



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

**Matthew G. Bevin**  
Governor

275 East Main Street, 3W-A  
Frankfort, KY 40621  
502-564-3703 Office  
502-564-6907 Fax  
[www.chfs.ky.gov/dcbs](http://www.chfs.ky.gov/dcbs)

**Adam M. Meier**  
Secretary

**Eric T. Clark**  
Commissioner

June 1, 2019

To the Citizens of the Commonwealth:

It is my pleasure to share with you a copy of the Fiscal Year 2020 Annual Plan for the intended use of Social Services Block Grant funds, in accordance with Title XX of the Social Security Act. The annual plan is based on estimated receipts in accordance with federal authorization. Should the actual appropriation differ, the plan will be changed accordingly.

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

Informed and active citizens' participation continues to be a major factor in the prudent use of scarce resources. Please send any comments or recommendations to Jennifer Thornhill, Division of Protection and Permanency, 275 East Main Street, 3E-A, Frankfort, Kentucky 40621.

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

Sincerely,

A handwritten signature in blue ink, appearing to read "Eric T. Clark".

Eric T. Clark  
Commissioner



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Secretary

**Eric T. Clark**  
Commissioner

June 1, 2019

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

Dear Mr. Mitchell:

Enclosed is the final version of the Social Services Block Grant (SSBG) annual plan and federal grant application for Fiscal Year 2020.

If you require additional or further clarification, please contact Laura Begin within the Commissioner's Office.

Sincerely,

A handwritten signature in blue ink, appearing to read "Eric T. Clark".

Eric T. Clark  
Commissioner

Enclosure



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**Adam M. Meier**  
Secretary

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Commissioner

June 1, 2019

Yolanda J. Butler, Ph.D.  
Director, Division of Social Services  
Office of Community Services  
Administration for Children and Families  
U.S. Department of Health and Human Services  
5<sup>th</sup> Floor West/Mail Room 5425  
330 C Street, S.W.  
Washington, DC 20201

Dear Ms. Butler:

Enclosed is the Kentucky Social Services Block Grant annual plan and federal grant application. The annual plan, which designates the proposed use and distribution of funds for the period of July 1, 2019 through June 30, 2020, is provided in accordance with 42 U.S.C. Sec. 1397c.

Sincerely,

A handwritten signature in blue ink that reads "Eric T. Clark".

Eric T. Clark  
Commissioner

Enclosure

## **EXECUTIVE SUMMARY**

### **Funding Agency**

U.S. Department of Health and Human Services  
Administration for Children and Families

### **Project Title**

Social Services Block Grant

### **Authorization**

The Omnibus Budget Reconciliation Act of 1981 enacted by Congress and signed by the President on August 13, 1981, amended Title XX of the Social Security Act to create the Social Services Block Grant. The purpose of this Act (P.L. 97-35) was to consolidate federal assistance for social services into a single grant, to increase state flexibility in utilizing social services funds, and to encourage states to provide social services directed at one or more of the five (5) broad federal goals:

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

On September 10, 1981, the Governor of Kentucky certified to the U.S. Department of Health and Human Services that the Kentucky Department for Human Resources (now Cabinet for Health and Family Services), by authority of KRS 194B.010, is the state agency designated to administer the Social Services Block Grant (SSBG) program.

### **Agency Contact**

Jennifer Thornhill, Branch Manager  
Department for Community Based Services  
Division of Protection and Permanency  
275 East Main Street, 3E-A  
Frankfort, Kentucky 40621  
Phone: 502-564-7635  
FAX: 502-564-4653

### **Name and Address of Performing Organization**

Cabinet for Health and Family Services      Proposed Start Date: 07/01/19  
Department for Community Based Services      Proposed End Date: 06/30/20  
275 East Main Street, 3E-A  
Frankfort, Kentucky 40621

### **Service Delivery**

The Cabinet for Health and Family Services (CHFS), Department for Community Based Services (DCBS) is responsible for providing adult and child protective services, foster care and adoption services, and services to enhance family self-sufficiency. The state of Kentucky is divided into nine (9) Service Regions, which provide coverage to each of the 120 counties in Kentucky. The Service Regions are responsible for direct service delivery, including eligibility determinations; moving families toward self-sufficiency; providing adult and child protection and permanency; and creating safe environments and self-sustaining families. In an effort to fill any gaps in providing these services statewide, and due to budgetary restraints in hiring additional staff, some services are procured through contractual arrangements.

### **Access and Eligibility**

All services in the Social Services Block Grant (SSBG) program are available for child and adult protection clients. If funding becomes short or limited, the need for service will then be determined by DCBS.

DCBS has established the following definitions for "adult" and "child".

- In accordance with KRS 209.020 and 209A.020 "adult" means:
  - A person eighteen (18) years of age or older who, because of mental or physical dysfunctioning, is unable to manage his or her own resources, carry out the activity of daily living, or protect himself or herself from neglect, exploitation, or a hazardous or abusive situation without assistance from others, and who may be in need of protective services.
  
- In accordance with KRS 199.011, 600.020, and 610.110, "child" means:
  - Any person who has not reached his eighteenth (18<sup>th</sup>) birthday, unless otherwise provided.
  - Upon motion of the child and agreement of the Department of Juvenile Justice or the Cabinet, as appropriate, the court may authorize an extension of commitment up to age twenty-one (21) for the purpose of permitting the Department of Juvenile Justice or the Cabinet, as appropriate, to assist the child in establishing independent living arrangements if a return to the child's home is not in his best interest.

## **Funding**

Kentucky's program year coincides with the State Fiscal Year (SFY) of July 1 - June 30. Since the Federal Fiscal Year (FFY) does not coincide with the SFY, the estimated Federal funds available for the SFY are obtained by using one-fourth of the funds appropriated in the previous FFY and three-fourths of the funds appropriated in the current FFY. The Social Services Block Grant is considered a revenue source used to support, in part, the State mandated social services programs administered by the Department.

Federal Funds Requested for SFY 2020: \$ 21,684,217.00 (Projected).



**CABINET FOR HEALTH AND FAMILY SERVICES**

**DEPARTMENT FOR COMMUNITY BASED SERVICES**

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**TITLE XX –Social Services Block Grant  
Final Annual Plan**

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**JULY 1, 2019 THROUGH JUNE 30, 2020**

**FRANKFORT, KENTUCKY  
June 1, 2019**

## **FEDERAL GRANTS Additional Information Requirements**

**1. Type of Assistance (Check One)**

_____	<b>Discretionary/Competitive</b>
<u>    X    </u>	<b>Formula</b>

**2. Federal Agency Submission Deadlines:**

<b>June 1, 2019</b>
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**3. Federal Approval Deadlines:**

<b>July 1, 2019</b>
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**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

<b>1.a. Type of Submission:</b> <input type="checkbox"/> Application <input checked="" type="checkbox"/> Plan <input type="checkbox"/> Funding Request <input type="checkbox"/> Other Other (specify): <input type="text"/>		<b>1.b. Frequency:</b> <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Quarterly <input type="checkbox"/> Other Other (specify): <input type="text"/>		<b>1.d. Version:</b> <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Resubmission <input type="checkbox"/> Revision <input type="checkbox"/> Update	
		<b>2. Date Received:</b> <input type="text" value="06/01/2019"/>		<b>STATE USE ONLY:</b>	
		<b>3. Applicant Identifier:</b> <input type="text"/>		<b>5. Date Received by State:</b> <input type="text"/>	
		<b>4a. Federal Entity Identifier:</b> <input type="text"/>		<b>6. State Application Identifier:</b> <input type="text"/>	
		<b>4b. Federal Award Identifier:</b> <input type="text"/>			
<b>1.c. Consolidated Application/Plan/Funding Request?</b> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> <input type="text" value="Explanation"/>					

**7. APPLICANT INFORMATION:**

<b>a. Legal Name:</b> <input type="text" value="Kentucky"/>	
<b>b. Employer/Taxpayer Identification Number (EIN/TIN):</b> <input type="text" value="1610600439A8"/>	<b>c. Organizational DUNS:</b> <input type="text" value="9270497670000"/>
<b>d. Address:</b>	
<b>Street1:</b> <input type="text" value="275 East Main Street, 5W-A"/>	<b>Street2:</b> <input type="text"/>
<b>City:</b> <input type="text" value="Frankfort"/>	<b>County / Parish:</b> <input type="text" value="Franklin"/>
<b>State:</b> <input type="text" value="KY: Kentucky"/>	<b>Province:</b> <input type="text"/>
<b>Country:</b> <input type="text" value="USA: UNITED STATES"/>	<b>Zip / Postal Code:</b> <input type="text" value="40601-2321"/>
<b>e. Organizational Unit:</b>	
<b>Department Name:</b> <input type="text" value="Community Based Services"/>	<b>Division Name:</b> <input type="text" value="Protection and Permanency"/>
<b>f. Name and contact information of person to be contacted on matters involving this submission:</b>	
<b>Prefix:</b> <input type="text"/>	<b>First Name:</b> <input type="text" value="Jennifer"/>
<b>Middle Name:</b> <input type="text"/>	
<b>Last Name:</b> <input type="text" value="Thornhill"/>	<b>Suffix:</b> <input type="text"/>
<b>Title:</b> <input type="text"/>	
<b>Organizational Affiliation:</b> <input type="text"/>	
<b>Telephone Number:</b> <input type="text" value="502-564-7635"/>	<b>Fax Number:</b> <input type="text"/>
<b>Email:</b> <input type="text" value="jennifer.thornhill@ky.gov"/>	

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

**8a. TYPE OF APPLICANT:**

A: State Government

Other (specify):

b. Additional Description:

**9. Name of Federal Agency:**

Administration for Children and Families

**10. Catalog of Federal Domestic Assistance Number:**

CFDA Title:

**11. Descriptive Title of Applicant's Project:**

SSBG

**12. Areas Affected by Funding:**

Adult Protective Services, Juvenile Residential Treatment, Training, At Risk Youth services, Home Safety services, and Child Protective Services

**13. CONGRESSIONAL DISTRICTS OF:**

a. Applicant:

KY

b. Program/Project:

KY-A11

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**14. FUNDING PERIOD:**

a. Start Date:

10/01/2019

b. End Date:

09/30/2020

**15. ESTIMATED FUNDING:**

a. Federal (\$):

b. Match (\$):

**16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

a. This submission was made available to the State under the Executive Order 12372 Process for review on:

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

17. Is The Applicant Delinquent On Any Federal Debt?

Yes

No

18. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I Agree

\*\* This list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

First Name:

Middle Name:

Last Name:

Suffix:

Title:

Organizational Affiliation:

Telephone Number:

Fax Number:

Email:

Signature of Authorized Representative:



Date Signed:

Attach supporting documents as specified in agency instructions.

