

## **Community Services Block Grant (CSBG) Model State Plan**

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## Section 1

### CSBG Administrative Information

**1.1.** Identify whether this is a one-year or a two-year plan.      ☐ One-Year    ☒ Two-Year

**1.1a.** Provide the federal fiscal years this plan covers:    Year One \_\_\_\_\_ Year Two  
2021

**GUIDANCE:** If a state indicates “One-Year” under 1.1., they will only have to provide a response for “Year One”

**1.2. Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency changed since the last submission of the state plan?      ☒ Yes    ☐ No

If yes, provide the date of change and select the fields that have been updated    **[Date Picker and Check all the apply]**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Lead Agency                    | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input checked="" type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address  | <input type="checkbox"/> City            |
| <input type="checkbox"/> Zip Code                       | <input type="checkbox"/> Office Number   | <input type="checkbox"/> Fax Number      |
| <input type="checkbox"/> Email Address                  | <input type="checkbox"/> Website         |  |

**1.2a.** Lead agency **[Department of Community Based Services (DCBS)]**

**GUIDANCE:** This should only include the exact name of the lead agency and an acronym (as applicable).

**EXAMPLE:** Office of Community Services (OCS)

**1.2b.** Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Affairs Department
- ☒ Community Services Department
- ☐ Governor’s Office
- ☐ Health Department
- ☐ Housing Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe: **[Narrative, 100 characters]**

**1.2c. Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official **[Cabinet for Health and Family Services (CHFS)]**

**1.2d.** Authorized official of the lead agency. The authorized official could be the

director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M. **[Narrative, 50 Characters each]**

Name **Eric T. Clark**\_\_\_\_\_ Title: **DCBS Commissioner**\_\_\_\_\_

**1.2e.** Street Address **[275 E. Main Street 3W-A]**

**1.2f.** City **[Frankfort]**

**1.2g.** State **[Kentucky]**

**1.2h.** Zip Code **[40601]**

**1.2i.** Work Telephone Number and Extension (if applicable) **[502-564-3703 ext. 3797]**

**1.2j.** Fax Number **[502-564-6907]**

**1.2k.** Email Address **[erict.clark@ky.gov]**

**1.2l.** Lead Agency Website **[www.chfs.ky.gov/dcbs]**

**Note:** Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

- 1.3. Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **[Document attached]**

**GUIDANCE:** The designation letter should be updated whenever there is a change to the designee.

**Instructional Note:** The letter should be from the chief executive officer of the state and include, at minimum, the designated state CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

- 1.4. CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

|  |  |   |
|--|--|---|
| <input type="checkbox"/> Agency Name   | <input checked="" type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address           |
| <input type="checkbox"/> City          | <input type="checkbox"/> State                       | <input type="checkbox"/> Zip Code                 |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number                  | <input checked="" type="checkbox"/> Email Address |
| <input type="checkbox"/> Website       |  |   |

**1.4a.** Agency Name **[Department for Community Based Services]**

**1.4b.** Point of Contact Name

**Title: Human Services Program Compliance**

- 1.4c.** Street Address [**275 E. Main St. 3E-I**]
  - 1.4d.** City [**Frankfort**]
  - 1.4e.** State [**Kentucky**]
  - 1.4f.** Zip Code [**40601**]
  - 1.4g.** Office Telephone Number [**502-564-3440 ext. 3888**]
  - 1.4h.** Fax Number [**502-564-4021**]
  - 1.4i.** Email Address [**brian.isaacs@ky.gov**]
  - 1.4j.** Agency Website [**www.chfs.ky.gov/dcbs**]
- 1.5.** Provide the following information in relation to the State Community Action Association.

**GUIDANCE:** Under this question, please respond yes and provide the information if there is an entity or organization that serves in the capacity of a state community action association that is located within your state, whether voluntarily or contractually. If the entity that serves as the state community action association is located outside of the state, or if there is only a single eligible entity within the state that also performs the functions of a Community Action Association, please answer no to this question.

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated. **[Date Picker and Check all the apply]**

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Agency Name   | <input type="checkbox"/> Executive Director | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City          | <input type="checkbox"/> State              | <input type="checkbox"/> Zip Code       |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number         | <input type="checkbox"/> Email Address  |
| <input type="checkbox"/> Website       | <input type="checkbox"/> RPIC Lead          |   |

- 1.5a.** Agency name **[Narrative, 150 characters]**
- 1.5b.** Executive Director or Point of Contact **[Narrative, 50 characters each]**

Name \_\_\_\_\_ Title \_\_\_\_\_

- 1.5c.** Street Address **[Narrative, 200 characters]**
- 1.5d.** City **[Narrative, 50 characters]**
- 1.5e.** State **[Dropdown]**
- 1.5f.** Zip Code **[Numerical Response, 5 digits]**

- 1.5g.** Telephone Number [**Numerical Response, 10 – 15 digits to include extensions**]
- 1.5h.** Fax Number [**Numerical Response, 10 digits**]
- 1.5i.** Email Address [**Narrative, 150 characters**]
- 1.5j.** State Association Website [**Narrative, 200 characters**]
- 1.5k.** State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ✓ Yes   ○ No

## Section 2

### State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ✓ Yes ☐ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ✓ Yes ☐ No
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. **[Attach a document and/or provide a link, 1500 characters]**

**GUIDANCE:** The labeling of all attachments should include the question number for which the document provides supplementary information, the question heading, and the type of document provided. As an example, a state statutory document could be labeled as:

2.3. Legislation/Regulation Document, Washington D.C. Statute

- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. ☐ Yes ✓ No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. ☐ Yes ✓ No
- 2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. ✓ Yes ☐ No

## Section 3

### State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency. [The mission of the Department for Community Based Services 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.]

**3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan. [The goals of Kentucky are as follows: To direct and manage the CBSG Program and to administer funds to eligible entities in accordance with the Act, 42 U.S.C. 9901 et seq, the applicable Kentucky Revised Statutes in Chapters 45 and 273, and the applicable Kentucky Administrative Regulations in Title 922 Chapter 6;. To provide community services to impoverished Kentuckians in 120 counties of the Commonwealth who meet the eligibility criteria; to ensure timely annual audits of the 23 CAAs in the Commonwealth; to monitor the 23 CAAs for compliance with Federal and State laws and regulations and terms of the contract; to provide or procure training and technical assistance to the CAAs staff in the area of goal setting and reporting measurable outcomes, and to analyze and monitor monthly service report statistics in order to determine effectiveness and efficiency of funded programs.]

**GUIDANCE:** States should take into account feedback from OCS, their eligible entities, and the ACSI survey completed by eligible entities when creating their state plan goals.

**Instructional Note:** For examples of "goals," see State Accountability Measure 1Sa(i).

**Note:** This information is associated with State Accountability Measure 1Sa(i) and pre-populates the state's Annual Report, Module 1, Item B.1.

**3.3. State Plan Development:** Indicate the information and input the state accessed to develop this State Plan.

**3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]**

- ☒ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☐ U.S. Census data
- ☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
- ☒ Tools not identified above (specify) **[Eligible Entity Plans]**

**3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]**

- ✓ Eligible entity community needs assessments
- ✓ Eligible entity community action plans
- ☐ Public Hearings/Workshops
- ✓ Tools not identified above (e.g., state required reports) [specify] **[Quarterly NPI Reports]**

**3.3c. Consultation with [Check all that applies and narrative where applicable]**

- ✓ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ✓ State Association
- ✓ National Association for State Community Services Programs (NASCSPP)
- ✓ Community Action Partnership (The Partnership)
- ✓ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ✓ Regional Performance Innovation Consortium (RPIC)
- ✓ Association for Nationally Certified ROMA Trainers (ANCRT)
- ✓ Federal CSBG Office
- ☐ Organizations not identified above (specify) **[Narrative, 500 characters]**

**3.4. Eligible Entity Involvement**

- 3.4a.** Describe the specific steps the state took in developing the State Plan to involve the eligible entities. **[The CAAs are required to prepare and submit an annual Plan and Budget Proposal on how the agency plans to ensure coordination and non-duplication of services with other service providers, inclusive of faith-based organizations, fatherhood programs, healthy marriage programs, and One-Stop partnerships. The information included in their Proposals was reviewed and compiled for this State Plan.]**

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

- 3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[ By contractual agreement DCBS is required to make the State Plan available to the eligible entities. However, based on feedback from the ACSI survey, DCBS will ensure that eligible entities are given the opportunity to review the State Plan and make comments accordingly through email and correspondence. The State Plan will be provided to the Executive Directors, CSBG Directors and Chief Financial Officers for each agency. Kentucky will use the ACSI survey as a tool by compiling all the comments provided in the survey**



to identify what steps should be taken in developing/improving the State Plan.]

**Note:** This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

- 3.5. Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One \_\_\_\_ Year Two 85\_\_ **[Numerical, 3 digits]**

**Instructional Note:** The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

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

**GUIDANCE:** The targets reported here should match the future target set in the Annual Report, Section B, Table B.2.

**GUIDANCE:** Review the [ACSI IM](#) about setting targets for your eligible entity overall satisfaction that are realistic, reasonable, attainable, and possible.

