



CABINET FOR HEALTH AND FAMILY SERVICES
Department for Community Based Services
Office of the Commissioner

Andy Beshear
Governor

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

Eric C. Friedlander
Secretary

Marta Miranda-Straub
Commissioner

July 9, 2021

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

Dear Mr. Mitchell,

The preliminary Community Services Block Grant (CSBG) State Plan for FFY 2020-2021 is being submitted to the Legislative Research Commission in accordance with KRS 45.352. The final two-year plan is due to the U.S. Administration for Children and Families by September 1, 2021, and will be submitted through the Online Data Collection System.

Please assign to the appropriate oversight committee(s). If you have any questions, or if further clarification is needed, please contact Laura Begin at Laura.Begin@ky.gov.

Sincerely,

DocuSigned by:
Marta Miranda-Straub
8A72BE89C475443...

Marta Miranda-Straub
Commissioner

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: Kentucky

Report Name: CSBG State Plan

Report Period: 10/01/2020 to 09/30/2021

Report Status: Validated - with Warnings

Report Sections

1. *CSBG Cover Page (SF-424M)*
2. *Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter*
3. *Section 2: State Legislation and Regulation*
4. *Section 3: State Plan Development and Statewide Goals*
5. *Section 4: CSBG Hearing Requirements*
6. *Section 5: CSBG Eligible Entities*
7. *Section 6: Organizational Standards for Eligible Entities*
8. *Section 7: State Use of Funds*
9. *Section 8: State Training and Technical Assistance*
10. *Section 9: State Linkages and Communication*
11. *Section 10: Monitoring, Corrective Action, and Fiscal Controls*
12. *Section 11: Eligible Entity Tripartite Board*
13. *Section 12: Individual and Community Eligibility Requirements*
14. *Section 13: Results Oriented Management and Accountability (ROMA) System*
15. *Section 14: CSBG Programmatic Assurances and Information Narrative*
16. *Section 15: Federal Certifications*

CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires:06/30/2021	
COVER PAGE			
* 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Kentucky			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1610600439		* c. Organizational DUNS: 927049767	
* d. Address:			
* Street 1:	275 East Main Street 3E-I	Street 2:	
* City:	Frankfort	County:	
* State:	KY	Province:	
* Country:	United States	* Zip / Postal Code:	40601 - 2321
e. Organizational Unit:			
Department Name: Department for Community Based Services		Division Name: Division of Family Support	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Nancy	Middle Name: M	* Last Name: Rowland
Suffix:	Title: Public Assistance Program Specialist	Organizational Affiliation: CHFS/DCBS/DFS	
* Telephone Number: (502) 564-3440	Fax Number: (502) 564-4021	* Email: Nancy.Rowland@ky.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
10. CFDA Numbers and Titles		Catalog of Federal Domestic Assistance Number: 93569	CFDA Title: Community Services Block Grant
11. Descriptive Title of Applicant's Project			
12. Areas Affected by Funding: Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant KY		b. Program/Project: CSBG State Plan	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 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.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
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 <input checked="" type="checkbox"/>	
** 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.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:06/30/2021	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Identify whether this is a One-Year or a Two-Year Plan		<input type="radio"/> one-year <input checked="" type="radio"/> two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One 2021	Year Two 2022
1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act.			
<i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information in regards to the state lead agency has changed since the last submission of the state plan? <input checked="" type="radio"/> Yes <input type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated 07/01/2020			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input checked="" type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Business Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		Department for Community Based Services	
1.2b. Cabinet or administrative department of this lead agency <i>[Select one option and narrative where applicable]</i>			
<input type="radio"/> Community Services Department			
<input checked="" type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Other, describe			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Cabinet for Health and Family Services	
1.2d. Authorized official of the lead agency			
Name: Marta Miranda-Straub		Title: Commissioner	
1.2e. Street Address			
275 East Main Street 3W-A			
1.2f. City		Frankfort	1.2g. State KY
		1.2h. Zip 40601	
1.2i. Telephone number and extension 502 564 - 3703 ext. 3797		1.2j. Fax number 502 564 - 6907	
1.2k. Email address marta.mirandastraub@ky.gov		1.2l. Lead agency website https://chfs.ky.gov/agencies/dcbs/	
1.3. Designation Letter: Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.			
1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.			