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

**Consolidated Application/Plan/Funding Request Explanation:**

[Empty text area for explanation]

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

**Applicant Federal Debt Delinquency Explanation:**

[Empty text box for explanation]

**Application for Federal Assistance SF-424**

<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>* 2. Type of Application:</b> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<b>* If Revision, select appropriate letter(s):</b> _____ <b>* Other (Specify):</b> _____
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<b>* 3. Date Received:</b> 06/01/2019	<b>4. Applicant Identifier:</b> 01-CFC-004
--	---

<b>5a. Federal Entity Identifier:</b> _____	<b>5b. Federal Award Identifier:</b> _____
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**State Use Only:**

<b>6. Date Received by State:</b> _____	<b>7. State Application Identifier:</b> _____
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**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** Cabinet for Health and Family Services

<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 61-0600439	<b>* c. Organizational DUNS:</b> 9270497670000
--	---

**d. Address:**

**\* Street1:** 275 East Main Street, 5W-A  
**Street2:** \_\_\_\_\_  
**\* City:** Frankfort  
**County/Parish:** \_\_\_\_\_  
**\* State:** KY: Kentucky  
**Province:** \_\_\_\_\_  
**\* Country:** USA: UNITED STATES  
**\* Zip / Postal Code:** 40601-2321

**e. Organizational Unit:**

<b>Department Name:</b> Community Based Services	<b>Division Name:</b> Protection and Permanency
---	--

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:** \_\_\_\_\_ **\* First Name:** Jennifer  
**Middle Name:** \_\_\_\_\_  
**\* Last Name:** Thornhill  
**Suffix:** \_\_\_\_\_

**Title:** Branch Manager

**Organizational Affiliation:**  
\_\_\_\_\_

<b>* Telephone Number:</b> 502-564-7635	<b>Fax Number:</b> 502-564-4653
---	---------------------------------

**\* Email:** jennifer.thornhill@ky.gov

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

Department of Health and Human Services

**11. Catalog of Federal Domestic Assistance Number:**

93-667

CFDA Title:

Social Services Block Grant

**\* 12. Funding Opportunity Number:**

N/A

\* Title:

Social Services Block Grant

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

SSBG

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments



**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="21,684,217.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="164,099,910.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="185,784,127.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

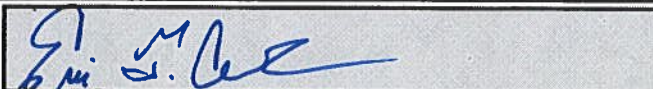
**Authorized Representative:**

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative: 

\* Date Signed:



**BUDGET INFORMATION - Non-Construction Programs**

OMB Number: 4040-0006  
Expiration Date: 02/28/2022

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. SSBG	93.667	\$	\$	\$ 21,684,217.00	\$ 164,099,910.00	\$ 185,784,127.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 21,684,217.00	\$ 164,099,910.00	\$ 185,784,127.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	SSBG				
	\$	\$	\$	\$	\$
a. Personnel	69,933,500.00				69,933,500.00
b. Fringe Benefits	73,988,100.00				73,988,100.00
c. Travel	3,604,100.00				3,604,100.00
d. Equipment	4,367,800.00				4,367,800.00
e. Supplies	18,879,850.00				18,879,850.00
f. Contractual	14,948,550.00				14,948,550.00
g. Construction					
h. Other	62,227.00				62,227.00
i. Total Direct Charges (sum of 6a-6h)	185,784,127.00				185,784,127.00
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$ 185,784,127.00	\$	\$	\$	\$ 185,784,127.00
7. Program Income	\$	\$	\$	\$	\$

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. SSBC	\$ 215,532,198.00		\$	\$ 215,532,198.00
9.				
10.				
11.				
<b>12. TOTAL (sum of lines 8-11)</b>	\$ 215,532,198.00		\$	\$ 215,532,198.00

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 21,684,217.00	\$ 5,421,054.25	\$ 5,421,054.25	\$ 5,421,054.25	\$ 5,421,054.25
14. Non-Federal	\$ 164,099,910.00	\$ 41,024,977.50	\$ 41,024,977.50	\$ 41,024,977.50	\$ 41,024,977.50
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$ 185,784,127.00	\$ 46,446,031.75	\$ 46,446,031.75	\$ 46,446,031.75	\$ 46,446,031.75

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. SSBC	\$	\$	\$	\$
17.				
18.				
19.				
<b>20. TOTAL (sum of lines 16 - 19)</b>	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:		22. Indirect Charges:	
23. Remarks:			

### ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.


**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Commissioner
APPLICANT ORGANIZATION Department for Community Based Services	DATE SUBMITTED 5/30/2019



**Part A. Estimated Expenditures and Proposed Provision Method**

OMB NO.: 0970-0234

EXPIRATION DATE:

STATE: KENTUCKY	FISCAL YEAR: 2019	REPORT PERIOD: 7/18 to 06/19
Contact Person: Jennifer Thornhill	Phone Number: 502-564-7635	
Title: Internal Policy Analyst III	E-Mail Address: jennifer.thornhill@ky.gov	
Agency: Division of Protection and Permanency	Submission Date: June 1, 2019	

Service Supported with SSBG Expenditures	SSBG Expenditures		Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Method	
	SSBG Allocation	Funds transferred into SSBG*			Public	Private
1 Adoption Services						
2 Case Management						
3 Congregate Meals						
4 Counseling Services						
5 Day Care--Adults						
6 Day Care--Children						
7 Education and Training Services	130,800		1,177,200	1,308,000		
8 Employment Services						
9 Family Planning Services						
10 Foster Care Services--Adults						
11 Foster Care Services--Children						
12 Health-Related Services						
13 Home-Based Services	21,000		189,400	210,400	X	
14 Home-Delivered Meals						
15 Housing Services						
16 Independent/Transitional Living Services						
17 Information & Referral						
18 Legal Services						
19 Pregnancy & Parenting						
20 Prevention & Intervention						
21 Protective Services--Adults	1,682,500		15,142,500	16,825,000	X	
22 Protective Services--Children	12,716,417		137,017,183	149,733,600	X	
23 Recreation Services						
24 Residential Treatment	6,857,400		8,088,827	14,946,227	X	
25 Special Services--Disabled						
26 Special Services--Youth at Risk	276,100		2,484,800	2,760,900	X	
27 Substance Abuse Services						
28 Transportation						
29 Other Services***						
30 SUM OF EXPENDITURES FOR SERVICES	21,684,217		164,099,910	185,784,127		
31 Administrative Costs						
32 SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	21,684,217					

\* From which block grant(s) were these funds transferred?

\*\* Please list the sources of these funds:

\*\*\* Please list other services:

**Part B. Estimated Recipients**

OMB NO.: 0970-0234

EXPIRATION DATE: 06/30/2014

STATE: KENTUCKY
FISCAL YEAR: 2019

Service Supported with SSBG Expenditures	Children	Adults			Total Adults	Total
		Adults Age 59 Years & Younger	Adults Age 60 Years & Older	Adults of Unknown Age		
1 Adoption Services						
2 Case Management						
3 Congregate Meals						
4 Counseling Services						
5 Day Care--Adults						
6 Day Care--Children						
7 Education and Training Services						
8 Employment Services						
9 Family Planning Services						
10 Foster Care Services--Adults						
11 Foster Care Services--Children						
12 Health-Related Services						
13 Home-Based Services	2,014	2,359	307		2,666	4,680
14 Home-Delivered Meals					0	0
15 Housing Services					0	0
16 Independent/Transitional Living Services					0	0
17 Information & Referral					0	0
18 Legal Services					0	0
19 Pregnancy & Parenting					0	0
20 Prevention & Intervention					0	0
21 Protective Services--Adults				79,440	79,440	79,440
22 Protective Services--Children	344,970				0	344,970
23 Recreation Services					0	0
24 Residential Treatment	500				0	500
25 Special Services--Disabled					0	0
26 Special Services--Youth at Risk	2,960				0	2,960
27 Substance Abuse Services					0	0
28 Transportation					0	0
29 Other Services***					0	0
30 SUM OF RECIPIENTS OF SERVICES	350,444	2,359	307	79,440	82,106	432,550

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## INTRODUCTION

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

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

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

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

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

## DESIGNATION OF THE STATE AGENCY AND ORGANIZATION

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

## PROGRAM YEAR

Kentucky's program year coincides with the state fiscal year (SFY). This annual plan covers the period from July 1, 2019, through June 30, 2020. Funds expended for contractual services, supports, and activities are set out in written agreements with effective dates that coincide with the SFY dates.

Since the federal fiscal year (FFY) runs from October 1<sup>st</sup> through September 30<sup>th</sup>, the estimated SSBG federal funds available for the SFY are obtained by using one-fourth of the funds appropriated in FFY 2019 and three-fourths of the funds appropriated in FFY 2020. **See Appendix III.**

## GOALS AND OBJECTIVES

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

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

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

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

## **ELIGIBILITY CRITERIA**

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

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

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

## **PLANNING AND BUDGETING PROCESS**

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

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

The Kentucky legislature typically meets in January of even-numbered years to implement the biennial budget. The product of the legislative session is an appropriation for each of the next two (2) years including all funding sources. This SSBG plan is based on continuation of existing funding. A budget reduction plan to manage any federal or state fund reduction has also been developed.

## **DATA USED TO DETERMINE THE PROPOSED USE AND DISTRIBUTION OF FUNDS**

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

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

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

Projected expenditures for the 2016-2017 fiscal year were based on actual cost data for prior years, the Kentucky Executive Branch budget, and supporting data prepared for that document. Since direct services staff provides most of the state-mandated services, this accounts for 90% of the funds expended. The service regions' estimates for the proposed use of funds are based on utilization of services and staff costs.

The clients served and expenditures are only estimates and may be changed throughout the program year, depending upon the need and demand for a specific service. For fiscal year 2019, an estimate of clients and expenditures by service is included as **Appendix IV**. The proposed distribution of block grant expenditures (by service category) is also illustrated in **Appendix V**.

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

Administrative costs include funds expended for training, administrative support, or overhead costs. The portion of federal block grant funds to be used for administrative costs during SFY 2019 is projected at \$928,954.00

## **NEEDS ASSESSMENT**

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



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

### **METHOD OF SERVICE DELIVERY**

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

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

### **PURCHASE OF SERVICES**

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

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

### **APPROACH TO SERVICE DELIVERY**

The mission of DCBS is to build an effective and efficient system of care with Kentucky's 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.

The vision statement of DCBS is:

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

### **ROLE OF OTHER PUBLIC AND PRIVATE AGENCIES IN THE SERVICE DELIVERY SYSTEM**

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

### **CATALOG OF SERVICES AND ACTIVITIES**

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

Other activities include:

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

### **QUALITY ASSURANCE**

The primary quality assurance mechanism in Kentucky is the continuous quality improvement (CQI) process. CQI is "a continuous process that identifies and evaluates problems, uses a multidisciplinary approach and focuses on systems rather than individuals." The CQI process underlies all programs and services provided by DCBS.

The mission of the CQI process is to allow for a comprehensive department-wide process that staff uses to evaluate performance and create plans for improvement.

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

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

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

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

### **SERVICE APPEALS/HEARINGS**

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

### **STAFF TRAINING**

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

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

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

- New Employee Orientation Training (NEO) and Introduction to Community Based Services –These courses familiarize all new hires of DCBS with the functions of DCBS programs related to protection and permanency and family support. This includes an overview of all programs in DCBS, their mission and expected outcomes. This training enables staff to understand the overall strategic plan of DCBS and how their individual positions support Cabinet and DCBS goals as well as how they are supported by others within the DCBS. These trainings are conducted on a regional level. Safety training is also a requirement of new employees through NEO.
- Protection and Permanency (P&P) Academy for New Employees – The “credit for learning” initiative, a collaborative partnership between the public universities and DCBS, provides college graduate credit from accredited graduate social work programs for job related learning for new employees in the P&P Training Academy. The DCBS Training Branch revised the P&P Academy series to better meet the needs of DCBS new employees, supervisors and regional staff by providing a training experience framework that is more efficient and effective. The enhanced academy consists of five training/educational graduate level courses that provides a clear guide as to what new employees are able to do (duties/tasks) upon completion of the various training components. Participation in subsequent P&P Academy training/educational course tracks is contingent upon the job function the new employee is assigned.
- The enhanced P&P Academy series contains the following elements:
  - Job function specific “training tracks” for generic child welfare and adult protective services (APS) workers;
  - Content and activities reflective of job duties and tasks identified in the Developing a Curriculum (DACUM) process;
  - Necessary knowledge, skills, critical actions, and standards of practice (SOP) to effectively perform the job; and
  - Supervisor engagement strategies to involve the supervisor in the learning process of the new employee (i.e. use of coaching portfolios and implementation of the assessment phase, which includes Foundations: Core Principles Progress Report). The assessment phase enables new employees and their supervisors to gain a better understanding of the new employees’ abilities and provides the supervisor with a clear focus for continued coaching activities. During the assessment phase, new employees’ strengths and areas in need of further development are identified, and coaching action plans for development of those areas in need of improvement are created. The regional training coordinator facilitates a face-to-face meeting with the new worker and supervisor to discuss the coaching action plan, and information gathered



through the assessment phase is shared with designated regional staff and the DCBS Training Branch.