## Section 4

### CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act. **[A notice is published in newspapers announcing the availability of the plan for public review and comment. A copy of the plan is made available upon request. This State plan was made available for public inspection on: May 26, 2019 ]]**

**GUIDANCE:** Under this question, detail how the state provided the State Plan to the public, including providing sufficient time (ideally no fewer than 30 days) for the public to provide feedback prior to the public hearing. Distribution to the public should include distribution directly to the eligible entities (e.g. via email or publication on a public website with specific notification to the eligible entities) in the state as well as any other interested parties.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Pursuant to KRS Chapter 424 and KRS 45.352, the Legislative Research Commission (LRC) of the Kentucky General Assembly shall, within ten (10) days of receiving the block grant application from the State administering agency, provide for statewide notice of a public hearing to be conducted by the designated review body for the purpose of receiving comments on the block grant application. The LRC shall, no later than sixty (60) days prior to the submission of the block grant application to the Federal administering agency, provide for a public hearing on each block grant application. The hearing may be held at such time, place and location as the LRC shall determine. The hearing and deliberation shall be electronically recorded. The recording shall constitute public record]**
- 4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

**Instructional Note:** A public hearing is required for each new submission of the State Plan. The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

| Date            | Location                                       | Type of Hearing<br><i>[Select an option]</i>  | If a Combined Hearing was held<br>confirm that the public was invited. |
|-----------------|--|---|--|
| [Select a date] | [Narrative, Facility and City, 100 characters] | <input type="radio"/> Public<br><input type="radio"/> Legislative<br><input type="radio"/> Combined | <input type="checkbox"/>   |

| <b>Date</b>   | <b>Location</b>  | <b>Type of Hearing<br/>[Select an option]</b>                | If a Combined Hearing was held<br>confirm that the public was invited. |
|---|--|--|--|
| <b>[TBD]</b>  | <b>Frankfort, KY – Legislative<br/>Research Commission</b> | <ul style="list-style-type: none"> <li>• Combined</li> </ul> | ✓  |
| <b>ADD a ROW function</b> Note: States will be able to add as needed for each additional hearing. |  |  |  |

**GUIDANCE:** A combined hearing refers to having one joint public and legislative hearing.

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.  
**[Attach the agenda and minutes from the hearing.]**

**GUIDANCE:** Supporting documentation may include, but is not limited to, agendas, sign-in sheets, transcripts, and notices/advertisements of the hearings. All attachments should include the question number, question heading, type of document and the date of the hearing/meeting (as applicable).

**EXAMPLE:** An agenda would be named: 4.4. Public and Legislative Hearings Agenda 062117

## Section 5

### CSBG Eligible Entities

**5.1. CSBG Eligible Entities:** In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

| CSBG Eligible Entity  | Geographical Area Served (by county)<br>[Provide all counties]                  | Public or Nonprofit | Type of Entity<br>(choose all that apply)  |
|---|---|---------------------|--|
| [READ-ONLY]   | [READ-ONLY]   | [READ-ONLY]         | <ul style="list-style-type: none"> <li>• Community Action Agency</li> <li>• Limited Purpose Agency</li> <li>• Migrant or Seasonal Farmworker Organization</li> <li>• Tribe or Tribal Organization</li> </ul> |
| Audubon Area Community Services   | Daviess, Hancock, Henderson, McClean, Ohio, Union, Webster                      | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Bell-Whitley Community Action Agency  | Bell, Whitley   | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Big Sandy Area Community Action Partnership   | Floyd, Johnson, Magoffin, Martin, Pike  | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Blue Grass Community Action Partnership   | Anderson, Boyle, Franklin, Garrard, Jessamine, Lincoln, Mercer, Scott, Woodford | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Central Kentucky Community Action Council   | Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson, Washington         | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Community Action Council for Lexington/Fayette, Bourbon Harrison, and Nicholas Counties | Bourbon, Fayette, Harrison, Nicholas  | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Community Action of Southern Kentucky   | Allen, Barren, Butler, Edmonson, Hart, Logan, Metcalfe, Monroe, Simpson, Warren | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Daniel Boone Community Action Agency  | Clay, Jackson, Laurel, Rockcastle   | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |
| Gateway Community Action Agency   | Bath, Menifee, Montgomery, Morgan, Rowan  | Nonprofit           | <ul style="list-style-type: none"> <li>• Community Action Agency</li> </ul>  |

| <b>CSBG Eligible Entity</b>   | <b>Geographical Area Served (by county)<br/>[Provide all counties]</b>              | <b>Public or Nonprofit</b> | <b>Type of Entity<br/>(choose all that apply)</b> |
|---|---|----------------------------|---|
| <b>Harlan County Community Action Agency</b>                        | Harlan  | Nonprofit                  | • Community Action Agency                         |
| <b>KCEOC Community Action Partnership</b>                           | Knox  | Nonprofit                  | • Community Action Agency                         |
| <b>Kentucky River Foothills Development Council</b>                 | Clark, Estill, Madison, Powell  | Nonprofit                  | • Community Action Agency                         |
| <b>Lake Cumberland Community Action Council</b>                     | Adair, Casey, Clinton, Cumberland, Green, McCreary, Pulaski, Russell, Taylor, Wayne | Nonprofit                  | • Community Action Agency                         |
| <b>Licking Valley Community Action Partnership</b>                  | Bracken, Fleming, Lewis, Mason, Robertson   | Nonprofit                  | • Community Action Agency                         |
| <b>LKLP Community Action Partnership</b>                            | Letcher, Knott, Leslie, Perry   | Nonprofit                  | • Community Action Agency                         |
| <b>Louisville Metro Office of Resilience and Community Services</b> | Jefferson   | Public                     | • Community Action Agency                         |
| <b>Middle Kentucky Community Action Partnership</b>                 | Breathitt, Lee, Owsley, Wolfe   | Nonprofit                  | • Community Action Agency                         |
| <b>Multi-Purpose Community Action Agency</b>                        | Bullitt, Shelby, Spencer  | Nonprofit                  | • Community Action Agency                         |
| <b>Northeast Kentucky Community Action Agency</b>                   | Boyd, Carter, Elliot, Greenup, Lawrence   | Nonprofit                  | • Community Action Agency                         |
| <b>Northern Kentucky Community Action Council</b>                   | Boone, Campbell, Carroll, Gallatin, Grant, Kenton, Own, Pendleton                   | Nonprofit                  | • Community Action Agency                         |
| <b>Pennyryle Allied Community Services</b>                          | Caldwell, Christian, Crittenden, Hopkins, Lyon, Livingston, Muhlenburg, Todd, Trigg | Nonprofit                  | • Community Action Agency                         |
| <b>Tri-County Community Action Agency</b>                           | Henry, Oldham, Trimble  | Nonprofit                  | • Community Action Agency                         |
| <b>West Kentucky Allied Services</b>                                | Ballard, Calloway, Carlisle, Fulton, Graves, Hickman, Marshall, McCracken           | Nonprofit                  | • Community Action Agency                         |

| CSBG Eligible Entity   | Geographical Area Served (by county)<br>[Provide all counties] | Public or Nonprofit | Type of Entity<br>(choose all that apply) |
|--|--|---------------------|---|
| THE ADD-A-ROW FUNCTION WILL NOT BE AVAILABLE ON THIS TABLE. ANY ADDITIONS/DELETIONS TO THE ELIGIBLE ENTITY LIST SHOULD BE MADE WITHIN THE MASTER LIST. |  |                     |   |

**Note:** Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

**GUIDANCE:** Under *Type of Entity*, select more than one type by holding down the CTRL key while making selections.

**Note:** Whether nonprofit or public, entities that receive CSBG funds are generally considered to be Community Action Agencies for the purpose of administering CSBG. The only specific exceptions outlined in the CSBG Act are Limited Purpose Agencies, Migrant and Seasonal Farmworker organizations, and Tribes and Tribal Organizations

**Instructional Note: Limited Purpose Agency** refers to an eligible entity that was designated as a limited purpose agency under Title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under Title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under Title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

**Instructional Note: 90 percent funds** are the funds a state provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A state must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

**5.2.** Total number of CSBG eligible entities: 23 [This will automatically update based on Table 5.1.]

**5.3. Changes to Eligible Entities List:** Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: **[Check all that apply]**.

- ☐ Designation and/or Re-Designation
- ☐ De-designations and/or Voluntary Relinquishments
- ☐ Mergers
- ☒ No Changes to Eligible Entities List

**GUIDANCE:** The following three questions will only need to be answered based on your response to 5.3.

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

| CSBG Eligible Entity   | Type   | Start Date    | Geographical Area Served    |
|--|--|---------------|-----------------------------|
| [Narrative, 150 characters]  | <b>[Dropdown:</b> <ul style="list-style-type: none"> <li>Designation</li> <li>Permanent Re-Designation</li> <li>Interim Re-Designation]</li> </ul> | [Date Picker] | [Narrative, 550 characters] |
| <b>ADD-A-ROW FUNCTION.</b> Note: States will be able to add a row as needed. |  |               |                             |

**GUIDANCE:** A designation refers to an entity that was not receiving funding in the previous federal fiscal year(s) and/or was not included in the previous CSBG State Plan. Re-designation refers to an entity that is already designated/receiving funds but is now receiving funds to serve an additional geographic area previously served by another entity. A permanent re-designation **must be conducted consistent with procedures outlined in Section 676A of the CSBG Act.** An interim re-designation may be noted when an entity has been identified to provide services after a voluntary relinquishment pending official designation of a permanent entity consistent with the requirements of Section 676A. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

- 5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

| CSBG Eligible Entity   | Reason   |
|--|--|
| [Narrative, 150 characters]  | [Dropdown: <ul style="list-style-type: none"> <li>Termination/De-designation</li> <li>Voluntary Relinquished]</li> </ul> |
| <b>ADD-A-ROW FUNCTION.</b> Note: States will be able to add a row as needed. |  |

- 5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

| Original CSBG Eligible Entities  | Surviving CSBG Eligible Entity | New Name<br>(as applicable) | DUNS No.                    |
|--|--------------------------------|-----------------------------|-----------------------------|
| [Narrative, 500 characters]<br><br><i>List and number all entities involved.</i> | [Narrative, 150 characters]    | [Narrative, 150 characters] | [Narrative, 150 characters] |
| <b>ADD-A-ROW FUNCTION.</b> Note: States will be able to add a row as needed.     |                                |                             |                             |

**GUIDANCE:** This question refers to the merger of two or more existing CSBG eligible entities only. If an organization that was not previously a CSBG eligible entity merges is the surviving organization in a merger with a CSBG eligible entity, the new entity should be listed under 5.3a. as a new designation, while the previously funded CSBG eligible entity should be included under 5.3b.



