficiency of services provided to clients served by the Department for Community Based Services (DCBS);
- DCBS internal systems, procedures, and outcomes; and
- The relationships and interactions between DCBS and each family, as well as DCBS and the community stakeholders providing services to each family.

In order to facilitate an accurate examination of the Cabinet’s direct service delivery system, the Cabinet utilizes a CQI case review tool that is designed to measure the Cabinet’s ability to implement best practice and achieve positive outcomes on a state, regional, and individual case level. The CQI CARES (Case Automated Review and Evaluation System) case review system assists in meeting the agency goals to improve outcomes by focusing on the coaching/mentoring/monitoring process through review and supervision. CQI CARES is utilized for both first and second level case reviews and provides an opportunity through CQI meetings and processes to identify patterns/trends for quality improvement. The reviewer completes the case review tool in CQI CARES, and this provides case review data to assist with feedback and action planning that identifies both strengths and weaknesses of the case. By strengthening these processes and empowering staff to improve casework, it assists with meeting federal outcomes and requirements.

DCBS has also created a Kentucky Child and Family Services (KY CFSR) process. The KY CFSR team has developed and implemented the KY CFSR process in accordance with the federal CFSR). The review allows feedback to be provided to leadership, supervisors, and field staff. Feedback will include areas where the agency has strengths, as well as areas where the agency could improve performance and service delivery to the families and children served.