- Each new employee is required to complete classroom pre-requisites for the P&P Academy prior to participating in Academy Course 1:
  - Course 1-Components for job skill preparation include Foundations: Core Principles, Foundations: Acceptance Criteria, Foundations: Medical Indicators of Child Maltreatment, and Foundations: Assessing Safety and Risk.
  - Course 2-Components for job skill preparation are Partnership: Assessment, Documentation, and Court; Partnership: Collaborative Practice.
- After completion of Course 1 and Course 2, Foundations and Partnership Courses, the new employee is required to attend the training track based on their job function. The respective training track can include a combination of the following training/educational courses:
  - Course 3 - Case Management: Case Planning Services, Case Management: Out of Home Care, Case Management: Permanency Options;
  - Course 4 - Assessment and Case Management of Child Sexual Abuse. Adult Protection Staff will attend Meeting Needs of Vulnerable Adults and Adults in Need: Ongoing Service Provisions.
- Specialized and advanced trainings are offered to staff to increase skills in service delivery and are offered on an ongoing basis. This includes, but it is not limited to: Exploring Cultural Diversity and Prejudice, Risk Factors and the Assessment of Child Protective Services Investigations, Forensic Interviewing, and Collaborative Services in Mental Health and Substance Abuse. Optional graduate credit is available for completion of several of these courses. Other program specific training is offered on special topics at a regional and statewide level as indicated. Courses for increasing employee skills in working with foster/adoptive parents are also offered on an ongoing basis.
- Specific training for DCBS frontline supervisors in all program areas is available through the supervisory training series. The training is designed to provide management skill development opportunities essential to ensure a close integral link to the job as a frontline supervisor. This includes a focus on effective leadership habits and personnel management training to improve employee job performance.
- The advanced supervisory series is required for protection and permanency supervisors (FSOS), service region administrator associates (SRAA), and service region clinical associate (SRCA). The series consists of three graduate level courses, which are presented to supervisors over a six-month period. Each of the three courses focuses on the knowledge, skills, and opportunities for application of critical supervisory skills with a focus on learning reinforcement/transfer of learning for new and tenured employees. The course includes:
  - Advanced casework skills;
  - Casework supervision in child welfare; and
  - Child welfare supervisory coaching and mentoring.
- The delivery of outcome-driven training/educational courses requires a variety of learning methodologies and instructional delivery models, including but not limited to: classroom based instruction, web-based learning and instruction, distance learning

through the assessment phase is shared with designated regional staff and the DCBS Training Branch.

- Each new employee is required to complete classroom pre-requisites for the P&P Academy prior to participating in Academy Course 1:
  - Course 1-Components for job skill preparation include Foundations: Core Principles, Foundations: Acceptance Criteria, Foundations: Medical Indicators of Child Maltreatment, and Foundations: Assessing Safety and Risk.
  - Course 2-Components for job skill preparation are Partnership; Assessment, Documentation, and Court Partnership: Collaborative Practice. *- check*
- After completion of Course 1 and Course 2, Foundations and Partnership Courses, the new employee is required to attend the training track based on their job function. The respective training track can include a combination of the following training/educational courses:
  - Course 3 - Case Management: Case Planning Services, Case Management: Out of Home Care, Case Management: Permanency Options;
  - Course 4 - Assessment and Case Management of Child Sexual Abuse. Adult Protection Staff will attend Meeting Needs of Vulnerable Adults and Adults in Need: Ongoing Service Provisions.
- Specialized and advanced trainings are offered to staff to increase skills in service delivery and are offered on an ongoing basis. This includes, but it is not limited to: Exploring Cultural Diversity and Prejudice, Risk Factors and the Assessment of Child Protective Services Investigations, Forensic Interviewing, and Collaborative Services in Mental Health and Substance Abuse. Optional graduate credit is available for completion of several of these courses. Other program specific training is offered on special topics at a regional and statewide level as indicated. Courses for increasing employee skills in working with foster/adoptive parents are also offered on an ongoing basis.
- Specific training for DCBS frontline supervisors in all program areas is available through the supervisory training series. The training is designed to provide management skill development opportunities essential to ensure a close integral link to the job as a frontline supervisor. This includes a focus on effective leadership habits and personnel management training to improve employee job performance.
- The advanced supervisory series is required for protection and permanency supervisors (FSOS), service region administrator associates (SRAA), and service region clinical associate (SRCA). The series consists of three graduate level courses, which are presented to supervisors over a six-month period. Each of the three courses focuses on the knowledge, skills, and opportunities for application of critical supervisory skills with a focus on learning reinforcement/transfer of learning for new and tenured employees. The course includes:
  - Advanced casework skills;
  - Casework supervision in child welfare; and
  - Child welfare supervisory coaching and mentoring.
- The delivery of outcome-driven training/educational courses requires a variety of learning methodologies and instructional delivery models, including but not limited to: classroom based instruction, web-based learning and instruction, distance learning

and instruction, and “on the job” learning experiences in field offices blended with classroom time that supports the opportunity to practice new skills.

- Training is delivered to assist staff in meeting federal mandates. This includes, but is not limited to, limited English proficiency in Title VI of the Civil Rights Act, Health Insurance Portability and Accountability Act (HIPAA), American with Disabilities Act, and training related to meeting outcomes of federal Child and Family Services Review.
- Each DCBS service region has the capability of developing, coordinating, and/or providing in-service training to meet their specific needs through the regional training coordinator (RTC), an extension of the DCBS Training Branch. The RTC works in conjunction with the DCBS Training Branch to ensure specific regionalized trainings are consistent and meet the training need.
- A two-year pre-service certification program for child welfare workers, the Public Child Welfare Certification Program (PCWCP), is an ongoing DCBS program that works in conjunction with accredited undergraduate social work programs to provide specific academic courses, DCBS agency training, and tuition and stipend for qualified applicants approved to participate. After completion of the program, the PCWCP graduate is obligated to two years of employment in the state’s public child welfare system.
- DCBS continues to operate the MSW Stipend Program for selected tenured employees approved to participate. The program was established in response to meeting agency staffing requirements for the Council on Accreditation (COA) certification, federal Child and Family Services Review standards, and enhancement of workforce professionalism. This program works in conjunction with accredited graduate social work programs. After completion of the program, the MSW stipend graduate is obligated to an agency service commitment based on semester for semester.

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

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

## OFFICE OF HUMAN RESOURCE MANAGEMENT

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

### NON-DISCRIMINATION

Cabinet programs are operated in accordance with 920 KAR 1:090.

### CONFIDENTIALITY/HIPAA

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

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

### AUDITS

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

### BLOCK GRANT REPORTING REQUIREMENTS

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

KRS 45.357 requires LRC to review the actual use and distribution of funds annually. The Use and Distribution Report for Fiscal Year 2016 (July 1, 2018-June 30, 2019) is attached as **Appendix IX**. In addition to annual reporting, KRS 45.357 also requires the department to prepare and submit a half-year block grant program status report for legislative review (**Appendix X**).



## **PUBLIC REVIEW**

Typically, the Kentucky General Assembly formally reviews a preliminary draft of the Social Services Block Grant Plan 90 days prior to the official deadline for submission to the federal agency. This year's submission is being filed simultaneously with the allowed comment period and legislative review. The Legislative Research Commission will assign the plan to the committee of jurisdiction for their review and public hearing. Additionally, the cabinet advertises the upcoming year's intended use for these funds, and a notice is published in a sufficient number of newspapers to provide statewide coverage. A copy of the plan is made available upon request. Any revisions due to the comment period or legislative review will be incorporated into the plan and resubmitted prior to the implementation date of October 1, 2019.

## **SCOPE OF PLAN**

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

## **REVISION TO PLAN**

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

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

# **APPENDICES**

# **APPENDIX I**

**CABINET FOR HEALTH & FAMILY SERVICES  
(53) - 10104572**

**OFFICE OF THE SECRETARY  
(53-721) - 10104573**

**OFFICE OF LEGAL SERVICES  
10104574**  
DIV OF LAW, LITIGATION & FIELD OPS  
10104575

**OFFICE OF HR MGMT  
10104580**  
DIV OF HR ADMIN  
10104811  
HR ADMIN BR I  
10104812  
HR ADMIN BR III  
10104813  
HR ADMIN CBS BR  
10104814  
DIV OF EMPLOYEE MGT  
10104818  
TRAINING & PROF DEV BR  
10104819  
EMPLOYEE RELATIONS BR  
10104820  
BENEFIT RIGHTS COMPLIANCE BR  
10104821  
LANGUAGE ACCESS SEC  
10104822

**BUILDING COSTS (VISA ONLY)  
10104590**

**OFFICE OF ADMIN & TECH SVCS  
10104592**

**DIV OF GENERAL ACCOUNTING  
10104594**  
PAYABLES & TRAVEL REIMB BR  
10104595  
PAYABLES & TRAVEL REIMB SEC  
10104596  
COST ALLOC & SPEC PROJ BR  
10104597  
MEDICAL SUPPLY SVCS BR  
10104598  
PUBLIC ASST & SUPP SVCS BR  
10104599  
DIV OF FACILITIES MGT  
10104600  
ASSETS MGT BR  
10104601  
LEASING & DESIGN SVCS BR  
10104602  
MOVING SEC  
10104603  
FACILITIES MGT BR  
10104604  
DIVISION OF SOCIAL SUPPORT SYSTEMS  
10104605  
FAMILY SVCS & SUBST ABUSE MONITORING BR  
10104606  
CHILD SUPPORT SYSTEMS MGT BR  
10104607  
HEALTH SERVICES SYSTEMS BR  
10104608  
ELECTRONIC RECORDS INFORMATION MGT BR  
10104609  
DIV OF MEDICAID SYSTEMS  
10104610  
MEDICAID SYSTEMS MGT BR  
10104611  
MEDICAID SYSTEMS SUPPORT BR  
10104612  
DESIGN OF SYSTEMS SUPPORT & IMPL  
10104613

**DIV OF STRATEGIC SVCS  
10200482**  
SERVICES COORDINATION BR  
10200483  
DATA MGT BR  
10200484  
STRATEGIC & ARCHITECTURAL BR  
10200485  
ENTERPRISE DATA ANALYTIC  
10200486  
APPLICATIONS DESK BR  
10200487  
DIV OF PROCUREMENT SERVICES & GRANT OVERSIGHT  
10200884  
COMMUNITY ACQUISITION BR  
10200885  
SERVICES ACQUISITION BR  
10200886  
PERSONAL SVCS CONTRACT OVERSIGHT BR  
10200887  
HEALTH SERVICES SEC  
10200888  
FAMILY SERVICES SEC  
10200889  
MOU AND GRANTS OVERSIGHT BR  
10200890  
INFO TECH PROC A RFP BR  
10200891  
DIV OF ELIGIBILITY SYSTEMS  
10200892  
INTEGRATED ELIGIBILITY SYSTEMS MGT BR  
10200893  
INTEGRATED ELIGIBILITY SYSTEMS BR  
10200894

**OFFICE OF FINANCE & BUDGET  
10201009**

**OFFICE OF LEGISLATIVE & REGULATORY AFFAIRS  
10201008**

**OFFICE OF PUBLIC AFFAIRS  
10201551**

**OFFICE OF THE OMBUDSMAN AND ADMIN REVIEW  
10201552**  
DIVISION OF PERFORMANCE ENHANCEMENT  
10201553  
PROGRAM MANAGEMENT BRANCH  
10201554  
PROGRAM ACCESS AND COMPLIANCE SECTION  
10201555  
MANAGEMENT EVALUATION SECTION  
10201556  
COMPLIANT REVIEW BRANCH  
10201557  
QUALITY ADVANCEMENT BRANCH  
10201558  
DIVISION OF ADMINISTRATIVE HEARINGS  
10201559  
FAMILIES AND CHILDREN ADMIN HEARINGS BRANCH  
10201560  
HEALTH SERVICES ADMIN HEARINGS BRANCH  
10201561