## Section 6

### Organizational Standards for Eligible Entities

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

**6.1. Choice of Standards:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

- ☒ COE CSBG Organizational Standards
- ☐ Modified version of COE CSBG Organizational Standards
- ☐ Alternative set of organizational standards

**Note:** Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

**6.1a. Modified Organizational Standards:** In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.  
**[Narrative, 2500 characters]**

**6.1b. Alternative Organizational Standards:** If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. **[Attachment (as applicable)]**

**6.1c. Alternative Organizational Standards:** If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

☐ There were no changes from the previous State Plan submission **[Narrative, 2500 characters if not selected]**

Provide reason for using alternative standards **[Narrative, 2500 characters]**

Describe rigor compared to COE-developed Standards **[Narrative, 2500 characters]**

**6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative (as applicable)]**

- ☒ Regulation
- ☒ Policy
- ☒ Contracts with eligible entities
- ☐ Other, describe: **[Narrative, 5000 characters]**

**6.3. Organizational Standards Assessment:** Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**

- ☐ Peer-to-peer review (with validation by the state or state-authorized third party)
- ☐ Self-assessment (with validation by the state or state-authorized third party)
- ☐ Self-assessment/peer review with state risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

**6.3a. Assessment Process:** Describe the planned assessment process. **[Each of the 23 CAAs will receive annual onsite monitoring. The monitoring will be conducted by the State Office in collaboration with the State Association (CAK). Previously, the State Office conducted a mix of onsite reviews and desk reviews. It was determined that it was more efficient to do all monitoring onsite. This also afforded the State Office the opportunity to conduct onsite T//TA when appropriate.]**

**GUIDANCE:** Descriptions should also include improvements to the process made since the previous year including any new processes to increase efficiency or consistency of assessments.

**6.4. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ○ Yes ✓ No

**GUIDANCE:** The following question will only need to be answered based on your response to 6.4.

**6.4a.** Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

| CSBG Eligible Entity   | Exemption Provided | Description/Justification                                  |
|--|--------------------|--|
| [Narrative, 150 characters]  | [Select Yes or No] | [If Yes is selected, provide a narrative, 2500 characters] |
| <b>ADD a ROW function</b> Note: Rows will be able to be added for each additional exception. |                    |  |

**6.5. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **[Insert a percentage]** **Year One 65%\_ Year Two 75%**

**Note:** Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

**GUIDANCE:** Prior to setting the target, states should review [IM 138](#), review previous performance, and collaborate with the eligible entities and state association in identifying targets.

## SECTION 7

### State Use of Funds

#### Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

**7.1. Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- ☒ Historic
- ☐ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

**7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities. **[Per KRS 273.446, “An allocation formula for Community Services Block Grant funds shall be devised by the state administering agency. The allocation formula shall be based on the 1981 federal fiscal year federal community services administration grantee based allocation and the incidence and severity of poverty throughout the Commonwealth. The formula shall be set forth in administrative regulation by the state administering agency.”]**

**7.1b. Statute:** Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☒ Yes ☐ No

**7.2. Planned Allocation:** Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One 95\_\_\_\_ % Year Two 95\_\_\_\_ %

| Planned CSBG 90 Percent Funds – Year One  |   |
|---|---|
| CSBG Eligible Entity  | Funding Amount \$   |
| Pre-populates from the CSBG Eligible Entity Master List                                 | Enter the dollar amount for each eligible entity for the first FFY covered by this plan |
|   |   |
| <b>Total</b>  | Auto-calculated   |
| Audubon Area Community Services   | \$540,381.13  |
| Bell-Whitley Community Action Agency  | \$345,157.70  |
| Big Sandy Area Community Action Partnership   | \$729,798.60  |
| Blue Grass Community Action Partnership   | \$484,763.74  |
| Central Kentucky Community Action Council   | \$590,552.36  |
| Community Action Council for Lexington/Fayette, Bourbon Harrison, and Nicholas Counties | \$669,407.37  |
| Community Action of Southern Kentucky   | \$757,575.18  |
| Daniel Boone Community Action Agency  | \$468,301.32  |

| <b>Planned CSBG 90 Percent Funds – Year One</b>   |  |
|---|--|
| <b>CSBG Eligible Entity</b>   | <b>Funding Amount \$</b>   |
| Gateway Community Action Agency   | \$297,778.45   |
| Harlan County Community Action Agency   | \$212,254.04 & \$5,717.00 in General Funds   |
| KCEOC Community Action Partnership  | \$241,069.36   |
| Kentucky River Foothills Development Council  | \$397,130.07   |
| Lake Cumberland Community Action Council  | \$849,798.91   |
| Licking Valley Community Action Partnership   | \$234,397.51   |
| LKLP Community Action Partnership   | \$576,235.85   |
| Louisville Metro Office of Resilience and Community Services                            | \$1,655,886.53   |
| Middle Kentucky Community Action Partnership  | \$269,606.31   |
| Multi-Purpose Community Action Agency   | \$136,932.27 & \$37,907.00 in General Funds  |
| Northeast Kentucky Community Action Agency  | \$445,596.77   |
| Northern Kentucky Community Action Council  | \$647,739.09   |
| Pennyrile Allied Community Services   | \$567,644.95   |
| Tri-County Community Action Agency  | \$77,735.75 & \$60,644.00 in General Funds   |
| West Kentucky Allied Services   | \$445,134.74   |
| <b>Planned CSBG 90 Percent Funds – Year Two</b>   |  |
| <b>CSBG Eligible Entity</b>   |  |
| Pre-populates from the CSBG Eligible Entity Master List                                 | <b>Funding Amount \$</b>   |
| <b>Total</b>  | Enter the dollar amount for each eligible entity for the second FFY covered by this plan |
|   | Auto-calculated  |
| Audubon Area Community Services   | \$540,381.13   |
| Bell-Whitley Community Action Agency  | \$345,157.70   |
| Big Sandy Area Community Action Partnership   | \$729,798.60   |
| Blue Grass Community Action Partnership   | \$484,763.74   |
| Central Kentucky Community Action Council   | \$590,552.36   |
| Community Action Council for Lexington/Fayette, Bourbon Harrison, and Nicholas Counties | \$669,407.37   |
| Community Action of Southern Kentucky   | \$757,575.18   |
| Daniel Boone Community Action Agency  | \$468,301.32   |
| Gateway Community Action Agency   | \$297,778.45   |
| Harlan County Community Action Agency   | \$212,254.04 & \$5,717.00 in General Funds   |
| KCEOC Community Action Partnership  | \$241,069.36   |
| Kentucky River Foothills Development Council  | \$397,130.07   |
| Lake Cumberland Community Action Council  | \$849,798.91   |
| Licking Valley Community Action Partnership   | \$234,397.51   |
| LKLP Community Action Partnership   | \$576,235.85   |
| Louisville Metro Office of Resilience and Community Services                            | \$1,655,886.53   |

| Planned CSBG 90 Percent Funds – Year One     |   |
|--|---|
| CSBG Eligible Entity                         | Funding Amount \$                           |
| Middle Kentucky Community Action Partnership | \$269,606.31                                |
| Multi-Purpose Community Action Agency        | \$136,932.27 & \$37,907.00 in General Funds |
| Northeast Kentucky Community Action Agency   | \$445,596.77                                |
| Northern Kentucky Community Action Council   | \$647,739.09                                |
| Pennyryle Allied Community Services          | \$567,644.95                                |
| Tri-County Community Action Agency           | \$77,735.75 & \$60,644.00 in General Funds  |
| West Kentucky Allied Services                | \$445,134.74                                |

**Note:** This information pre-populates the state’s Annual Report, Module 1, Table E.2.

**7.3. Distribution Process:** Describe the specific steps in the state’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission). **[The Department specifies yearly requirements for the Plan and Budget Proposals, which are submitted by each CAA for Departmental approval. An approved Plan and Budget is incorporated within the contractual agreement between each CAA and the Cabinet and is subject to monitoring by the Division of Financial Management (DAFM). The contractual agreement is based on the state fiscal year of July 1 through June 30. Contracts are in place by July]. The State actually allocates 95% of the funds to the agencies and keeps 5% for state administration. Each CAA is assigned a percentage of the award. The percentage was set years ago using census data regarding each areas poverty level and population. That percentage was been carried through to set CSBG allocations for each agency. When the award is known, 95% of it is distributed to agencies in contracts using the percentage assigned to them.]**

**7.4. Distribution Timeframe:** Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award?    ✓ Yes    ○ No

**7.4a. Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

**[Narrative, 5000 Characters]**

**Note:** Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state’s annual report form.

**7.5. Performance Management Adjustment:** Describe the state’s strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail. **[The percentages were decided upon by prior DAFM workers and the current DAFM workers are unsure of the exact procedure used in determining this. There will be another census taken in 2020. Once that data is available, current DAFM staff will look at our percentages for each agency and see if they need to be modified to better**

meet the needs of the area.]

**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the state’s annual report form.

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

- 7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5\_\_\_\_ %      Year Two 5\_\_\_\_ %      [Numeric response, specify %]

**Note:** This information pre-populates the state’s Annual Report, Module 1, Table E.4.

- 7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 1      Year Two 1      [Numeric response, 0.00 – 99.99]

- 7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 0\_\_\_\_      Year Two 0\_\_\_\_      [Numeric response, 0.00 – 99.99]

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

- 7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act?      ☐ Yes    ☒ No

**GUIDANCE:** “No” should only be selected if the percentages provided under 7.2. and 7.6. equal to 100%.

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One** \_\_\_\_\_%    **Year Two** \_\_\_\_\_%

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

**Instructional Note:** The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) specifically requires a description of how the state intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in Item 7.9f of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. – 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.