Has Information in regards to the state point of contact has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated Date picker and check all the apply			
<input type="checkbox"/> Agency Name	<input checked="" type="checkbox"/>	Point of Contact	<input type="checkbox"/> Street Address
<input type="checkbox"/> City	<input type="checkbox"/>	Zip Code	<input type="checkbox"/> Office Number
<input type="checkbox"/> Fax Number	<input checked="" type="checkbox"/>	Email Address	<input type="checkbox"/> Website
1.4a. Agency Name Division of Family Support			
1.4b Point of Contact Name			
Name: Jessica Hinkle		Title: Policy Development Branch Manager	
1.4c. Street Address		275 East Main St., 3 E-I	
1.4d. City	Frankfort	1.4e. State KY	1.4f. Zip 40601
1.4g. Telephone Number 502 564 - 3440 ext. 3679		1.4h. Fax Number 502 564 - 4021	
1.4i. Email Address jessica.hinkle@ky.gov		1.4j. Agency Website https://chfs.ky.gov/agencies/dcb/dfs	
1.5. Provide the following information in relation to the State Community Action Association.			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information in regards to the state Community Action Association has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated Date picker and check all the apply			
<input type="checkbox"/> Agency Name	<input type="checkbox"/>	Executive Director	<input type="checkbox"/> Street Address
<input type="checkbox"/> City	<input type="checkbox"/>	State	<input type="checkbox"/> Zip Code
<input type="checkbox"/> Office Number	<input type="checkbox"/>	Fax Number	<input type="checkbox"/> Email Address
<input type="checkbox"/> Website	<input type="checkbox"/>	RPIC Lead	
1.5a. Agency Name Kentucky Association for Community Action			
1.5b. Executive Director or Point of Contact			
Name: Melissa McClain		Title: CSBG Program Administrator	
1.5c. Street Address		101 Burch Court	
1.5d. City	Frankfort	1.5e. State KY	1.5f. Zip 40601
1.5g. Telephone number 502 875 - 5863 ext.		1.5h. Fax number 502 875 - 5865	
1.5i. Email Address melissa@capky.org		1.5j. State Association Website www.capky.org	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input checked="" type="radio"/> Yes <input type="radio"/> No			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG Yes No

2.2. CSBG State Regulation:

State has regulations for CSBG Yes No

2.3. Legislation/Regulation Document: Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.

Kentucky Administrative Regulations (KAR) and Kentucky Revised Statutes (KRS)

2.4. State Authority:

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

2.4a. Authorizing Legislation: State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year Yes No

2.4b. Regulation Amendments: State established or amended regulations for CSBG last federal fiscal year Yes No

2.4c. Designation: State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency Yes No

Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the state agency that serves as the CSBG Lead Agency.

The mission of the Department for Community Based Services is to build an effective and efficient system of care with Kentucky citizens and communities to: Reduce poverty, adult and child maltreatment and their effects; Advance person and family self-sufficiency, recovery and resiliency; Assure all children have safe and nurturing homes and communities; and Recruit and retain a workforce and partners that operate with integrity and transparency.

3.2. State Plan Goals:

Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

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

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

3.3. State Plan Development:

Indicate the information and input the state accessed to develop this State Plan.

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

State Performance Indicators and/or National Performance Indicators (NPIs)

U.S. Census data

State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)

Monitoring Visits/Assessments

Tools not identified above (specify)

Eligible Entity Community Action Plans

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

Eligible entity community needs assessments

Eligible entity community action plans

Public Hearings/Workshops

Tools not identified above (e.g., State required reports)[specify]

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

Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

State Association

National Association for State Community Services Programs (NASCSPP)

Community Action Partnership (The Partnership)

Community Action Program Legal Services (CAPLAW)

CSBG Tribal Training and Technical Assistance (T/TA) provider

Regional Performance Innovation Consortium (RPIC)

Association for Nationally Certified ROMA Trainers (ANCRT)

Federal CSBG Office

Organizations not identified above [Specify]

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

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

The CAAs are required to prepare and submit an annual Plan and Budget Proposal on how the agency plans to ensure coordination and non-duplication of services with other service providers, inclusive of faith-based organizations, fatherhood programs, healthy marriage programs, and One-Stop partnerships. The information included in their Proposals was reviewed and compiled for this State Plan.

3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous plans in order to:

- 1) encourage eligible entity participation and
- 2) ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

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

By contractual agreement DCBS is required to make the State Plan available to the eligible entities. Based on feedback from the ACSI survey, DCBS will ensure that eligible entities are given the opportunity to review the State Plan and make comments accordingly through email and correspondence. The State Plan will be provided to the Executive Directors, CSBG Directors and Chief Financial Officers for each agency. Kentucky will use the ACSI survey as a tool by compiling all the comments provided in the survey to identify what steps should be taken in developing/improving the State Plan.