## **APPENDIX II**

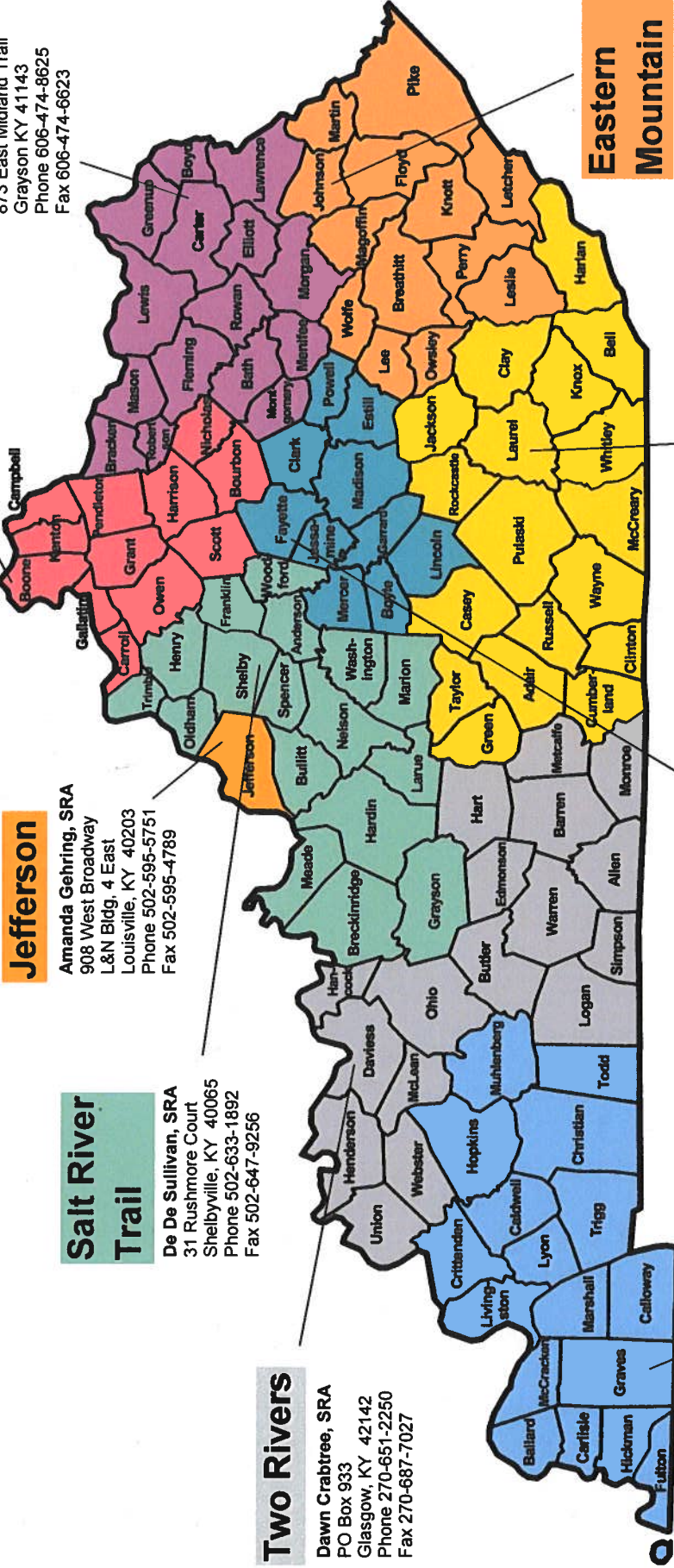
# DCBS Service Regions

## Northern Bluegrass

Kelly Skerchcock,  
Acting SRA  
8311 US 42  
Victory Center  
Florence, KY 41042  
Phone 859-525-6783  
Fax 859-525-6796

## Northeastern

Shannon Hall, SRA  
PO Box 247  
873 East Midland Trail  
Grayson KY 41143  
Phone 606-474-8625  
Fax 606-474-6623



## Jefferson

Amanda Gehring, SRA  
908 West Broadway  
L&N Bldg. 4 East  
Louisville, KY 40203  
Phone 502-595-5751  
Fax 502-595-4789

## Salt River Trail

De De Sullivan, SRA  
31 Rushmore Court  
Shelbyville, KY 40065  
Phone 502-633-1892  
Fax 502-647-9256

## Two Rivers

Dawn Crabtree, SRA  
PO Box 933  
Glasgow, KY 42142  
Phone 270-651-2250  
Fax 270-687-7027

## Eastern Mountain

Susan Howard, SRA  
205 Main Street  
Suite 3  
Paintsville, KY 41240  
Phone 606-788-7108  
Fax 606-788-7117

## Cumberland

Billy Fore, SRA  
85 State Police Rd.  
London, KY 40741  
Phone 606-677-4178  
Fax 606-677-4206

## Southern Bluegrass

April Davis, SRA  
455 Park Place  
Suite 120A  
Lexington, KY 40511  
Phone 859-246-2298  
Fax 859-246-2515

## The Lakes

Renee Buckingham, SRA  
333 Charles Drive  
Mayfield, KY 42066  
Phone 270-247-5126  
Fax 270-247-3541

## **APPENDIX III**

APPENDIX III

TITLE XX - SOCIAL SERVICES BLOCK GRANT

FFY 2019 Tentative Federal Appropriations

Federal Fiscal Year 2019	Federal Appropriations	SFY 2019 and 2020,	SFY 2019 and 2020
10-1-18 to 9-30-19	\$ 21,684,217.00	1/4 =	\$ 5,421,054.25
10-1-19 to 9-30-20	\$ 21,684,217.00	3/4 =	16,263,162.750
<b>TOTAL FFY 2019</b>			<b>\$ 21,684,217.00</b>
*Estimates based on the FFY 2018 allocations on the ACF/HHS website.			
	SSBG		\$ 21,684,217.00
	SSBG Brought Forward		67,824
	TANF Transfer to SSBG		0
	Total Federal Funds		\$ 21,752,041.00
	State Funds		\$ 164,099,910.00
	Local Match		0
	Estimated Funds Available		\$ 185,851,951.00



## **APPENDIX IV**



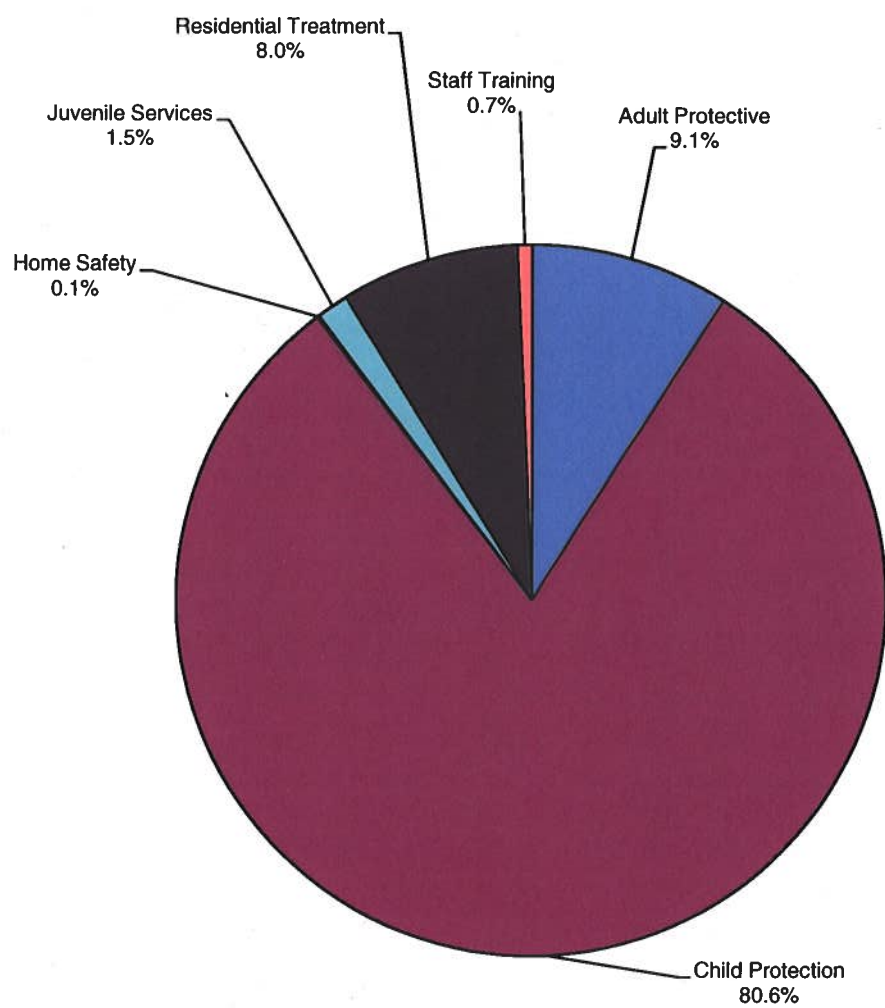
## APPENDIX IV

**SSBG ESTIMATED CLIENTS AND EXPENDITURES  
SFY 2019**

SERVICE	ESTIMATED CLIENTS	TOTAL BUDGETED FUNDS		
		FEDERAL	NON-FEDERAL	TOTAL
Adult Protective Services	79,440	\$ 1,682,500.00	\$ 15,142,500.00	\$ 16,825,000.00
Child Protective Services	344,970	\$ 12,716,417.00	\$ 137,017,183.00	\$ 149,733,600.00
Home Safety Services	4,680	\$ 21,000.00	\$ 189,400.00	\$ 210,400.00
Juvenile Services	2,960	\$ 276,100.00	\$ 2,484,800.00	\$ 2,760,900.00
Residential Treatment	500	\$ 6,857,400.00	\$ 8,088,827.00	\$ 14,946,227.00
Staff Training	0	\$ 130,800.00	\$ 1,177,200.00	\$ 1,308,000.00
<b>TOTAL</b>	<b>432,550</b>	<b>\$ 21,680,806.00</b>	<b>\$ 164,099,910.00</b>	<b>\$ 185,784,127.00</b>

# **APPENDIX V**

**PROPOSED DISTRIBUTION OF BLOCK GRANT EXPENDITURES  
BY SERVICE CATEGORY FOR SFY 2020**



## **APPENDIX VI**

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

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

See the following KRS website for titles and chapters designated above:  
<http://www.lrc.state.ky.us/krs/titles.htm>

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

## **APPENDIX VII**



**CABINET FOR HEALTH AND FAMILY SERVICES  
DEPARTMENT FOR COMMUNITY BASED SERVICES  
FFY 2019 ESTIMATED CONTRACTUAL ARRANGEMENTS**

Provider of Service	Service	Agency Type	Federal	State	Total
Department of Juvenile Justice Capital Complex East Bldg #3 1025 Capital Center Drive Frankfort, KY 40601	Residential	Public	\$ 6,856,300.00	\$ -	\$ 6,856,300.00
Eastern Kentucky University Dept of Corrections Stratton Building Richmond, KY 40475-3131	Training	Public	\$ 4,116.90	\$ 37,052.10	\$ 41,169.00
The Kentucky Coalition Against Domestic Violence 111 Darby Shire Circle Frankfort, KY 40601	Spouse Abuse Shelters	Public	\$ 17,500.00	\$ 155,000.00	\$ 172,500.00
Seven Counties 101 W. Muhammad Ali Blvd. Louisville, KY 40202	Adult Protection	Public	\$ 2,520.00	\$ 22,680.00	\$ 25,200.00
Seven Counties 101 W. Muhammad Ali Blvd. Louisville, KY 40202	Child Abuse Hotline	Public	\$ 12,000.00	\$ 103,000.00	\$ 115,000.00
University of Louisville, Dept. of Pathology & Laboratory Medicine 512 S. Hancock, Carmichael Louisville, KY 40202	Child Protection	Public	\$ 10,000.00	\$ 90,000.00	\$ 100,000.00
<b>TOTALS:</b>			<b>\$ 6,902,436.90</b>	<b>\$ 407,732.10</b>	<b>\$ 7,310,169.00</b>

## **APPENDIX VIII**

**Uniform Definition of Services**

**State Title**

Home-Based Services

Home Safety Services

Prevention & Intervention

Alternate Care/General Adult Services

Protective Services - Adult

Adult Protective Services

Protective Services - Children

Child Protective Services

Special Services - Youth at Risk

Juvenile Services

Residential Treatment

Residential Treatment Services

Administrative Costs

Staff Training Program

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

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 20,800
Non-Federal	\$ 189,300
Total	\$ 210,100

AREA: Statewide

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
X	Public X	Private

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

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

**GOAL**

To provide 8,410 families with home safety services to enable them to improve or maintain adequate in-home living and family well being.