**Note:** This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

| Use of Remainder/Discretionary Funds – Year One                                       |   |  |
|---|---|--|
| Remainder/Discretionary Fund Uses<br>(See 675C(b)(1) of the CSBG Act)                 | Planned \$  | Brief Description of Services and/or Activities  |
| 7.9a. Training/technical assistance to eligible entities                              | Enter either a planned \$ for each item listed for the first FFY that this plan covers. | These planned services/activities will be described in State Plan Item 8.1 <b>[Read Only]</b>                                    |
| 7.9b. Coordination of State-operated programs and/or local programs                   |   | These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b> |
| 7.9c. Statewide coordination and communication among eligible entities                |   | These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b> |
| 7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need  |   | <b>[Narrative, 5000 characters]</b>  |
| 7.9e. Asset-building programs   |   | <b>[Narrative, 5000 characters]</b>  |
| 7.9f. Innovation programs/activities by eligible entities or other neighborhood group |   | Describe here. <b>[Narrative, 5000 characters]</b>   |
| 7.9g. State charity tax credits   |   | <b>[Narrative, 5000 characters]</b>  |
| 7.9h. Other activities [Specify under Column 4]                                       |   | Specify the other activities funded through discretionary funds here. <b>[Narrative, 5000 characters]</b>                        |
| <b>Totals</b>   | <b>Auto-calculated</b>  |  |

| Use of Remainder/Discretionary Funds – Year Two (as applicable)       |  |  |
|---|--|--|
| Remainder/Discretionary Fund Uses<br>(See 675C(b)(1) of the CSBG Act) | Planned \$   | Brief Description of Services and/or Activities  |
| 7.9a. Training/technical assistance to eligible entities              | Enter either a planned \$ or % for each item listed for the first FFY that this plan covers. | These planned services/activities will be described in State Plan Item 8.1 <b>[Read Only]</b>                                    |
| 7.9b. Coordination of State-operated programs and/or local programs   |  | These planned services/activities will be described in State Plan section 9, State Linkages and Communication <b>[Read Only]</b> |

| Use of Remainder/Discretionary Funds – Year Two (as applicable)                       |                        |  |
|---|------------------------|--|
| Remainder/Discretionary Fund Uses<br>(See 675C(b)(1) of the CSBG Act)                 | Planned \$             | Brief Description of Services and/or Activities  |
| 7.9c. Statewide coordination and communication among eligible entities                |                        | These planned services/activities will be described in State Plan section 9, State Linkages and Communication <b>[Read Only]</b> |
| 7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need  |                        | <b>[Narrative, 5000 characters]</b>  |
| 7.9e. Asset-building programs   |                        | <b>[Narrative, 5000 characters]</b>  |
| 7.9f. Innovation programs/activities by eligible entities or other neighborhood group |                        | Describe here. <b>[Narrative, 5000 characters]</b>   |
| 7.9g. State charity tax credits   |                        | <b>[Narrative, 5000 characters]</b>  |
| 7.9h. Other activities [Specify under Column 4]                                       |                        | Specify the other activities funded through discretionary funds here. <b>[Narrative, 2500 characters]</b>                        |
| <b>Totals</b>   | <b>Auto-calculated</b> |  |

**GUIDANCE:** If the percentages provided under 7.2. and 7.6. do not equal 100%, the remaining percentage should be reported under 7.9. If the state does not have any remainder/discretionary fund activities (as listed in 7.9a. – 7.9g.), the remainder should be described in 7.9h.

**7.10. Remainder/Discretionary Funds Partnerships:** Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ The state directly carries out all activities (No Partnerships)
- ☒ The state does not have remainder/discretionary funds
- ☐ The state partially carries out some activities
- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☐ Other community-based organizations
- ☐ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 2500 characters]**

**Note:** This response will link to the corresponding CSBG assurance in Item 14.2.

**7.11. Performance Management Adjustment:** Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[The**



**state of Kentucky allocates 95% of the award to the agencies in a contract and the other 5% is used for state administration so this questions does not apply. If an agency does not spend all of their allocation for the SFY, it is added to their contract for the next SFY.]]**

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

## SECTION 8

### State Training and Technical Assistance

- 8.1. Training and Technical Assistance Plan:** Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.) **Note:** This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

**GUIDANCE:** Table 8.1. should only include the trainings that are being paid for using state discretionary training and technical assistance funds as noted under 7.9a.

| Training and Technical Assistance – Year One   |   |   |  |
|--|---|---|--|
| Planned Timeframe  | Training, Technical Assistance, or Both   | Topic   | Brief Description of “Other”   |
| <b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• FY1 Q1</li> <li>• FY1 Q2</li> <li>• FY1 Q3</li> <li>• FY1 Q4</li> <li>• Ongoing/Multiple Quarters</li> <li>• All quarters</li> </ul> | <b>Toggle Options:</b> <ul style="list-style-type: none"> <li>• Training</li> <li>• Technical Assistance</li> <li>• Both</li> </ul> | <b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Fiscal</li> <li>• Governance/Tripartite Boards</li> <li>• Organizational Standards – General</li> <li>• Organizational Standards – for eligible entities with unmet TAPs or QIPs</li> <li>• Correcting Significant Deficiencies Among Eligible Entities</li> <li>• Reporting</li> <li>• ROMA</li> <li>• Community Assessment</li> <li>• Strategic Planning</li> <li>• Monitoring</li> <li>• Communication</li> <li>• Technology</li> <li>• Other</li> </ul> | If other is selected in column 3, describe in this column  |
| [Select one dropdown per row]  | [Select one dropdown per row]   | [Select one dropdown per row]   | [Narrative, 500 characters]  |
| FY1 Q3   | Both  | Other   | State Office and State Association will hold annual CSBG Spring Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc. |

| <b>Training and Technical Assistance – Year One</b> |  |                   |   |
|---|--|-------------------|---|
| <b>Planned Timeframe</b>                            | <b>Training, Technical Assistance, or Both</b> | <b>Topic</b>      | <b>Brief Description of “Other”</b>   |
| <b>FY1 Q3</b>                                       | <b>Both</b>                                    | <b>Other</b>      | State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.).                                     |
| <b>FY1 Q4</b>                                       | <b>Both</b>                                    | <b>Other</b>      | State Office and State Association will hold annual CSBG Fall Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.  |
| <b>Ongoing/Multiple Quarters</b>                    | <b>Both</b>                                    | <b>ROMA</b>       | Ongoing T/TA with CSBG Implementation and CASTiNET (eligible entity state-wide reporting software – Community Action Kentucky program staff provides ongoing T/TA to community action staff with CSBG implementation and CASTiNET through email, phone calls, etc |
| <b>Ongoing/Multiple Quarters</b>                    | <b>Technical Assistance</b>                    | <b>Technology</b> | Ongoing T/TA with CSBG Implementation and CASTiNET (eligible entity state-wide reporting software   |

| Training and Technical Assistance – Year One |   |                                    |   |
|--|---|------------------------------------|---|
| Planned Timeframe                            | Training, Technical Assistance, or Both | Topic                              | Brief Description of “Other”  |
|  |   |                                    | – Community Action Kentucky program staff provides ongoing T/TA to community action staff with CSBG implementation and CASTiNET through email, phone calls, etc   |
| Ongoing/Multiple Quarters                    | Training                                | Governance/Tripartite Boards       | Ongoing T/TA with Executive Directors, CSBG directors, and program staff. Each eligible entity receives onsite T/TA from both State Association (routine) and State Office (typically coinciding with onsite monitoring)      |
| Ongoing/Multiple Quarters                    | Both                                    | Organizational Standards - General | Ongoing T/TA with CSBG staff, may include webinars, conference calls, or site visit.  |
| FY2 Q3                                       | Both                                    | Other                              | State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.). |
| FY2 Q3                                       | Both                                    | Other                              | State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging  |

| Training and Technical Assistance – Year One  |   |       |  |
|---|---|-------|--|
| Planned Timeframe   | Training, Technical Assistance, or Both | Topic | Brief Description of “Other”   |
|   |   |       | from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.).   |
| FY2 Q4  | Both                                    | Other | State Office and State Association will hold annual CSBG Fall Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc. |
| ADD A ROW function Note: Rows will be able to be added for each additional training |   |       |  |

| Training and Technical Assistance – Year Two   |   |   |   |
|--|---|---|---|
| Planned Timeframe  | Training, Technical Assistance, or Both   | Topic   | Brief Description of “Other”                              |
| <b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>FY2 Q1</li> <li>FY2 Q2</li> <li>FY2 Q3</li> <li>FY2 Q4</li> <li>Ongoing/Multiple Quarters</li> <li>All quarters</li> </ul> | <b>Toggle Options:</b> <ul style="list-style-type: none"> <li>Training</li> <li>Technical Assistance</li> <li>Both</li> </ul> | <b>Dropdown Options:</b> <ul style="list-style-type: none"> <li>Fiscal</li> <li>Governance/Tripartite Boards</li> <li>Organizational Standards – General</li> <li>Organizational Standards – for eligible entities with unmet TAPs or QIPs</li> <li>Correcting Significant Deficiencies Among Eligible Entities</li> <li>Reporting</li> <li>ROMA</li> <li>Community Assessment</li> <li>Strategic Planning</li> </ul> | If other is selected in column 3, describe in this column |

| Training and Technical Assistance – Year Two |   |  |   |
|--|---|--|---|
| Planned Timeframe                            | Training, Technical Assistance, or Both | Topic  | Brief Description of “Other”  |
| [Select one dropdown per row]                | [Select one dropdown per row]           | <ul style="list-style-type: none"> <li>Monitoring</li> <li>Communication</li> <li>Technology</li> <li>Other</li> </ul> [Select one dropdown per row] | [Narrative, 500 characters]   |
| FY2 Q3                                       | Both                                    | Other  | State Office and State Association will hold annual CSBG Spring Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.                                |
| FY2 Q3                                       | Both                                    | Other  | State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.). |
| FY2 Q4                                       | Both                                    | Other  | State Office and State Association will hold annual CSBG Fall Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.                                  |
| Ongoing/Multiple Quarters                    | Both                                    | ROMA   | Ongoing T/TA with CSBG Implementation and CASTiNET (eligible entity state-wide  |

| <b>Training and Technical Assistance – Year Two</b> |  |   |   |
|---|--|---|---|
| <b>Planned Timeframe</b>                            | <b>Training, Technical Assistance, or Both</b> | <b>Topic</b>                              | <b>Brief Description of “Other”</b>   |
|   |  |   | reporting software – Community Action Kentucky program staff provides ongoing T/TA to community action staff with CSBG implementation and CASTiNET through email, phone calls, etc  |
| <b>Ongoing/Multiple Quarters</b>                    | <b>Technical Assistance</b>                    | <b>Technology</b>                         | Ongoing T/TA with CSBG Implementation and CASTiNET (eligible entity state-wide reporting software – Community Action Kentucky program staff provides ongoing T/TA to community action staff with CSBG implementation and CASTiNET through email, phone calls, etc |
| <b>Ongoing/Multiple Quarters</b>                    | <b>Training</b>                                | <b>Governance/Tripartite Boards</b>       | Ongoing T/TA with Executive Directors, CSBG directors, and program staff. Each eligible entity receives onsite T/TA from both State Association (routine) and State Office (typically coinciding with onsite monitoring)  |
| <b>Ongoing/Multiple Quarters</b>                    | <b>Both</b>                                    | <b>Organizational Standards - General</b> | Ongoing T/TA with CSBG staff, may include webinars, conference calls, or site visit.  |
| <b>FY2 Q3</b>                                       | <b>Both</b>                                    | <b>Other</b>                              | State Association   |

| Training and Technical Assistance – Year Two  |   |       |   |
|---|---|-------|---|
| Planned Timeframe   | Training, Technical Assistance, or Both | Topic | Brief Description of “Other”  |
|   |   |       | Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.).                   |
| FY2 Q3  | Both                                    | Other | State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.). |
| ADD A ROW function Note: Rows will be able to be added for each additional training |   |       |   |