3.5. Eligible Entity Overall Satisfaction:
Provide the State's target for eligible entity Overall Satisfaction during the performance period:

Year One	85	Year Two	85
----------	----	----------	----

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

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

Section 4: CSBG Hearing Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 4 CSBG Hearing Requirements	

4.1. Public Inspection:
 Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

A notice is published in newspapers announcing the availability of the plan for public review and comment. A copy of the plan is made available upon request. This State plan was made available for public inspection on June 22, 2021.

4.2. Public Notice/Hearing:
 Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.

Pursuant to KRS Chapter 424 and KRS 45.352, the Legislative Research Commission (LRC) of the Kentucky General Assembly shall, within ten (10) days of receiving the block grant application from the State administering agency, provide for statewide notice of a public hearing to be conducted by the designated review body for the purpose of receiving comments on the block grant application. The LRC shall, no later than sixty (60) days prior to the submission of the block grant application to the Federal administering agency, provide for a public hearing on each block grant application. The hearing may be held at such time, place and location as the LRC shall determine. The hearing and deliberation shall be electronically recorded. The recording shall constitute public record.

4.3. Public and Legislative Hearings:
 In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	08/26/2021	Frankfort, KY Legislative Research Commission	Combined	<input checked="" type="checkbox"/>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
 See attached agenda for CSBG Legislative Hearing (Item 7): "Interim Joint Committee on Health, Welfare, and Family Services," . . .

Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

**Form Approved
OMB No:0970-0382
Expires:06/30/2021**

SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

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

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Audubon Area Community Services, Inc.	Daviess County; Hancock County; Henderson County; McLean County; Ohio County; Union County; Webster County	Non-Profit	Community Action Agency
2	Bell Whitley Community Action Agency, Inc.	Bell County; Whitley County	Non-Profit	Community Action Agency
3	Big Sandy Community Action Program, Inc.	Floyd County; Johnson County; Magoffin County; Martin County; Pike County	Non-Profit	Community Action Agency
4	Blue Grass Community Action Partnership, Inc.	Anderson County; Boyle County; Franklin County; Garrard County; Jessamine County; Lincoln County; Mercer County; Scott County; Woodford County	Non-Profit	Community Action Agency
5	Central Kentucky Community Action Council, Inc.	Breckinridge County; Grayson County; Hardin County; Larue County; Marion County; Meade County; Nelson County; Washington County	Non-Profit	Community Action Agency
6	Community Action Council for Lexington-Fayette, Bourbon, Harrison and Nicholas Counties, Inc.	Bourbon County; Fayette County; Harrison County; Nicholas County	Non-Profit	Community Action Agency
7	Community Action of Southern Kentucky	Allen County; Barren County; Butler County; Edmonson County; Hart County; Logan County; Metcalfe County; Monroe County; Simpson County; Warren County	Non-Profit	Community Action Agency
8	Daniel Boone Community Action Agency, Inc.	Clay County; Jackson County; Laurel County; Rockcastle County	Non-Profit	Community Action Agency
9	Gateway Community Services Organization, Inc.	Bath County; Menifee County; Montgomery County; Morgan County; Rowan County	Non-Profit	Community Action Agency
10	Harlan County Community Action Agency, Inc.	Harlan County	Non-Profit	Community Action Agency
11	KCEOC Community Action Partnership, Inc.	Knox County	Non-Profit	Community Action Agency
12	Kentucky River Foothills Development Council, Inc.	Clark County; Estill County; Madison County; Powell County	Non-Profit	Community Action Agency
13	Lake Cumberland Community Action Agency, Inc.	Adair County; Casey County; Clinton County; Cumberland County; Green County; McCreary County; Pulaski County; Russell County; Taylor County; Wayne County	Non-Profit	Community Action Agency
14	Licking Valley Community Action Program, Inc.	Bracken County; Fleming County; Lewis County; Mason County; Robertson County	Non-Profit	Community Action Agency
15	Leslie, Knott, Letcher, Perry Community Action Council, Inc.	Knott County; Leslie County; Letcher County; Perry County	Non-Profit	Community Action Agency
16	Louisville Metro Office of Resilience and Community Services	Jefferson County	Public	Community Action Agency
17	Middle Kentucky Community Action Partnership, Inc.	Breathitt County; Lee County; Owsley County; Wolfe County	Non-Profit	Community Action Agency
18	Multi-Purpose Community Action Agency, Inc.	Bullitt County; Shelby County; Spencer County	Non-Profit	Community Action Agency