Effective July 1, 2019

**Home Safety Services**

District	Estimated Clients	Total Federal	Estimated Non-Federal	Expenditures Total
Eastern Mountain	520	2,300	21,000	23,300
Jefferson	410	1,800	16,600	18,400
Northeastern	500	2,200	20,200	22,400
Northern Bluegrass	670	3,000	27,100	30,100
Salt River Trail	650	2,900	26,300	29,200
Southern Bluegrass	410	1,800	16,600	18,400
The Cumberland	490	2,200	19,800	22,000
The Lakes	330	1,500	13,400	14,900
Two Rivers	700	3,100	28,300	31,400
Total	4,680	20,800	189,300	210,100

SERVICE: **Prevention & Intervention**  
**Alternate Care/General Adult Services**  
**State Title**

AREA: **Statewide**

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 38,120.00
Non-Federal	\$ 343,076.00
Total	\$ 381,196.00

METHOD OF SERVICE DELIVERY		
Direct	Contractual Agreement	
X	Public X	Private

ELIGIBILITY: **Need**

Alternate Care/General Adult Services include services directed toward obtaining and maintaining appropriate placement for individuals, and the prevention of abuse, neglect, or exploitation of an adult. Components of these services include: counseling; assessment; referral of individuals and family members to long term care facilities, i.e., licensed health care facilities, personal care homes, or family care homes; placement of adults from facilities to other levels of care, their own homes, or community placements; or consultation with operators on behalf of adults.

**GOAL**

To provide 2,570 individuals with Alternate Care/General Adult Services that may prevent or remedy abuse, neglect, exploitation, or placement in a facility that is not the most integrated setting for the client.

Effective July 1, 2019



SERVICE: **Protective Services - Adult**

**Adult Protective Services**

**State Title**

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 1,644,380
Non-Federal	\$ 14,799,424.00
Total	\$ 16,443,804.00

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

ELIGIBILITY: Need

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

**GOAL**

To provide protective services to 102,430 adults designed to prevent and remedy abuse, neglect, or exploitation; to increase employability and/or self-sufficiency; prevent inappropriate placement; or secure appropriate placement.

Effective July 1, 2017

**ADULT PROTECTION**

District	Estimated Individuals	Total Federal	Estimated Non-Federal	Expenditures Total
Eastern Mountain	5,080	107,600	968,300	1,075,900
Jefferson	17,790	376,800	3,391,100	3,767,900
Northeastern	2,950	62,500	562,300	624,800
Northern Bluegrass	6,330	134,100	1,206,600	1,340,700
Salt River Trail	10,060	213,100	1,917,600	2,130,700
Southern Bluegrass	10,210	216,200	1,946,200	2,162,400
The Cumberland	8,360	177,100	1,593,500	1,770,600
The Lakes	9,420	199,500	1,795,600	1,995,100
Two Rivers	9,240	195,700	1,761,300	1,957,000
Total	79,440	1,682,600	15,142,500	

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

AREA: **Statewide**

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 12,716,500
Non-Federal	\$ 137,017,200
<b>Total</b>	<b>\$ 149,733,700</b>

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

ELIGIBILITY: **Need**

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

**GOAL**

To provide 224,120 children and their families with services designed to prevent or remedy abuse, neglect or exploitation.

Effective July 1, 2019

**CHILD PROTECTION**

<b>District</b>	<b>Estimated Individuals</b>	<b>Total Federal</b>	<b>Estimated Non-Federal</b>	<b>Expenditures Total</b>
Eastern Mountain	32,330	1,191,800	12,841,000	14,032,800
Jefferson	37,110	1,368,000	14,739,600	16,107,600
Northeastern	34,070	1,255,900	13,532,100	14,788,000
Northern Bluegrass	42,830	1,578,800	17,011,500	18,590,300
Salt River Trail	52,620	1,939,700	20,899,900	22,839,600
Southern Bluegrass	41,530	1,530,900	16,495,100	18,026,000
The Cumberland	42,320	1,560,000	16,808,900	18,368,900
The Lakes	25,940	956,200	10,303,000	11,259,200
Two Rivers	36,220	1,335,200	14,386,100	15,721,300
<b>Total</b>	<b>344,970</b>	<b>12,716,500</b>	<b>137,017,200</b>	<b>149,733,700</b>

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

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 276,000
Non-Federal	\$ 2,484,800
<b>Total</b>	<b>\$ 2,273,300</b>

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

ELIGIBILITY: Need

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

**GOAL**

To provide 4,140 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.

Effective July 1, 2019

### JUVENILE SERVICES

District	Estimated Clients	Total Federal	Estimated Non-Federal	Expenditures Total
Eastern Mountain	40	3,700	33,600	37,300
Jefferson	280	26,100	235,000	261,100
Northeastern	20	1,900	16,800	18,700
Northern Bluegrass	100	9,300	83,900	93,200
Salt River Trail	580	54,100	486,900	541,000
Southern Bluegrass	440	41,000	369,400	410,400
The Cumberland	720	67,200	604,400	671,600
The Lakes	320	29,800	268,600	298,400
Two Rivers	460	42,900	386,200	429,100
<b>Total</b>	<b>2,960</b>	<b>276,000</b>	<b>2,484,800</b>	<b>2,760,800</b>



SERVICE: Residential Treatment

Residential Treatment  
Services  
State Title

AREA: Statewide\*

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 6,857,400.00
Non-Federal	\$ <u>8,088,827.00</u>
Total	\$ 14,946,227.00

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

ELIGIBILITY: Need\*\*

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

**GOAL**

To provide community based residential care and treatment for 1,010 children with behavior problems to enable the individual to become self-supporting; to function better in the community; to avoid inappropriate institutionalization; and to refer to appropriate institutions when necessary.

\* Referrals accepted statewide

\*\* Committed or court ordered

Effective July 1, 2019

**RESIDENTIAL**

District	Estimated Individuals	Total Federal	Estimated Non-Federal	Expenditures Total
Eastern Mountain	100	1,371,560	1,617,567	2,989,127
Jefferson	60	822,900	970,700	1,793,600
Northeastern	90	1,234,300	1,456,000	2,690,300
Northern Bluegrass	50	685,740	808,960	1,494,700
Salt River Trail	0	0	0	0
Southern Bluegrass	0	0	0	0
The Cumberland	90	1,234,300	1,456,000	2,690,300
The Lakes	20	274,300	323,600	597,900
Two Rivers	90	1,234,300	1,456,000	2,690,300
Total	500	6,857,400	8,088,827	14,946,227

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

AREA: Statewide

TOTAL ESTIMATED EXPENDITURES	
Federal	\$ 130,800.00
Non-Federal	<u>\$1,177,200.00</u>
Total	\$ 1,308,000.00

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

ELIGIBILITY: DCBS Staff

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

**GOAL**

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

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

Effective July 1, 2019

**TRAINING**

District	Estimated Individuals	Total Federal	Estimated Non-Federal	Expenditures Total
Eastern Mountain				0
Jefferson				0
Northeastern				0
Northern Bluegrass				0
Salt River Trail				0
Southern Bluegrass				0
The Cumberland				0
The Lakes				0
Two Rivers				0
<b>Total</b>	<b>0</b>	<b>130,800</b>	<b>1,177,200</b>	<b>1,308,000</b>

# **APPENDIX IX**

**SSBG USE AND DISTRIBUTION REPORT**  
**SFY 2018**

The Department for Community Based Services had the following funds available for expenditure during SFY 2018:

SSBG	\$21,684,217
SFY'17 Carry forward	(0)
Total Federal Funds	\$21,684,217
State Funds	<u>\$151,248,724</u>
Total Available Funds	\$172,932,941
Less: SFY'17 Carry forward	(0)
TOTAL EXPENDED	\$172,932,941

The amounts reflected in this report as revenues and expenditures differ from the estimates in the previous annual plan as follows:

All expenditures reported are based on the financial statement for June 30, 2017 with corrections made to accurately reflect program support costs.

Actual SFY 2018 expenditures by funding source and service categories are shown on Table I. Table II shows a comparison of estimated and actual expenditures, including clients served. In some areas, data may include a duplicate count if a client received more than one service. Table III provides these data in a bar graph format.

Table IV provides a pie chart of the percentage of clients served by service category for SFY 2018. Table V provides a chart on the distribution of block grant expenditures by service category.

Table VI provides a list of the distribution of funds through contractual arrangements during SFY 2017.

In SFY 2018 no Title XX - Social Services Block Grant funds were transferred to any other program, and no TANF funds were transferred to SSBG.



# TABLE I

**TABLE I****SSBG EXPENDITURES -- SFY 2018**

<b>SERVICE</b>	<b>FEDERAL</b>	<b>STATE</b>	<b>TOTAL</b>
Adult Protection/Domestic Violence Protective Services	\$ 1,682,500.00	\$ 15,142,500.00	\$ 16,825,000.00
Child Protective Services	\$ 12,716,417.00	\$ 137,017,183.00	\$ 149,733,600.00
Home Safety Services	\$ 21,000.00	\$ 189,400.00	\$ 210,400.00
Juvenile Services	\$ 276,100.00	\$ 2,484,800.00	\$ 2,760,900.00
Residential Treatment	\$ 6,857,400.00	\$ 8,088,827.00	\$ 14,946,227.00
Staff Training	\$ 130,800.00	\$ 1,177,200.00	\$ 1,308,000.00
<b>TOTAL</b>	<b>\$ 21,684,217.00</b>	<b>\$ 164,099,910.00</b>	<b>\$ 185,784,127.00</b>

## **TABLE II**

**TABLE II**

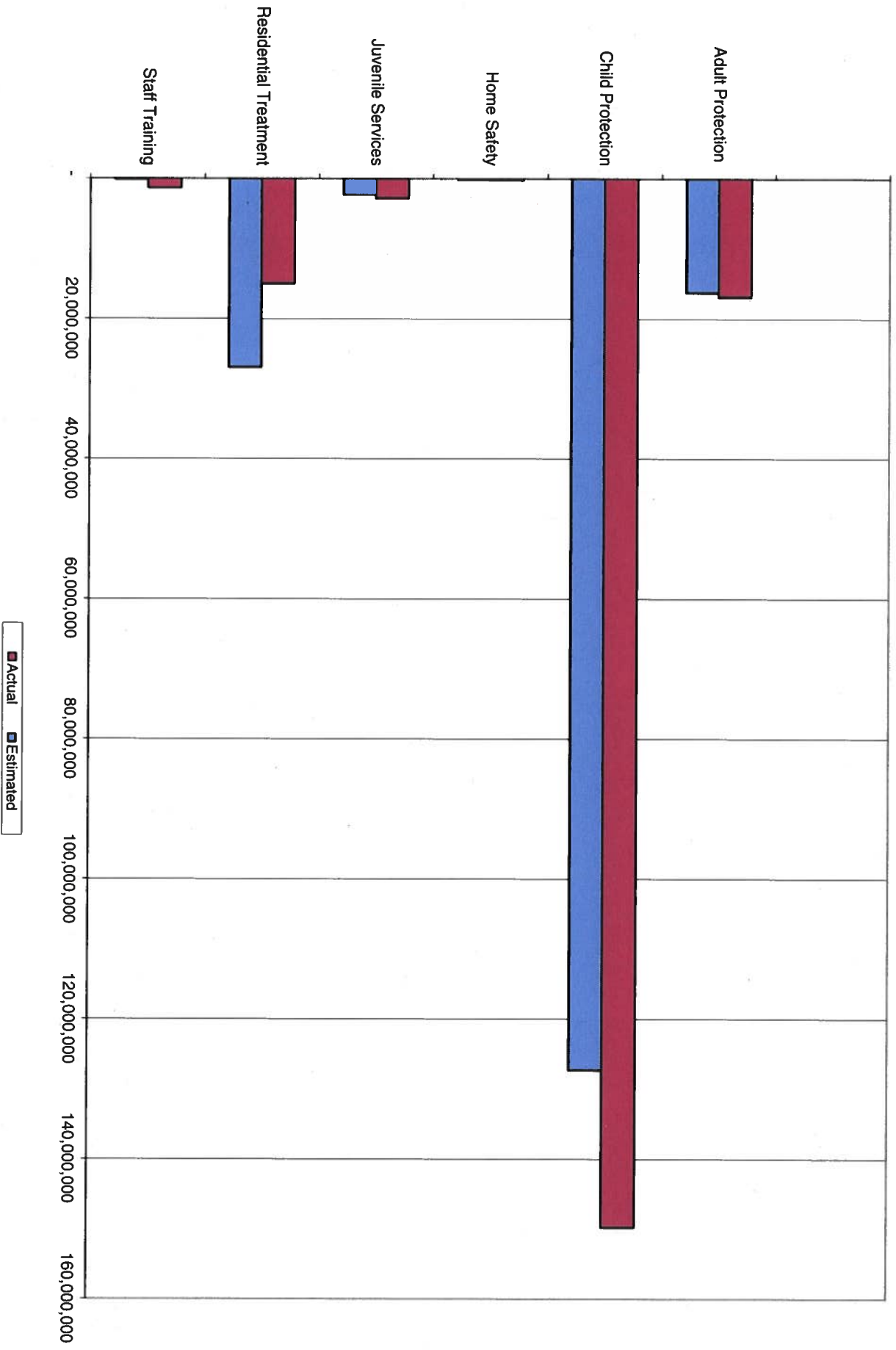
**COMPARISON OF SFY 2018 PLAN**

<b>Service</b>	<b>EXPENDITURES</b>		<b>CLIENTS</b>	
	<b>Estimated SSBG Plan</b>	<b>Actual Expenditures</b>	<b>Estimated SSBG Plan</b>	<b>Actual Served</b>
Adult Protective Services	\$ 16,224,000.00	\$ 16,825,000.00	102,430	79,440
Child Protective Services	\$ 127,284,700.00	\$ 149,733,600.00	224,120	344,970
Home Safety Services	\$ 124,200.00	\$ 210,400.00	8,410	4,680
Juvenile Services	\$ 2,273,300.00	\$ 2,760,900.00	4,140	2,960
Residential Treatment	\$ 26,924,830.00	\$ 14,946,227.00	1010	500
Staff Training	\$ 98,500.00	\$ 1,308,000.00	N/A	N/A
<b>TOTAL</b>	<b>\$ 172,929,530.00</b>	<b>\$ 185,784,127.00</b>	<b>340,110</b>	<b>432,550</b>