**8.1a. Training and Technical Assistance Budget:** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One \_\_\_\_\_ Year Two 0\_\_\_\_\_

**[Prepopulated with the budget allocation for years one and two under 7.9a]**

**8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. **[A process to identify, assess, and prioritize the T/TA needs of Kentucky’s CSBG eligible entities was developed in collaboration with State CSBG Lead Agency and the State Association. T/TA needs were identified through specific training requests, the results of Organizational Standards monitoring’s, evaluations from prior trainings, through interviews and discussion and questions which arose when reviewing the agencies state Plan and Budget Proposals (Community Action Plans). Per OCS recommendation from monitoring, the State Office is undertaking measures to receive direct access to eligible entity performance data. Currently, this data is captured by CAK and provided to the state on a quarterly basis. Going forward, the State Office will obtain**



this data directly via the state-wide software CASTiNET.]

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? **[Select one]** ☒ Yes ☐ No

**Note:** 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the state, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the state should put a TAP in place to support the entity in meeting the standard(s).

**8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **[Each agency that receives a Technical Assistance Plan or Quality Improvement Plan must indicate deliverable measures that will be implemented to correct unmet standards, including a timeframe, the person(s) responsible, types of action required, etc. within 30 days of receiving a TAP or QIP. The state office monitors the progress and tracks any deadlines. The State Office and State Association provide T/TA for eligible entities having difficulty with any specific Standards via email, phone, and onsite assistance. T/TA for Organizational Standards is provided formally and both Spring and Fall CSBG Sessions.]**

- 8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.) **[Check all that applies and narrative where applicable]**

- ☒ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☐ Other community-based organizations
- ☒ State Community Action Association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☒ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 1000 characters]**

- 8.4. Performance Management Adjustment:** Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[The State**

**Association designed a survey tool (vis-à-vis R-PIC) which was distributed to potential respondents across the state. Participants included staff from upper management to front line staff. The survey tool provided a wealth of statistical data which was used to support our assumptions about training needs. This information will be useful in setting upcoming trainings (CSBG Spring and Fall sessions, Annual Conference, Board Trainings, etc.)**

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

## SECTION 9

### State Linkages and Communication

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

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[All CAAs submit an annual CSBG Plan and Budget proposal in which they state their plans for ensuring the coordination and non-duplication of the agency's services with other service providers. In order to ensure compliance, agencies must state and demonstrate their willingness to both share client information and records within legal limitations and conduct meetings no less than twice a year with all social services agencies in their geographic service area. ]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- ✓ State Low Income Home Energy Assistance Program (LIHEAP) office
- ✓ State Weatherization office
- ✓ State Temporary Assistance for Needy Families (TANF) office
- ☐ State Head Start office
- ☐ State public health office
- ☐ State education department
- ☐ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ✓ Supplemental Nutrition Assistance Program (SNAP)
- ✓ State child welfare office
- ✓ State housing office
- ☐ Other

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). **[Pursuant to KRS 273.441(1)(e), each CAA collaborates with and encourages business, labor and other private groups and organizations to undertake, together with public officials and agencies, activities in support of the community action program, which will result in the additional use of private resources and capabilities. The goal of this collaboration is to develop new employment**

opportunities, stimulate investment that will have a measurable impact on reducing poverty among residents of areas of concentrated poverty, and provide methods by which residents of those areas can work with private groups, firms, and institutions in seeking solutions to problems of common concern.]

**Note:** This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

### 9.3. Eligible Entity Linkages and Coordination

**9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). **[KRS 273.443 states that CSBG funds Shall be used to coordinate and establish linkages between governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, and otherwise encourage economic development activities that would assist low-income persons to become economically productive members of the community.]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5, and pre-populates the Annual Report, Module 1, Item G.3a.

**9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[ The CAAs have developed extensive information and referral networks and participate in One-Stop service centers. Pursuant to KRS 273.443, CSBG funds are used to coordinate and establish linkages between Governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, or otherwise encourage developmental activities that would assist low-income persons to become economically productive members of the community. In addition, each CAA outlines these efforts yearly in a Plan and Budget Proposal, which undergoes the Departments approval process and, upon approval, is fully incorporated**

within the contractual agreement between the agencies and the Cabinet and is subject to monitoring. The CAAs are required to coordinate with the Departments other human services programs and provide detail of this coordination in the annual Plan and Budget Proposal. The Department and its contractor, Community Action Kentucky, also provide technical assistance to ensure coordination and to facilitate linkages.]

**Note:** This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

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

**Activities:** Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☐ Yes ☒ No

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

**9.4a. WIOA Combined Plan:** If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. **[Narrative, 5000 Characters]**

**9.4b. Employment and Training Activities:** If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. **[The CAAs have developed extensive information and referral networks and participate in One-Stop service centers. Pursuant to KRS 273.443, CSBG funds are used to coordinate and establish linkages between Governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, or otherwise encourage developmental activities that assist low-income persons to become economically productive members of the community. In addition, each CAA outlines these efforts yearly in a Plan and Budget Proposal, which undergoes the Departments approval process and, upon approval, is fully incorporated within the contractual agreement between the agencies and the Cabinet and is subject to monitoring. The CAAs are required to coordinate with the Departments other human service programs and provide detail of this coordination in the annual Plan and Budget Proposal. The Department and its contractor, CAK, also provide technical assistance to ensure coordination and**

to facilitate linkage.]

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act. **[Coordination with emergency energy crisis intervention programs under Title XXVI and the Low-Income Home Energy Assistance Program of the Omnibus Reconciliation Act of 1981 are described in each CAAs annual Plan and Budget Proposal. The Department is the State administering agency for these programs, in addition to CSBG. To further facilitate this coordination, the Department contracts with CAK to provide additional technical assistance, training, and other administrative functions of these programs]**

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

- 9.6. Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. **[The CAAs are required to include in the Plan and Budget Proposal how the agency plans to ensure coordination and non-duplication of services with other service providers, inclusive of faith-based organizations, fatherhood programs, healthy marriage programs and One-Stop partnerships. Subcontracting is another option to further enhance the available services and their delivery. In addition to the Results Oriented Management and Assessment (ROMA) Tool, the CAAs are required to submit a Logic Model for each of the nine NASCSP categories. Additionally, the CAAs and the local DCBS offices work jointly and agree upon each entity's roles, services to be provided, a joint referral mechanism and the assurance that through cooperative efforts, both parties have been able to identify and address the vital service needs of the geographic area]**

**Note:** this response will link to the corresponding assurance, Item 14.9

- 9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[The CAAs may develop and implement innovative community and neighborhood initiatives to meet local needs including, but not limited to, initiatives with the goal of strengthening families, addressing the local needs of immigrant populations, and encouraging effective parenting, such as the involvement of fathers and/or noncustodial parents, recruitment of foster parents, and prevention of homelessness.]**

**Note:** This response will link to the corresponding assurance, Item 14.3c.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe state activities for supporting coordination among the eligible entities and the

State Community Action Association. **[The State contracts with Community Action Kentucky to provide training and technical assistance as well as three CSBG trainings each year.]**

**Note:** This information will pre-populate the Annual Report, Module 1, Item G.5.

- 9.9. Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

| Communication Plan                           |  |  |  |
|--|--|--|--|
| Subject Matter                               | Expected Frequency   | Format   | Brief Description of "Other"   |
| General Communication with State Association | Daily  | Other  | Daily communication with State Association via email, phone, in-person meetings.   |
| Legislative/Public Hearing                   | Annually   | Meetings/Presentation  | Hearing held annually by the Legislative Research Commission   |
| Solicitation of Plan and Budget              | Annually   | Meetings/Presentation  | Meeting is held at the annual CSBG Spring Training Session   |
| General Information                          | Other  | Other  | Ongoing information is provided to agencies as needed via phone or email   |
| Tripartite Board Requirements                | Monthly  | Email  | Entity Tripartite Board tracking reviewed by State Office and included with each entity's board minutes.                                     |
| ROMA   | Quarterly  | Email  | ROMA data and correspondence with State Association quarterly via email.   |
| Organizational Standards Progress            | Annually   | Other  | Email and/or meeting with State Association to analyze data collected from Organizational Standards monitoring for T/TA development purposes |
| Upcoming Public and/or Legislative Hearings  | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>• Daily</li> <li>• Weekly</li> <li>• Twice-Monthly</li> <li>• Monthly</li> <li>• Quarterly</li> </ul> | <b>[Select All That Apply:</b> <ul style="list-style-type: none"> <li>• Newsletters</li> <li>• Mailing</li> <li>• Meetings/Presentations</li> <li>• Blog</li> <li>• Email</li> </ul> | If "Other" is selected in Columns 3, describe in this column.  |
| State Plan Development                       |  |  |  |
| Organizational Standards Progress            |  |  |  |
| State Accountability Measures Progress       |  |  |  |



|  |  |   |                                    |
|--|--|---|------------------------------------|
| Community Needs Assessments/Community Action Plans   | <ul style="list-style-type: none"><li>• Semi-Annually</li><li>• Annually</li><li>• Biannual</li><li>• Triennial</li><li>• As needed</li><li>• Upon Request</li><li>• Not Applicable]</li></ul> | <ul style="list-style-type: none"><li>• Website</li><li>• Social Media</li><li>• Webinar</li><li>• 1:1</li><li>• Phone Calls</li><li>• Public Notice</li><li>• Letters/Hard Copies</li><li>• Other]</li></ul> | <b>[Narrative, 250 characters]</b> |
| State Monitoring Plans and Policies  |  |   |                                    |
| Training and Technical Assistance (T/TA) Plans   |  |   |                                    |
| ROMA and Performance Management  |  |   |                                    |
| State Interagency Coordination   |  |   |                                    |
| CSBG Legislative/Programmatic Updates  |  |   |                                    |
| Tripartite Board Requirements  |  |   |                                    |
| <b>ADD A ROW function</b> Note: Rows will be able to be added for each additional training |  |   |                                    |

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. **[Any feedback the State has received from OCS is provided to the CAAs and State Association within 60 calendar days.]**

**Note:** This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

**GUIDANCE:** Under this question, include how the state will provide information to local entities and state associations within 60 days of receiving feedback from OCS.