19	Northeast Kentucky Community Action Agency, Inc.	Boyd County; Carter County; Elliott County; Greenup County; Lawrence County	Non-Profit	Community Action Agency
20	Northern Kentucky Community Action Commission, Inc.	Boone County; Campbell County; Carroll County; Gallatin County; Grant County; Kenton County; Owen County; Pendleton County	Non-Profit	Community Action Agency
21	Pennyrile Allied Community Services, Inc.	Caldwell County; Christian County; Crittenden County; Hopkins County; Lyon County; Livingston County; Muhlenburg County; Todd County; Trigg County	Non-Profit	Community Action Agency
22	Tri County Community Action Agency, Inc.	Henry County; Oldham County; Trimble County	Non-Profit	Community Action Agency
23	West Kentucky Allied Services, Inc.	Ballard County; Calloway County; Carlisle County; Fulton County; Graves County; Hickman County; Marshall County; McCracken County	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities 23

5.3. Changes to Eligible Entities List:

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

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

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

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

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

5.3b. Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)

CSBG Eligible Entity	Reason	Delete

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

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete

Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
<h3 style="margin: 0;">SECTION 6</h3> <h4 style="margin: 0;">Organizational Standards for Eligible Entities</h4>	

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

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

COE CSBG Organizational Standards
 Modified version of COE CSBG Organizational Standards
 Alternative set of Organizational Standards

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

N/A

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

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

There were no changes from the previous State Plan submission

Provide reason for using alternative standards

N/A

Describe rigor compared to COE-developed Standards

N/A

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

Regulation
 Policy
 Contracts with eligible entities
 Other, describe:

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

Peer-to-peer review (*with validation by the State or state-authorized third party*)
 Self-assessment (*with validation by the State or state-authorized third party*)
 Self-assessment/peer review with state risk analysis
 State-authorized third party validation
 Regular, on-site CSBG monitoring
 Other **VIRTUAL DESK REVIEW DUE TO COVID-19**

6.3a. Assessment Process: Describe the planned assessment process.

Each of the 23 CAAs will receive annual onsite monitoring. The monitoring will be conducted by the State Office in collaboration with the State Association (Community Action Kentucky). Previously, the State Office conducted a mix of onsite reviews and desk reviews. It was determined that it was more efficient to do all monitoring onsite. This also afforded the State Office the opportunity to conduct onsite T//TA when appropriate.

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

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption

Total Number of Exempt Entities: 0

CSBG Eligible Entity	Description / Justification	Delete

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period

Year One	65%	Year Two	70%
-----------------	-----	-----------------	-----

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

Section 7: State Use of Funds

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 7 State Use of Funds	

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

7.1. Formula:
 Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Historic

Base + Formula

Formula Alone

Formula with Variables

Hold Harmless + Formula

Other

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

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

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

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

Year One	95.00%	Year Two	95.00%
-----------------	--------	-----------------	--------

Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Audubon Area Community Services, Inc.	\$540,381	
Bell Whitley Community Action Agency, Inc.	\$345,158	
Big Sandy Community Action Program, Inc.	\$729,799	
Blue Grass Community Action Partnership, Inc.	\$484,764	
Central Kentucky Community Action Council, Inc.	\$590,552	
Community Action Council for Lexington-Fayette, Bourbon, Harrison and Nicholas Counties, Inc.	\$669,407	
Community Action of Southern Kentucky	\$757,575	
Daniel Boone Community Action Agency, Inc.	\$468,301	
Gateway Community Services Organization, Inc.	\$297,778	
Harlan County Community Action Agency, Inc.	\$217,971	
KCEOC Community Action Partnership, Inc.	\$241,069	
Kentucky River Foothills Development Council, Inc.	\$397,130	
Lake Cumberland Community Action Agency, Inc.	\$849,799	
Licking Valley Community Action Program, Inc.	\$234,398	
Leslie, Knott, Letcher, Perry Community Action Council, Inc.	\$576,236	
Louisville Metro Office of Resilience and Community Services	\$1,655,886	
Middle Kentucky Community Action Partnership, Inc.	\$269,606	
Multi-Purpose Community Action Agency, Inc.	\$174,839	
Northeast Kentucky Community Action Agency, Inc.	\$445,597	
Northern Kentucky Community Action Commission, Inc.	\$647,739	
Pennyrile Allied Community Services, Inc.	\$567,645	
Tri County Community Action Agency, Inc.	\$138,380	