**TABLE III**

Table III

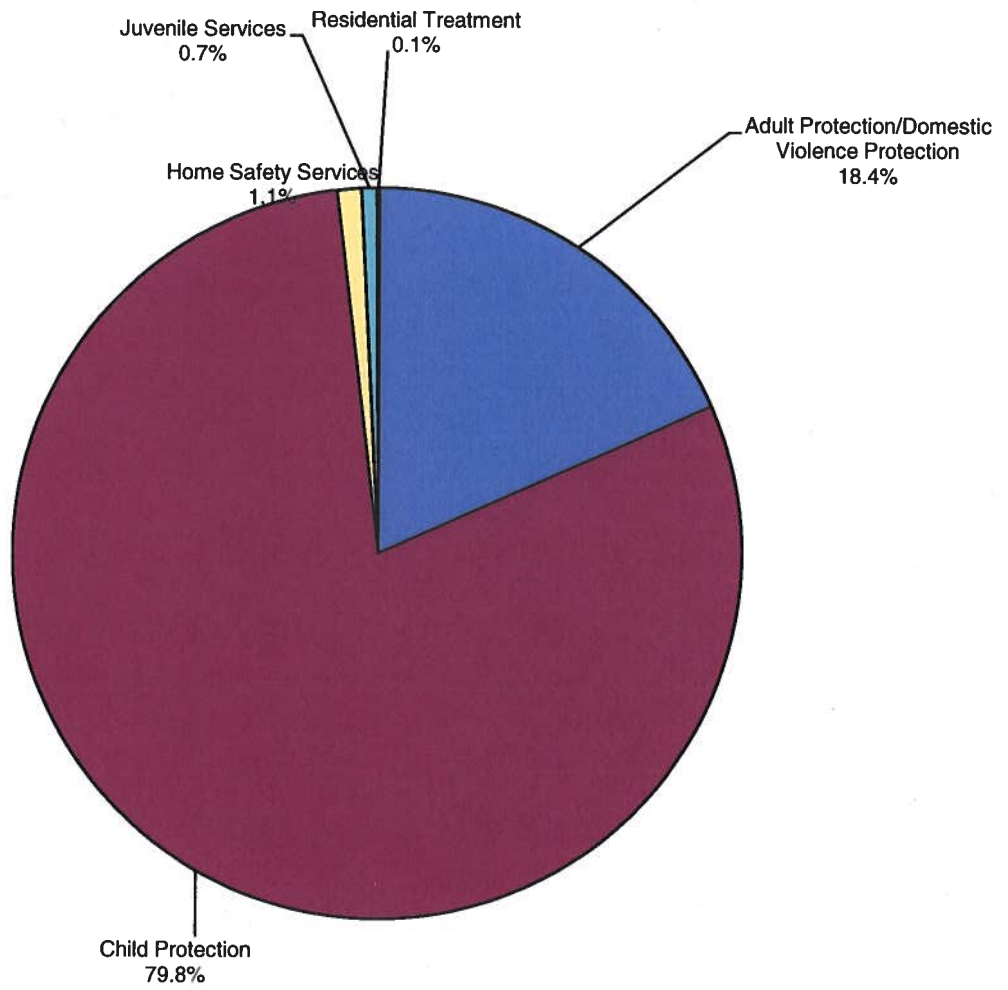
SFY 2018 COMPARISON OF ESTIMATED AND ACTUAL EXPENDITURES



**TABLE IV**

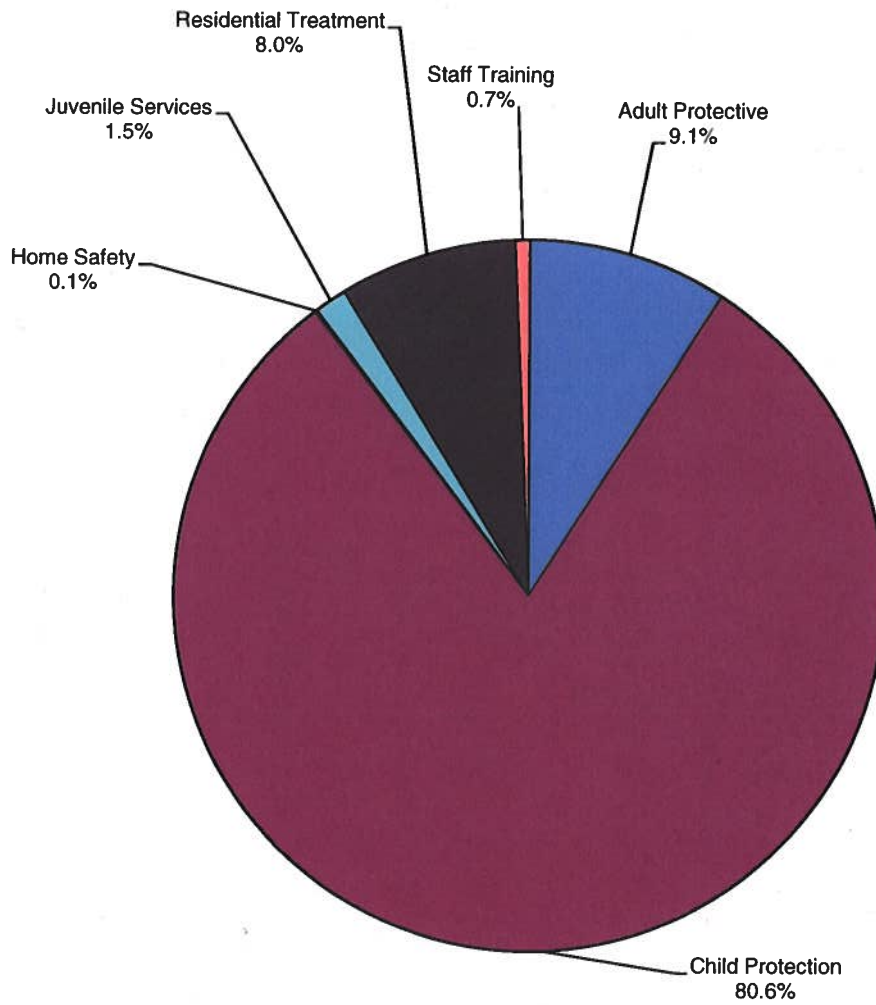


**PERCENTAGE OF CLIENTS SERVED  
BY SERVICE CATEGORY FOR SFY 2018**



## **TABLE V**

**DISTRIBUTION OF BLOCK GRANT EXPENDITURES  
BY SERVICE CATEGORY FOR SFY 2018**



**TABLE VI**

TABLE VI

**CABINET FOR HEALTH AND FAMILY SERVICES  
DEPARTMENT FOR COMMUNITY BASED SERVICES  
SFY 2018 CONTRACT EXPENDITURES**

<b>Provider of Service</b>	<b>Service</b>	<b>Agency Type</b>	<b>Federal</b>	<b>State</b>	<b>Total</b>
Department of Juvenile Justice Capital Complex East Bldg. #3 1025 Capital Center Dr. Frankfort, KY 40601	Residential	Public	\$6,874,886	\$0	\$6,874,886
Eastern Kentucky University Dept of Corrections Stratton Building Richmond, KY 40475-3131	Training	Public	\$3,552	\$31,972	\$35,525
KY Domestic Violence Assoc, Inc. PO Box 356 Frankfort, KY 40602	Spouse Abuse Shelters	Public	\$16,597	\$149,372	\$165,969
Seven Counties 101 W Muhammad Ali Blvd. Louisville, KY 40202	Adult Protection	Public	\$2,520	\$22,680	\$25,200
Seven Counties 101 W Muhammad Ali Blvd. Louisville, KY 40202	Child Abuse Hotline	Public	\$11,480	\$103,320	\$114,800
University of Louisville, Dept. of Pathology & Laboratory Medicine 512 S Hancock, Carmichael Bldg. Louisville, KY 40202	Child Protection	Public	\$10,000	\$90,000	\$100,000
<b>TOTALS</b>			<b>\$ 6,919,035</b>	<b>\$ 401,526</b>	<b>\$ 7,337,446</b>

# **APPENDIX X**



**CABINET FOR HEALTH AND FAMILY SERVICES  
DEPARTMENT FOR COMMUNITY BASED SERVICES  
Commissioner's Office  
COA ACCREDITED AGENCY**

**Matthew G. Bevin**  
Governor

275 East Main Street, 3W-A  
Frankfort, KY 40621  
Phone (502) 564-3703  
Fax (502) 564-6907  
[www.chfs.ky.gov](http://www.chfs.ky.gov)

**Adam Meier**  
Secretary

July 30, 2018

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

Dear Mr. Mitchell:

Enclosed are the Social Services Block Grant (SSBG) Half-Year Status Report for State Fiscal Year 2018 and two copies. In compliance with KRS 45.357, this report contains the required reporting information for the preceding six-month period of January 1, 2018 through June 30, 2018.

If you require additional information or further clarification, please contact Jessica Brown at 502-564-2147.

Sincerely,

Eric Clark  
Commissioner



## BLOCK GRANT PROGRAM STATUS REPORT

January 1, 2018 – June 30, 2018

Department: Community Based Services

Block Grant: Social Services Block Grant

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

Block Grant Manager: \_\_\_\_\_

  
Eric T. Clark  
Commissioner

8-2-18

Date

1. FINANCES	Federal Funds	General Funds	Trust/Local Match	Total
Annual Budget	\$21,128,105.00	\$144,337,995.00	\$0	\$165,466,100.00
Actual Expenditures	\$9,820,407.00	\$61,578,964.00	\$0	\$71,399,371.00
Encumbrances	\$0	\$0	\$0	\$0
Available Balance	\$0	\$0	\$0	\$0

### 2. RESULTS BUDGETED/ACHIEVED

OBJECTIVES	ACHIEVEMENTS
1. To provide protective services to 100,600 adults designed to prevent and remedy abuse, neglect, or exploitation; to increase employability and/or self-sufficiency; prevent inappropriate placement; or secure appropriate placement.	1. Adult Protection Services were provided to 60,895 individuals.
2. To provide 224,110 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.	2. Child Protection Services were provided to 243,299 clients.
3. To provide 13,100 families with home safety services to enable them to improve or maintain adequate in-home living and family well-being.	3. Home safety services were provided to 3,499 clients
4. To provide 5,000 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation, which may include counseling or interaction with courts on behalf of the juveniles.	4. Juvenile Services were provided to 2,567 clients.