**9.11. Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[DCBS staff and the State Association make a collaborative effort to improve communications and networking between the two offices and the eligible entities. Based on the needs of the eligible entities this may include: meetings, webinars, conference calls or emails. (Enter any specific feedback from ACSI.)]**

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

## SECTION 10

### Monitoring, Corrective Action, and Fiscal Controls

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

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

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

**Note:** This information is associated with State Accountability Measure 4Sa(i); this

response pre-populates the Annual Report, Module 1, Table H.1.

**GUIDANCE:** Monitoring that is specific to organizational standards should be referenced within Section 6, Item 6.3a.

| Monitoring Schedule – Year One       |  |   |   |                                       |                                     |   |
|--------------------------------------|--|---|---|---------------------------------------|-------------------------------------|---|
| CSBG Eligible Entity                 | Monitoring Type  | Review Type   | Target Quarter  | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of “Other”  |
| Narrative, 150 characters            | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>Full On-Site</li> <li>Newly Designated</li> <li>Follow-up</li> <li>Other</li> <li>No Review]</li> </ul> | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>Onsite Review</li> <li>Desk Review]</li> </ul> | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>FY1 Q1</li> <li>FY1 Q2</li> <li>FY1 Q3</li> <li>FY1 Q4]</li> </ul> | Select a Date                         | Select a Date                       | If “Other” is selected in Column 2, describe in this column<br><br><b>[Narrative, 500 characters]</b> |
| Audubon Area Community Services      | Full on-site   | Onsite Review   | FY1 Q3  | 7/23/18                               | 7/26/18                             |   |
| Bell-Whitley Community Action Agency | Full on-site   | Onsite Review   | FY1 Q2  | 5/7/18                                | 5/7/18                              |   |

| <b>Monitoring Schedule – Year One</b>   |                        |                    |                       |  |  |                                     |
|---|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>   | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Big Sandy Area Community Action Partnership   | Full on-site           | Onsite Review      | FY1 Q2                | 5/2/18                                       | 5/3/18                                     |                                     |
| Blue Grass Community Action Partnership   | Full on-site           | Onsite Review      | FY1 Q1                | 2/22/19                                      | 2/22/19                                    |                                     |
| Central Kentucky Community Action Council   | Full on-site           | Onsite Review      | FY1 Q3                | 8/21/18                                      | 8/24/18                                    |                                     |
| Community Action Council for Lexington/Fayette, Bourbon Harrison, and Nicholas Counties | Full on-site           | Onsite Review      | FY1 Q1                | 2/12/19                                      | 2/12/19                                    |                                     |

| <b>Monitoring Schedule – Year One</b>        |                        |                    |                       |  |  |                                     |
|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>                  | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Community Action of Southern Kentucky        | Full on-site           | Onsite Review      | FY1 Q2                | 5/18/18                                      | 5/18/18                                    |                                     |
| Daniel Boone Community Action Agency         | Full on-site           | Onsite Review      | FY1 Q2                | 4/26/18                                      | 4/26/18                                    |                                     |
| Gateway Community Action Agency              | Full on-site           | Onsite Review      | FY1 Q1                | 2/28/19                                      | 2/28/19                                    |                                     |
| Harlan County Community Action Agency        | Full on-site           | Onsite Review      | FY1 Q3                | 8/8/18                                       | 8/8/1/8                                    |                                     |
| KCEOC Community Action Partnership           | Full on-site           | Onsite Review      | FY1 Q2                | 5/8/18                                       | 5/8/18                                     |                                     |
| Kentucky River Foothills Development Council | Full on-site           | Onsite Review      | FY1 Q4                | 11/13/18                                     | 11/16/18                                   |                                     |

| <b>Monitoring Schedule – Year One</b>                        |                        |                    |                       |  |  |                                     |
|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>                                  | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Lake Cumberland and Community Action Council                 | Full on-site           | Onsite Review      | FY1 Q2                | 5/18/18                                      | 5/18/18                                    |                                     |
| Licking Valley Community Action Partnership                  | Full on-site           | Onsite Review      | FY1 Q1                | 2/13/19                                      | 2/14/19                                    |                                     |
| LKLP Community Action Partnership                            | Full on-site           | Onsite Review      | FY1 Q2                | 5/3/18                                       | 5/3/18                                     |                                     |
| Louisville Metro Office of Resilience and Community Services | Full on-site           | Onsite Review      | FY1 Q1                | 2/13/19                                      | 2/14/19                                    |                                     |

| <b>Monitoring Schedule – Year One</b>        |                        |                    |                       |  |  |                                     |
|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>                  | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Middle Kentucky Community Action Partnership | Full on-site           | Onsite Review      | FY1 Q1                | 2/14/19                                      | 2/14/19                                    |                                     |
| Multi-Purpose Community Action Agency        | Full on-site           | Onsite Review      | FY1 Q1                | 2/7/19                                       | 2/8/19                                     |                                     |
| Northeast Kentucky Community Action Agency   | Full on-site           | Onsite Review      | FY1 Q2                | 4/26/18                                      | 4/26/18                                    |                                     |
| Northern Kentucky Community Action Council   | Full on-site           | Onsite Review      | FY1 Q1                | 3/5/19                                       | 3/8/19                                     |                                     |

| Monitoring Schedule – Year One       |                 |               |                |                                       |                                     |                              |
|--------------------------------------|-----------------|---------------|----------------|---------------------------------------|-------------------------------------|------------------------------|
| CSBG Eligible Entity                 | Monitoring Type | Review Type   | Target Quarter | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of “Other” |
| Pennyrille Allied Community Services | Full on-site    | Onsite Review | FY1 Q4         | 11/26/18                              | 11/27/18                            |                              |
| Tri-County Community Action Agency   | Full on-site    | Onsite Review | FY1 Q1         | 2/20/19                               | 2/20/19                             |                              |
| West Kentucky Allied Services        | Full on-site    | Onsite Review | FY1Q2          | 5/4/18                                | 5/4/18                              |                              |

| Monitoring Schedule – Year Two          |   |   |   |                                       |                                     |   |
|---|---|---|---|---------------------------------------|-------------------------------------|---|
| CSBG Eligible Entity                    | Monitoring Type   | Review Type   | Target Quarter  | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of “Other”                                |
| This column will auto-populate from the | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>Full On-Site</li> <li>Newly Designated</li> <li>Follow-up</li> </ul> | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>Onsite Review</li> <li>Desk Review]</li> </ul> | <b>[Dropdown Options:</b> <ul style="list-style-type: none"> <li>FY2 Q1</li> <li>FY2 Q2</li> <li>FY2 Q3</li> <li>FY2 Q4]</li> </ul> | Select a Date                         | Select a Date                       | If “Other” is selected in Column 2, describe in this column |

| Monitoring Schedule – Year Two              |   |               |                |                                       |                                     |                              |
|---|---|---------------|----------------|---------------------------------------|-------------------------------------|------------------------------|
| CSBG Eligible Entity                        | Monitoring Type   | Review Type   | Target Quarter | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of “Other” |
| CSBG Eligible Entity Master List            | <ul style="list-style-type: none"> <li>Other</li> <li>No Review]</li> </ul> |               |                |                                       |                                     | [Narrative, 500 characters]  |
| Audubon Area Community Services             | Full on-site  | Onsite Review | FY2 Q3         | 7/23/18                               | 7/26/18                             |                              |
| Bell-Whitley Community Action Agency        | Full on-site  | Onsite Review | FY2 Q2         | 5/7/18                                | 5/7/18                              |                              |
| Big Sandy Area Community Action Partnership | Full on-site  | Onsite Review | FY2 Q2         | 5/2/18                                | 5/3/18                              |                              |
| Blue Grass Community Action Partnership     | Full on-site  | Onsite Review | FY2 Q1         | 2/22/19                               | 2/22/19                             |                              |
| Central Kentucky Community Action Council   | Full on-site  | Onsite Review | FY2 Q3         | 8/21/18                               | 8/24/18                             |                              |



| <b>Monitoring Schedule – Year Two</b>   |                        |                    |                       |  |  |                                     |
|---|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>   | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Community Action Council for Lexington/Fayette, Bourbon Harrison, and Nicholas Counties | Full on-site           | Onsite Review      | FY2 Q1                | 2/12/19                                      | 2/12/19                                    |                                     |
| Community Action of Southern Kentucky   | Full on-site           | Onsite Review      | FY2 Q2                | 5/18/18                                      | 5/18/18                                    |                                     |
| Daniel Boone Community Action Agency  | Full on-site           | Onsite Review      | FY2 Q2                | 4/26/18                                      | 4/26/18                                    |                                     |
| Gateway Community Action Agency   | Full on-site           | Onsite Review      | FY2 Q1                | 2/28/19                                      | 2/28/19                                    |                                     |
| Harlan County Community Action Agency   | Full on-site           | Onsite Review      | FY2 Q3                | 8/8/18                                       | 8/8/1/8                                    |                                     |

| <b>Monitoring Schedule – Year Two</b>                        |                        |                    |                       |  |  |                                     |
|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>                                  | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| KCEOC Community Action Partnership                           | Full on-site           | Onsite Review      | FY2 Q2                | 5/8/18                                       | 5/8/18                                     |                                     |
| Kentucky River Foothills Development Council                 | Full on-site           | Onsite Review      | FY2 Q4                | 11/13/18                                     | 11/16/18                                   |                                     |
| Lake Cumberland and Community Action Council                 | Full on-site           | Onsite Review      | FY2 Q2                | 5/18/18                                      | 5/18/18                                    |                                     |
| Licking Valley Community Action Partnership                  | Full on-site           | Onsite Review      | FY2 Q1                | 2/13/19                                      | 2/14/19                                    |                                     |
| LKLP Community Action Partnership                            | Full on-site           | Onsite Review      | FY2 Q2                | 5/3/18                                       | 5/3/18                                     |                                     |
| Louisville Metro Office of Resilience and Community Services | Full on-site           | Onsite Review      | FY2 Q1                | 2/13/19                                      | 2/14/19                                    |                                     |

| <b>Monitoring Schedule – Year Two</b>        |                        |                    |                       |  |  |                                     |
|--|------------------------|--------------------|-----------------------|--|--|-------------------------------------|
| <b>CSBG Eligible Entity</b>                  | <b>Monitoring Type</b> | <b>Review Type</b> | <b>Target Quarter</b> | <b>Start Date of Last Full Onsite Review</b> | <b>End Date of Last Full Onsite Review</b> | <b>Brief Description of “Other”</b> |
| Middle Kentucky Community Action Partnership | Full on-site           | Onsite Review      | FY2 Q1                | 2/14/19                                      | 2/14/19                                    |                                     |
| Multi-Purpose Community Action Agency        | Full on-site           | Onsite Review      | FY2 Q1                | 2/7/19                                       | 2/8/19                                     |                                     |
| Northeast Kentucky Community Action Agency   | Full on-site           | Onsite Review      | FY2 Q2                | 4/26/18                                      | 4/26/18                                    |                                     |
| Northern Kentucky Community Action Council   | Full on-site           | Onsite Review      | FY2 Q1                | 3/5/19                                       | 3/8/19                                     |                                     |
| Pennyryl e Allied Community Services         | Full on-site           | Onsite Review      | FY2 Q4                | 11/26/18                                     | 11/27/18                                   |                                     |

| Monitoring Schedule – Year Two     |                 |               |                |                                       |                                     |                              |
|------------------------------------|-----------------|---------------|----------------|---------------------------------------|-------------------------------------|------------------------------|
| CSBG Eligible Entity               | Monitoring Type | Review Type   | Target Quarter | Start Date of Last Full Onsite Review | End Date of Last Full Onsite Review | Brief Description of “Other” |
| Tri-County Community Action Agency | Full on-site    | Onsite Review | FY2 Q1         | 2/20/19                               | 2/20/19                             |                              |
| West Kentucky Allied Services      | Full on-site    | Onsite Review | FY2 Q2         | 5/4/18                                | 5/4/18                              |                              |

**GUIDANCE:** Comprehensive monitoring includes a review of program, administrative, fiscal and organizational standards.

If you are monitoring an entity as a follow up to an issue with another program this can be listed under “Other.”

When providing the date of your last full onsite review – this could be for any type of review that took place onsite. No dates for desk reviews should be provided here.

**10.2. Monitoring Policies:** Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach Contract Monitoring Procedures]**

**10.3. Initial Monitoring Reports:** According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities? **[20]**

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

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

**10.4. Closing Findings:** Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? ✓ Yes   ○ No

**10.4a. Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.  
**[Narrative, 2500 characters]**

**10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. **[1]**

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

**10.6. Reporting of QIPs:** Describe the state’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP?

**[Should the State identify that an eligible entity requires a QIP through monitoring the State will draft and send a letter reporting the QIP to OCS within 30 days of the State approving the QIP]**

**Note:** This item is associated with State Accountability Measure 4Sa(iii)).

- 10.7. Assurance on Funding Reduction or Termination:** The state assure that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

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

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

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

**10.8a. New Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. **[Kentucky Revised Statutes: KRS 273.435, Designation of Community Action Agency, <http://www.lrc.ky.gov/Statutes/statute.aspx?id=13739>]**

**10.8b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 Characters]**

- 10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? ☒ Yes ☐ No

**10.9a. Termination Citation:** If yes, provide the citation(s) of the law and/or regulation. **[Kentucky Administrative Regulation: 922 KAR 6:040, Termination of funding and hearing procedures. <http://www.lrc.ky.gov/kar/922/006/040.htm>]**

**10.9b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 characters]**

- 10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☐ Yes ☒ No

**10.10a. Re-Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 Characters]**

**10.10b. Re-Designation Procedures:** If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public. **[In accordance with 922 KAR 6:040, the Cabinet, should it decide to suspend or terminate funding to a CAA, will**

advise the CAA of the provisions for review of the termination proceedings to the Secretary of the U.S. Department of Health and Human Services pursuant of Section 676(a) of the CSBG Act.]

**GUIDANCE:** Re-designation implies that an entity that is already designated/receiving funds is now performing the duties and receiving funds that were previously designated to another entity, in addition to the funding that they are already receiving. This is different from a merger as an entity is not absorbing another entity. This re-designation may be permanent (**requires a formula redistribution**) or temporary while the state has officially designated a new entity and has completed a formula redistribution. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

#### **Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:** Describe how the state’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). **[Each federal grant has its own Sub-function, program and program period, which allow us to track each grant separately. Contracts are monitored on an annual basis.]**

**10.12. Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. **[In 2014, the Department began contracting with the Office of Inspector General (OIG) to complete desk audit reviews. If there are applicable findings OIG informs the Department, where a Management Decision Letter is drafted, with input from OIG if needed. The Management Decision Letter is then issued by the Director of the Division of Administration and Financial Management (DAFM).]**

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

**10.13. Assurance on Federal Investigations:** The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act.      ✓Yes    ○ No

**Note:** This response will link with the corresponding assurance, Item 14.7

**10.14. Performance Management Adjustment:** Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider

feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[No adjustments to CSBG monitoring procedures since the prior State Plan. All CSBG contracts are monitored on-site. Federal Review: No issues of non-compliance were found during OCS' Fiscal and Administrative analysis of DCBS. Kentucky will continue to provide services to include: quality, consistency, and timeliness of existing monitoring procedures throughout the state.]**

**Note:** This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.

## SECTION 11

### Eligible Entity Tripartite Board

- 11.1. Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. **[Check all that applies and narrative where applicable]**
- ☐ Attend Board meetings
  - ✓ Organizational Standards Assessment
  - ✓ Monitoring
  - ✓ Review copies of Board meeting minutes
  - ✓ Track Board vacancies/composition
  - ☐ Other **[Narrative, 2500 characters]**
- 11.2. Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. **[Select one and narrative where applicable]**
- ✓ Annually
  - ☐ Semiannually
  - ☐ Quarterly
  - ☐ Monthly
  - ✓ As It Occurs
  - ☐ Other **[Narrative, 2500 characters]**
- 11.3. Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act. **[The CAAs administer the CSBG program through a tripartite board that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities, in accordance with 42 U.S.C. 9902(1)(A) and 9910 and KRS 273.437. Members of the board are selected by the entity. The board is composed in a manner to ensure that at least one-third (1/3rd) of the members of the administering board shall be persons chosen in accordance with democratic selection procedures adequate to assure that they represent the poor in the area served by the agency. Additionally, each member of the board is to represent a specific geographic area within a community and resides in the area of representation. The CAAs are required to include a list of the members of the board of directors in the Plan and Budget Proposal. The information to be provided includes the name, address, and telephone number of the members of the board and their representation as an elected public official, low-income individuals who are members representing the specific**



community in the area of the agency, and other remaining members of business, industry, labor, religious, welfare, education, or other major groups and shall be interested in the community (Retrieved on May 19, 2015 at: <http://www.lrc.state.ky.us/krs/273-00/CHAPTER.HTM>) The Cabinet ensures that each county within the Commonwealth will be served by an eligible entity and that each entity provides services in an equitable manner in accordance with the approved Plan and Budget Proposal. During the contract monitoring process, the CAAs are monitored to determine if the CAA has complied with the approved Plan and Budget, contractual agreement, and applicable state and federal regulations and laws. Agencies complete a tripartite board tracking tool whenever a vacancy occurs on their board. The agency ensures the vacancy is filled within 90 days and provides documentation demonstrating its attempts to fill vacancies. The tool and board roster is monitored by the State Office for compliance. A monitoring process for ensuring CAA tripartite board compliance was developed as a result of OCS monitoring and recommendation.]