**BLOCK GRANT PROGRAM STATUS REPORT**  
**January 1, 2018 – June 30, 2018**

**Department: Community Based Services**

**Block Grant: Social Services Block Grant**

OBJECTIVES	ACHIEVEMENTS
5. To provide community based residential care and treatment for 980 children with behavior problems to enable the individual to become self-supporting; to function better in the community; to avoid inappropriate institutionalization; and to refer to appropriate institutions when necessary.	5. Residential Treatment Services were provided to 322 children.
6. To improve service delivery by providing approximately 592 hours of training per month for staff of the Department for Community Based Services.	6. Training was provided statewide to 1,209 employees who work in the areas of protection and permanency, for a total of 4,167.75 training hours, or an average of 694.62 hours per month.

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

N/A

**4. EVALUATION OF RESULTS**

N/A

**5. ALTERNATIVES FOR IMPROVED SERVICE DELIVERY**

The mission of the Department for Community Based Services (DCBS) is to provide leadership in building high quality, community based human service systems that enhance safety, permanency, well being and self-sufficiency for Kentucky's families, children and vulnerable adults. Kentucky's goal is to become a nationally recognized department comprised of highly skilled workforce that:

- Provides services to enhance the self-sufficiency of families;
- Improves safety and permanency for children and vulnerable adults;
- Engages families and community partners in a collaborative decision-making process;
- Utilizes innovative technological resources to improve outcomes and efficiencies;
- Creates information systems and uses evidence-based practice to guide management decisions;
- Practices system-wide continuous quality improvement and shared accountability;
- Fosters a dynamic learning organization; and
- Adapts to changing community needs and challenges.

The Department for Community Based Services has implemented a comprehensive family-based approach to service delivery by using Family Team Meetings (FTMs). Family Team Meetings are comprised of the families, DCBS staff, and community partners that meet together to develop plans for strengthening the family, and to make key case decisions. This comprehensive family-based approach combines all the services of the Department and other service providers to assist families in enhancing family health, safety, permanency, well being, and self-sufficiency. This approach wraps services around the client by working as one team to provide the expertise and resources to successfully meet the family's needs and help families reach good outcomes and long-term solutions.

**BLOCK GRANT PROGRAM STATUS REPORT**  
**January 1, 2018 – June 30, 2018**

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In order to facilitate more accurate examination of the Cabinet's direct service delivery system, the Cabinet developed a Continuous Quality Improvement Case Review System (CQI). CQI is a structured process which allows staff to participate in the examination and evaluation of:

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

In order to facilitate more accurate examination of the Cabinet's direct service delivery system, the Cabinet developed a CQI Case Review tool that is designed to measure the Cabinet's ability to implement best practice and achieve positive outcomes on a state, regional, and individual case level. The CQI process addresses the quality, consistency, and timelines of services provided to clients in order to meet federal and state child welfare outcomes, Council of Accreditation Standards (COA), and ensure the safety, permanency, and well-being of families and children. The CQI process has been the foundation for strategic planning and program improvement in all department program areas and continues to evolve with improved use and organization of data.

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

**Matthew G. Bevin**  
Governor

275 East Main Street, 3W-A  
Frankfort, KY 40621  
502-564-3703 Office  
502-564-6907 Fax  
[www.chfs.ky.gov/dcbs](http://www.chfs.ky.gov/dcbs)

**Adam M. Meier**  
Secretary

**Eric T. Clark**  
Commissioner

February 6, 2019

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

Dear Mr. Mitchell:

Enclosed are the following half-year block grant status reports:

- Temporary Assistance for Needy Families (TANF);
- Social Services;
- Community Services;
- Child Care and Development Fund (CCDF); and
- Low Income Home Energy Assistance Program (LIHEAP).

If you have any questions or if further clarification is needed, please contact Laura Begin at 502-564-3703.

Sincerely,

Eric T. Clark  
Commissioner

Enclosures

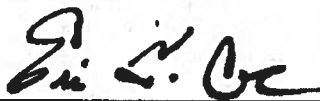


**BLOCK GRANT PROGRAM STATUS REPORT**  
**July 1, 2018 – December 31, 2018**

Department: Community Based Services

Block Grant: Social Services Block Grant

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

Block Grant Manager:  2-4-19  
 Eric T. Clark  
 Commissioner Date

1. FINANCES	Federal Funds	General Funds	Trust/Local Match	Total
Annual Budget	\$21,684,217.00	\$195,157,953.00	\$0	\$216,842,170.00
Actual Expenditures	\$9,302,836.00	\$96,891,197.00	\$0	\$106,194,034.00
Encumbrances	\$0	\$0	\$0	\$0
Available Balance	\$12,381,381.00	\$98,266,756.00	\$0	\$110,648,136.00

**2. RESULTS BUDGETED/ACHIEVED**

OBJECTIVES	ACHIEVEMENTS
1. To provide protective services to 100,600 adults designed to prevent and remedy abuse, neglect, or exploitation; to increase employability and/or self-sufficiency; prevent inappropriate placement; or secure appropriate placement.	1. Adult Protection Services were provided to 58,877 individuals.
2. To provide 224,110 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation.	2. Child Protection Services were provided to 226,561 clients.
3. To provide 13,100 families with home safety services to enable them to improve or maintain adequate in-home living and family well-being.	3. Home safety services were provided to 3,000 clients.
4. To provide 5,000 children and their families with services designed to prevent or remedy abuse, neglect, or exploitation, which may include counseling or interaction with courts on behalf of the juveniles.	4. Juvenile Services were provided to 1,833 clients.

## **BLOCK GRANT PROGRAM STATUS REPORT**

**July 1, 2018 – December 31, 2018**

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In order to facilitate more accurate examination of the Cabinet's direct service delivery system, the Cabinet continues to utilize a continuous quality improvement (CQI) Case Review as well as the implementation of third-level (central office) case reviews. The Quality Assurance (QA) has begun conducting third-level case reviews to assist DCBS in improving child welfare outcomes around safety, permanency, and well-being. Case reviews assist with identifying trends to inform practice change and CQI activities. Third level case reviews identify areas of practice that are strengths, as well as identify and analyze areas of practice that need improvement. The purpose of third level case reviews is to:

- Measure eighteen areas of practice identified in the Child and Family Services Review (CFSR) Onsite Review Instrument (OSRI), including:
  - meeting the safety, permanency, and well-being needs of children;
  - assessing the needs of and providing services to parents and caregivers;
  - family engagement; and
  - caseworker visits with children and parents.
- Provide key data at the office-level for CQI activities. Individual office reports are utilized to develop a regional action plan. The action plan identifies practice improvement activities, learning, and prioritizes areas related to child safety.

The agency is also implementing structural leadership changes to ensure the continuity and fidelity of the existing case review process. These changes will enhance the CQI process result in being better able to address the quality, consistency, and timelines of services provided to clients in order to meet federal and state child welfare outcomes and ensure the safety, permanency, and well-being of families and children.

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# **APPENDIX XI**





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

**Matthew G. Bevin**  
Governor

275 East Main Street, 3W-A  
Frankfort, KY 40621  
502-564-3703 Office  
502-564-6907 Fax  
www.chfs.ky.gov/dcbs

**Adam M. Meier**  
Secretary

**Eric T. Clark**  
Commissioner

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

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

**July 1, 2019 to June 30, 2020**

**NOTICE**

The Department for Community Based Services plans to apply for funds available to the Commonwealth under the Social Services Block Grant program for Fiscal Year 2019-2020. A copy of the plan for the proposed use and distribution of block grant funds is now available for review and comment.

**PURPOSE**

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

**SERVICES**

Social services to be offered in this plan include: Adult Protection, Child Protection, Home Safety Services, Juvenile Services, Residential Treatment, and Staff Training.

**COMMENT PERIOD**

Written comments will be received through July 1, 2019. A copy of this plan may be requested by calling 502-564-6852, and comments may be addressed to: Cabinet for Health and Family Services, Department for Community Based Services, Division of Protection and Permanency, 275 East Main Street, 3E-A, Frankfort, Kentucky 40621, ATTN: SSBG.


The department also maintains a written standard of practice manual that contains procedures for carrying out adult and child welfare activities such as investigations, case planning, and placement of children in foster care.

View the Child and Adult Protection Standards of Practice Manual  
(<http://manuals.sp.chfs.ky.gov/Pages/index.aspx>)

## Social Services Block Grant

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

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

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

## Child/Adult Protection Hot Line

If you believe a child or adult is being abused, neglected, exploited or is dependent, please call the protection and permanency office in your county ([https://prdweb.chfs.ky.gov/Office\\_Phone/index.aspx](https://prdweb.chfs.ky.gov/Office_Phone/index.aspx)) or the Toll-Free Child Protection Hotline.

## **APPENDIX XII**

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

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

### Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

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

department or agency;

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

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

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

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

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

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

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

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

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



obtaining a copy of those regulations.

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

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

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

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

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

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

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



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

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

---



---

Signature

Commissioner

---

Title

Department for Community Based Services

---

Organization

## **CERTIFICATION REGARDING LOBBYING**

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

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

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

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

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

### **Statement for Loan Guarantees and Loan Insurance**

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

that:

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



\_\_\_\_\_  
Signature

\_\_\_\_\_  
Commissioner

Title

\_\_\_\_\_  
Department for Community Based Services

Organization

## **CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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

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



\_\_\_\_\_  
Signature

\_\_\_\_\_  
Commissioner

Title

\_\_\_\_\_  
Department for Community Based Services

Organization

## **APPENDIX XIII**

**MATTHEW G. BEVIN**  
GOVERNOR



**THOMAS B. STEPHENS**  
SECRETARY

501 HIGH STREET, 3RD FLOOR  
FRANKFORT, KENTUCKY 40601  
PHONE: (502) 564-7430  
FAX (502) 564-7603  
[HTTPS://PERSONNEL.KY.GOV](https://PERSONNEL.KY.GOV)

**MEMORANDUM**

**PERSONNEL MEMO 18-08**

**TO:** Constitutional Officers  
Cabinet Secretaries  
Agency Heads  
HR Administrators

**FROM:** Thomas B. Stephens, Secretary *TBS*

**DATE:** October 1, 2018

**RE:** Annual State Certification for Drug-Free Workplace Federal Grants  
October 1, 2018 - September 30, 2019

Attached is your agency's copy of the Kentucky State Certification for Federal Grants under the provisions of the Drug-Free Workplace Act for Federal Fiscal Year 2018. Your agency may be required to submit a copy of this certification when applying for federal funding. The certification is valid from October 1, 2018 through September 30, 2019.

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

Thank you for your continued cooperation.

**Attachments:** Annual Certification for Drug-Free Workplace Federal Grants  
Agency Federal Funding Source 2018-2019

**Kentucky State Government  
Annual Multiple Agency Certification Regarding  
Drug-Free Workplace Requirements  
Federal Fiscal Year 2018/2019  
October 1, 2018 - September 30, 2019**

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

- I. Published a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition (attached as Appendix B);
  
- II. Established an ongoing drug-free awareness program to inform employees about:
  - A. The dangers of drug abuse in the workplace;
  - B. The grantee's policy of maintaining a drug-free workplace;
  - C. Available drug counseling, rehabilitation, and employee assistance programs; and
  - D. The penalties that may be imposed upon employees for drug abuse violations;
  
- III. Made it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (I);
  
- IV. Notified each employee in the statement required by paragraph (I) that as a condition of employment under the grant the employee will:
  - A. Abide by the terms of the statement; and
  - B. Notify the employer of any criminal drug statute conviction for a violation in the workplace no later than five days after the conviction;
  
- V. Established a policy which the employer will notify the granting agency in writing, within ten days after receiving notice under subparagraph (IV)(B) from an employee or otherwise receiving actual notice of such conviction;
  
- VI. Established a policy under which the employer will impose a sanction on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program by, any employee who is convicted; as required by 41 U.S.C. § 8104;



VII. Made a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs I through VI.

**Commonwealth of Kentucky, State Government**  
**Organization Name**

---

**Thomas B. Stephens - Personnel Cabinet**  
**Name and Title of Authorized Representative**

---

  
**Signature**

**October 1, 2018**  
**Date**

---



PAUL E. PATTON  
GOVERNOR

EXECUTIVE ORDER

96-611

Secretary of State  
Frankfort  
Kentucky

May 15, 1996

RELATING TO DRUG-FREE WORKPLACE POLICY  
COMMONWEALTH OF KENTUCKY

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

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


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

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

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

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

This Order is effective upon execution.