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

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

**11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

## Section 12

### Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:** Provide the income eligibility threshold for services in the state. **[Select one item below and numeric response where applicable.]**

- ✓ 125% of the HHS poverty line
- ☐ X % of the HHS poverty line (fill in the threshold): \_\_\_\_\_% **[Numeric response]**
- ☐ Varies by eligible entity **[Narrative, 5000 characters]**

**GUIDANCE:** Under *Varies by eligible entity*, provide the threshold and the reason that it varies by entity.

**12.1a.** Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Attach 992 KAR 6:010]**

**12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. **[For services with limited in-take procedures such as emergency food assistance, it is generally up to the CAA how they verify income. Self-declaration or signing a sheet saying they received the service (food) is the most common verifications used.]**

**12.3. Community-targeted Services:** Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). **[The Cabinet requires each CAA to submit a CSBG Plan and Budget Proposal, including a community needs assessment for the agency's designated area. Based on the needs of the community, the CAAs must address causes of poverty and mobilize community resources in a plan to address those challenges. The community needs assessment describes: The agency's community needs assessment process and procedures, including who in the community is involved and how they are involved; Methods utilized to assure community and consumer representation in the needs assessment process, including survey summaries, meeting minutes, and other tools utilized to obtain input from the community and consumers; Collaboration with other community service organizations; The community strengths and needs, including other service agencies that provide services meeting the community needs as described in KRS 273.443; A plan to ensure the coordination and non-duplication of the CAAs services with other service providers, including a description of the agency's coordination and consultation with the Cabinet to avoid duplication of services and ensure effective service delivery; Efforts to address the needs of youth in the low-income communities through youth development programs that support the primary role of the family, with priority given to the prevention of youth problems and crime and increased community coordination and collaboration in meeting the needs of low-income youth;**

**Services directed towards community participation and economic development; and  
Coordination with emergency energy crisis intervention programs under Title XXVI  
and the Low-Income Energy Assistance Program of the Omnibus Budget Reconciliation  
Act of 1981.]**

## SECTION 13

### Results Oriented Management and Accountability (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

**Note:** This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- ☒ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

**13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. **[Written procedures are provided in the contract with each CAA. Per contractual agreement, CAAs report performance measures applicable to each agency. Results of services are reported by the CAA on a quarterly basis that is compiled into a statewide report by CAK and submitted to the State Office on a quarterly basis. The CSBG Manual includes the ROMA cycle and National Performance Indicators. Each year the CSBG manual is reviewed and approved by the Cabinet.]**

**13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement. **[Narrative, 5000 characters]**

- 13.2. Outcome Measures:** Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. **[Agencies are required to submit within their CSBG Plan and Budget Proposals: family logic models, FNPI targets and the services which will be used to promote self-sufficiency, family stability and community revitalization .Kentucky's CAAs collect pertinent information at intake (income, demographics, etc.), services offered and outcomes achieved, and can create Family Goal Plans (Case Management Plans) for individuals and families. The agencies generate and submit quarterly NPI and Services reports documenting their results. Each agency chooses FNPIs based on the programs which they operate. Agencies utilize the full ROMA Cycle (Assessment, Planning, Implementation, Achievement of Results and Evaluation). They closely monitor their successes or failures using their outcome/results (FNPI) data and use this knowledge to evaluate the effectiveness of programs and to realign services within their community to promote self-sufficiency.]**

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

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

**13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. **[Community Action Kentucky, the State Association, is the Cabinet’s contract agent for providing ROMA training and technical assistance to the CAAs and to compile ROMA statewide reporting to the Cabinet. Annually, the CSBG Program Director and representatives from the CAAs attend a workgroup session to determine the ROMA goals and milestones for the upcoming fiscal year. Once the goals and milestones are determined, they are submitted to CAK to the Department for review and final approval. The Community Action Network utilizes computerized software, CASTiNET. The CASTiNET system is used for the purpose of data collection, reporting, and other related needs. The new ROMA National Performance Indicators will be included in the data collection and reporting. Kentucky prepares ROMA data reports on a State Fiscal Year, rather than a Federal Fiscal Year.]**

**Note:** The activities described under Item 13.3 may include activities listed in “Section 8: Training and Technical Assistance.” If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

**13.4. Eligible Entity Use of Data:** Describe how the state plans to validate that the eligible entities are using data to improve service delivery. **[CAAs are required to submit an explanation with their Plan and Budget Proposal of how they used the previous year’s ROMA data results to improve service delivery. Plans are reviewed by the Department and CAK to ensure the entities improve service delivery.]**

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

### Community Action Plans and Needs Assessments

**13.5. Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[The state develops a solicitation packet outlining requirements for each year’s Plan and Budget Proposal. The Department distributes the packet to all eligible entities. Therefore, in order to receive a contract for funding, each agency must have submitted a plan and received an approval letter from the State.]**

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

**13.6. Community Needs Assessment:** Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may

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

**[Each CAA is contractually obligated to complete a Community Needs Assessment annually pursuant of KRS 273. Each agency receives a solicitation packet for their Community Action Plan that includes the requirement for a Community Needs Assessment. These Plans must be approved in order to receive a contract for funding.]**

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

**SECTION 14**  
**CSBG Programmatic Assurances and Information Narrative**  
*(Section 676(b) of the CSBG Act)*

**14.1. Use of Funds Supporting Local Activities**

***CSBG Services***

**14.1a. 676(b)(1)(A)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
  - (i) to remove obstacles and solve problems that block the achievement of self- sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
  - (ii) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
    - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
    - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

**[Attach KRS 273.446 and KRS 273.443]**

### ***Needs of Youth***

**14.1b. 676(b)(1)(B)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
  - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
  - (ii) after-school child care programs;

**[The CAAs are required to describe, in their annual Community Action Plans, the efforts to address the needs of youth in the low-income communities through youth development programs that support the primary role of the family, with priority given to the prevention of youth problems and crime and increased community coordination and collaboration in meeting the needs of low-income youth.]**

### ***Coordination of Other Programs***

**14.1c. 676(b)(1)(C)** Describe how the state will assure “that funds made available through grant or allotment will be used –

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

**[The Department is Kentucky’s largest Executive Branch Agency for human service programs, including the Temporary Assistance for Needy Families Block Grant (TANF). The Department’s leadership further encourages collaboration and other opportunities to identify, explore and engage with families and community partners, including the other community-based and faith-based organizations. Kentucky Revised Statutes require coordination and effective use of the other programs. In addition, the Department specifies yearly requirements for the Plan and Budget Proposals, which are submitted by each CAA for Departmental approval. An approved Plan and Budget is incorporated within the contractual agreement between each CAA and the Cabinet and is subject to monitoring by the Department’s Division of Administration and Financial Management (DAFM).]**

### **State Use of Discretionary Funds**

**14.2. 676(b)(2)** Describe “how the State intends to use discretionary funds made



available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

**Note:** the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

**[No response; links to items 7.9 and 7.10.]**

#### **Eligible Entity Service Delivery, Coordination, and Innovation**

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

#### ***Eligible Entity Service Delivery System***

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

[Services will be delivered in each of the Kentucky’s 120 counties through the twenty-three (23) CAAs. Each CAA utilizes CSBG funds to provide direct services and administrative support for an array of services for the indigent population who meet 125% of the poverty guidelines. The Cabinet ensures that each county within the Commonwealth will be represented by an eligible entity and that each entity provides services in an equitable manner and according to the approved Plan and Budget for each CAA. If any county becomes unserved by a CSBG eligible entity for any reason, the Governor must designate private nonprofit organization or an existing CSBG eligible entity to serve that county in accordance with 42 U.S.C. 9909 and KRS 273.435(3). The term private, nonprofit organization includes religious organizations, and the Commonwealth will consider qualified faith-based and other nonprofit organizations, as well as existing eligible entities, in designating an eligible entity to serve an area that becomes unserved.]

#### ***Eligible Entity Linkages – Approach to Filling Service Gaps***

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.”

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

**[No response; links to 9.3b.]**

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

## **Resources**

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

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

**[No response; links to 9.7]**

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

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

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

**[Pursuant to KRS 273.437, neighborhood-based organizations comprised of residents of the area or individual members of the groups served by the CAA shall be consulted by each CAA to assist the agency in the planning, implementation, and evaluation of components of the community action program.]**

## **Eligible Entity Emergency Food and Nutrition Services**

- 14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

**[Pursuant to KRS 273.433, CSBG funds may be utilized to provide on an emergency basis supplies and services to meet immediate essential needs of low-income persons, including the elderly poor. Eligible entities provide information about nutrition services and make referrals to community programs. Short-term or one-time counseling may be provided to individuals or groups about nutrition, diet and food preparation. CSBG resources may be used to store and distribute surplus United States Department of Agriculture (USDA) agricultural commodities and other federally**

provided emergency food to low-income persons. Persons will be assisted by receiving benefits from food banks. Assistance may be provided to improve the diet of low-income families through neighborhood or community gardens, operation of community canneries or other projects to assist low-income families with preserving fruits, vegetables, and meats. Comprehensive training may be provided in the areas of nutrition principles, home economics, child and infant nutrition and guidance in consumer behavior. The utilization of CSBG resources may be maximized by supplementation of services through the Special Supplemental Nutrition Programs for Women, Infants and Children (WIC), summer feeding programs for children and provisions of transportation to nutrition project participants. Interagency planning and coordination includes measures to prevent starvation and malnutrition, mobilization of community resources to meet nutritional needs of low-income families and efforts to increase local awareness of identified nutrition needs of low-income groups.]

#### **State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

- 14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

**[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]**

#### **State Coordination/Linkages and Low-income Home Energy Assistance**

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

**[No response; links to 9.2 and 9.5]**

#### **Federal Investigations**

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

**[No response; links to 10.13]**

#### **Funding Reduction or Termination**

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

**[No response; links to 10.7]**

#### **Coordination with Faith-based Organizations, Charitable Groups, Community Organizations**

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

**Note:** The state describes this assurance in the State Linkages and Communication, item 9.6.

**[No response; links to 9.6]**

#### **Eligible Entity Tripartite Board Representation**

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

**Note:** The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

**[No response; links to item 11.3]**

### **Eligible Entity Community Action Plans and Community Needs Assessments**

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

**[No response; links to items 13.5 and 13.6]**

### **State and Eligible Entity Performance Measurement: ROMA or Alternate system**

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

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

**[No response; links to 13.1, 13.2, 13.3, and 13.4]**

### **Validation for CSBG Eligible Entity Programmatic Narrative Sections**

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

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

**[No response for this item]**

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

## SECTION 15

### Federal Certifications

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

#### **15.1. 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.

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

## 15.2. Drug-Free Workplace Requirements

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

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

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

*Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

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

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

### ***Certification Regarding Drug-Free Workplace Requirements***

#### **Alternate I. (Grantees Other Than Individuals)**

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;



- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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) **[Narrative, 2500 characters]**

☐ 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]

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

### 15.3. Debarment

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

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

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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***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, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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*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.

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

#### **15.4. 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.

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