  
PAUL E. PATTON  
Governor

  
JOHN Y. BROWN III  
Secretary of State

APPENDIX A





# Employee Handbook



Issued by:



August 2018

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This handbook is not a contract and the statements contained in it do not have the force of law. Personnel laws and regulations may modify or supersede any or all statements in this handbook. For more information, employees should see their human resource administrator and refer to the current edition of Chapter 18A of the Kentucky Revised Statutes (KRS) and Title 101 of the Kentucky Administrative Regulations (KAR). Please note that the statutory and regulatory citations included herein are for reference only and additional references may also support the provisions as listed.

The Employee Handbook is available electronically on the Personnel Cabinet's website. If another format is needed (such as braille or large format), a request may be submitted to the Department of Human Resources Administration, through your agency's human resource administrator.

shown that the accommodation would impose an undue hardship on the agency. After a qualified employee requests reasonable accommodation, an agency will make every reasonable effort to find out what is needed and provide the appropriate accommodations. This is to be an interactive process with the agency consulting with the employee with a disability.

- **Retaliation and Coercion:** The Commonwealth will not coerce, intimidate, threaten, harass, or interfere with any individual exercising or enjoying his or her rights under the ADA, or because that individual aided or encouraged any other individual in the exercise of rights granted or protected by the ADA. Employees who believe they have been adversely impacted in violation of this policy may file a complaint as set forth in Employee Grievances and Complaints section of the Employee Handbook. Please direct any questions or concerns to your agency ADA Coordinator.

***LEGAL REFERENCES:***

KRS Chapter 18A.095

KRS Chapter 18A.138

101 KAR 1:375

## **Dress Code**

As the Commonwealth's largest employer, our workforce interacts with the public and other government entities on a daily basis. Employees, as representatives of the Commonwealth, should maintain a neat, professional appearance that is appropriate for the workplace and the work being performed. Employees shall adhere to the following guidelines:

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

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

## **Drug-Free Workplace**

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

- The unlawful manufacture, distribution, dispensation, possession or use of any controlled substance is strictly prohibited in the workplace and any employee found to be in violation will be subject to disciplinary action by the Appointing Authority for misconduct which may include sanctions up to and including dismissal from state service, in accordance with the State law.
- Employees may be required to satisfactorily participate in a drug abuse assistance or treatment program.
- State-supported health insurance provides coverage for employees referred to or seeking treatment for drug and alcohol related problems.
- Compliance with drug-free workplace requirements is a condition of continued employment with the Executive Branch. Each employee is obligated to report any conviction he or she receives as a result of a

violation of any criminal drug statute occurring in the workplace within five (5) days of such conviction. Such a report is to be made to the employee's Appointing Authority and is required by federal law. Failure of any employee to report his or her conviction to the appointing authority may result in disciplinary action. The agency is obligated to report such conviction to the federal grantor within ten (10) days after it receives notice.

- Employees found to be in violation of drug-free workplace requirements may face disciplinary action up to and including dismissal. Employees who have questions concerning this directive are encouraged to contact their supervisor or the Kentucky Employee Assistance Program at (502) 564-5788. For more information please check our website at <https://personnel.ky.gov/Pages/Substance-Abuse.aspx>.

***LEGAL REFERENCES:***

KRS Chapter 18A.043

41 U.S.C. § 8103

## **HIV and AIDS in the Workplace**

### **WHAT YOU SHOULD KNOW ABOUT HIV AND AIDS:**

#### **HIV in the Workplace**

The impact of the HIV/AIDS epidemic on the workplace gets bigger each year. That's because people between the ages of 20-44 are most affected by HIV/AIDS—and they also make up over 50% of our nation's 143 million workers. Thanks to advances in antiretroviral therapy, with the proper care and treatment, people living with HIV can live healthy lives and continue to contribute their skills and talents to America's labor force.

#### **What is HIV?**

HIV stands for Human Immunodeficiency Virus. Infection with HIV can lead to acquired immunodeficiency syndrome, or AIDS. The human body cannot get rid of HIV; once a person has HIV, they have it for life. HIV is spread through blood and certain body fluids. The virus affects specific cells of the immune system and can destroy so many cells over time that the body can't fight infections and disease.

#### **What is AIDS?**

AIDS, or Acquired Immune Deficiency Syndrome, may follow infection with HIV, especially if the infection is not diagnosed and treated early. AIDS can be a life-threatening illness that causes the body of a person to be unable to fight off infections. A person with AIDS is susceptible to certain kinds of germs and cancers. When a person with AIDS cannot fight off infections, this person becomes ill. These infections can result in death.

#### **Stages of Infection**

- Acute infection – within 2 to 4 weeks after infection with HIV. The ability to spread HIV is highest during this stage because the amount of virus in the blood is very high.
- Clinical latency – HIV is active, but reproduces at very low levels. A person may not have any symptoms or get sick.
- AIDS – the immune system of the infected person is badly damaged and so the person becomes vulnerable to infections and infection-related cancers called opportunistic illnesses.

**Testing: Early diagnosis of HIV infection is critical! Everyone should be tested for HIV, especially if engaging in risky sexual or needle-sharing behaviors.** Confidential and anonymous testing with counseling is available at all local health departments in Kentucky at reduced cost or free. After being infected with HIV, it takes between two weeks to three months before the test can detect the antibodies to the virus. If you test positive, your health care provider can help you determine the best treatment for you, which will help you to remain healthy. Antiretroviral therapy can prolong the lives of many people infected with HIV and lower their chance of infecting others.



**MATTHEW G. BEVIN**  
GOVERNOR



**THOMAS B. STEPHENS**  
SECRETARY

501 HIGH STREET, 3RD FLOOR  
FRANKFORT, KENTUCKY 40601  
PHONE: (502) 564-7430  
FAX (502) 564-7603  
[HTTPS://PERSONNEL.KY.GOV](https://PERSONNEL.KY.GOV)

**MEMORANDUM**

**PERSONNEL MEMO 18-06**

**TO:** All State Employees

**FROM:** Thomas B. Stephens, Secretary

TBS

**DATE:** August 20, 2018

**RE:** Drug-Free Workplace

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

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

Feel free to contact your supervisor or the Personnel Cabinet's Kentucky Employee Assistance Program at (502) 564-5788 with any questions concerning this directive.

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2018/2019**  
(As of September 30, 2018)

**STATE AGENCY**

**FEDERAL FUNDING AGENCY**

**General Government Cabinet**

**Department of Agriculture**

U.S. Department of Agriculture  
U.S. Environmental Protection Agency  
U.S. Department of Defense

**Department of Military Affairs**

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

**Department for Local Government**

U.S. Department of Housing & Urban Development  
- Appalachian Regional Commission  
- Community Development Block Grant  
- Neighborhood Stabilization Program  
U.S. Department of the Interior  
- Land & Water Conservation Fund  
U.S. Department of Transportation  
- Recreational Trails Program  
Delta Regional Authority  
U.S. Department of Commerce  
- Economic Development Administration

**Council on Postsecondary Education**

U.S. Department of Education  
U.S. Department of Agriculture

**Kentucky Commission on Human Rights**

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

**Kentucky Infrastructure Authority**

U.S. Environmental Protection Agency

**Kentucky Department of Veterans' Affairs**

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

**Office of the Governor**

U.S. Department of Defense  
U.S. Department of Education  
U.S. Department of Health & Human Services

**Early Childhood Advisory Council**

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

**Office of Homeland Security**

U.S. Department of Homeland Security

**State Board of Elections**

U.S. Department of Health & Human Services  
- Administration for Children & Families

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2018/2019**  
(As of September 30, 2018)

**Secretary of State**

- Administration on Developmental Disabilities  
U.S. Election Assistance Commission

U.S. Department of Defense  
- Federal Voting Assistance Program

**Kentucky Communications Network Authority**

U.S. Department of Commerce

**Office of the State Treasurer**

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

**Office of Attorney General**

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

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

U.S. Department of Justice  
U.S. Social Security Administration  
U.S. Executive Office of the President (CFDA  
95.011)

**Transportation Cabinet**

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

**Economic Development Cabinet**

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

**Finance & Administration Cabinet**

**Kentucky Higher Education Assistance Authority**

U.S. Environmental Protection Agency

**Commonwealth Office of Technology**

U.S. Department of Education

**Department of Revenue**

U.S. Department of Commerce

U.S. Department of Transportation

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2018/2019**  
(As of September 30, 2018)

**Tourism, Arts & Heritage Cabinet**

**Department of Fish and Wildlife**

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

**Kentucky Arts Council**

National Endowment for the Arts  
U.S. Department of Agriculture

**Kentucky Heritage Council**

U.S. Department of the Interior  
- National Park Service

**Kentucky Historical Society**

Institute of Museum and Library Services  
National Endowment for the Humanities  
National Archives and Records Administration  
- National Historical Publications and Records  
Commission

**Kentucky Department of Parks**

U.S. Department of Transportation  
- Federal Highway Administration  
U.S. Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Department of the Interior  
- National Park Service

**Education and Workforce Development Cabinet**

**Department of Education**

U.S. Department of Education  
U.S. Department of Health & Human Services  
U.S. Department of Agriculture

**Educational Professional Standards Board**

U.S. Department of Education

**Kentucky Dept. for Libraries & Archives**

Institute for Museum & Library Services  
National Archives and Records Administration  
- National Historical Publications and Records  
Commission

**Kentucky Educational Television (KET)**

U.S. Department of Agriculture

**Department of Workforce Investment**  
Office for the Blind

U.S. Department of Education - RSA  
U.S. Department of Health & Human Services  
U.S. Department of Education - RSA  
U.S. Department of Health & Human Services  
U.S. Department of Labor

Office of Vocational Rehabilitation

Office of Employment and Training



**STATE AGENCIES' FEDERAL FUNDING SOURCES 2018/2019**  
(As of September 30, 2018)

**Office of the Secretary**

U.S. Department of Agriculture  
U.S. Department of Commerce

**Kentucky Environmental Education Council**

U.S. Department of Education – RSA  
U.S. Department of Labor  
U.S. Department of Agriculture

U.S. Environmental Protection Agency  
Corporation for National and Community Service

**Energy & Environment Cabinet**

U.S. Environmental Protection Agency  
U.S. Department of Interior  
U.S. Department of Energy  
U.S. Department of Defense  
U.S. Department of Homeland Security  
U.S. Department of Agriculture  
U.S. Department of Transportation  
U.S. Department of Labor

**Labor Cabinet**

U.S. Department of Labor

**Public Protection Cabinet**

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

**Cabinet for Health and Family Services**

U.S. Department of Agriculture  
U.S. Department of Health & Human Services  
U.S. Department of Energy  
U.S. Department of Education  
Corporation for National and Community Service  
U.S. Environmental Protection Agency  
U.S. Department of Labor  
U.S. Social Security Administration  
U.S. Department of Justice  
U.S. Department of Defense

**Justice and Public Safety Cabinet**

**Office of the Secretary**

U.S. Department of Justice

**Department of Criminal Justice Training**

U.S. Department of Transportation –  
Governor's Highway Safety Program  
U.S. Department of Health & Human Services –  
Kentucky Prescription Drug Overdose  
Prevention Program

**Department of Corrections**

U.S. Department of Education  
U.S. Department of Health & Human Services  
- Substance Abuse and Mental Health Services

**STATE AGENCIES' FEDERAL FUNDING SOURCES 2018/2019**  
(As of September 30, 2018)

**Department of Public Advocacy**

Administration  
U.S. Department of Justice

U.S. Department of Health & Human Services  
U.S. Department of Education  
U.S. Social Security Administration  
U.S. Department of Justice

**Department of Juvenile Justice**

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

**Kentucky State Police**

U.S. Department of Agriculture Food &  
Nutrition Service  
U.S. Department of Homeland Security  
U.S. Department of Justice  
U.S. Department of Transportation  
U.S. Department of Health & Human Services  
U.S. Executive Office of the President  
- Office of National Drug Control Policy  
U.S. Department of Commerce





**PROOF OF AUDIT**

[http://apps.auditor.ky.gov/Public/Audit\\_Reports/Archive/2018SSWAKVolume1.pdf](http://apps.auditor.ky.gov/Public/Audit_Reports/Archive/2018SSWAKVolume1.pdf)

[http://apps.auditor.ky.gov/Public/Audit\\_Reports/Archive/2018SSWAKVolume2.pdf](http://apps.auditor.ky.gov/Public/Audit_Reports/Archive/2018SSWAKVolume2.pdf)