West Kentucky Allied Services, Inc.	\$445,135	
Total		\$11,745,145
CSBG Eligible Entity Year Two		
CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Audubon Area Community Services, Inc.	\$540,384	
Bell Whitley Community Action Agency, Inc.	\$345,158	
Big Sandy Community Action Program, Inc.	\$729,799	
Blue Grass Community Action Partnership, Inc.	\$484,764	
Central Kentucky Community Action Council, Inc.	\$590,552	
Community Action Council for Lexington-Fayette, Bourbon, Harrison and Nicholas Counties, Inc.	\$669,407	
Community Action of Southern Kentucky	\$727,575	
Daniel Boone Community Action Agency, Inc.	\$468,301	
Gateway Community Services Organization, Inc.	\$297,778	
Harlan County Community Action Agency, Inc.	\$217,971	
KCEOC Community Action Partnership, Inc.	\$241,069	
Kentucky River Foothills Development Council, Inc.	\$397,130	
Lake Cumberland Community Action Agency, Inc.	\$849,799	
Licking Valley Community Action Program, Inc.	\$234,398	
Leslie, Knott, Letcher, Perry Community Action Council, Inc.	\$576,236	
Louisville Metro Office of Resilience and Community Services	\$1,655,886	
Middle Kentucky Community Action Partnership, Inc.	\$269,606	
Multi-Purpose Community Action Agency, Inc.	\$174,839	
Northeast Kentucky Community Action Agency, Inc.	\$445,597	
Northern Kentucky Community Action Commission, Inc.	\$647,739	
Pennyrile Allied Community Services, Inc.	\$567,645	
Tri County Community Action Agency, Inc.	\$138,380	
West Kentucky Allied Services, Inc.	\$445,135	
Total		\$11,715,148

7.3. Distribution Process:

Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

The Department specifies yearly requirements for the Plan and Budget Proposals, which are submitted by each CAA for Departmental approval. An approved Plan and Budget is incorporated within the contractual agreement between each CAA and the Cabinet and is subject to monitoring by the Division of Financial Management (DAFM). The contractual agreement is based on the state fiscal year of July 1 through June 30. Contracts are in place by July. The State allocates 95% of the funds to the agencies and keeps 5% for state administration. Each CAA is assigned a percentage of the award. The percentage was set years ago using census data regarding each areas poverty level and population. That percentage was been carried through to set CSBG allocations for each agency. When the award is known, 95% of it is distributed to agencies in contracts using the percentage assigned to them.

7.4. Distribution Timeframe:

Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? Yes No

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

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.

7.5. Performance Management Adjustment:

Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.

The percentages were decided upon by prior DAFM workers. There will be another census taken in 2020. Once that data is available, current DAFM staff will look at our percentages for each agency and see if they need to be modified to better meet the needs of the area.

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

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

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

Year One (0.00%)	5.00	Year Two (0.00%)	5.00
7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan			
Year One	1.00	Year Two	1.00
7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan			
Year One	0.00	Year Two	0.00
7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.			
Year One (0.00%)	0.00%	Year Two (0.00%)	0.00%
Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)			
<i>Note: This response will link to the corresponding assurance, Item 14.2.</i>			
<p><i>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i></p>			
<i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i>			
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities	
7.9a. Training/technical assistance to eligible entities	\$0.00	These planned services/activities will be described in State Plan Item 8.1.	
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00		
7.9e. Asset-building programs	\$0.00		
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00		
7.9g. State charity tax credits	\$0.00		
7.9h. Other activities, specify in column 3	\$0.00		
Total	\$0.00		
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities	
7.9a. Training/technical assistance to eligible entities	\$0.00	These planned services/activities will be described in State Plan Item 8.1.	
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00		
7.9e. Asset-building programs	0		
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00		
7.9g. State charity tax credits	\$0.00		
7.9h. Other activities, specify in column 3	\$0.00		
Total	\$0.00		
7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. <i>[Check all that apply and narrative where applicable]</i>			
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)			
<input type="checkbox"/> The state partially carries out some activities			

<input type="checkbox"/> CSBG eligible entities (<i>if checked, include the expected number of CSBG eligible entities to receive funds</i>)
<input type="checkbox"/> Other community-based organizations
<input type="checkbox"/> State Community Action association
<input type="checkbox"/> Regional CSBG technical assistance provider(s)
<input type="checkbox"/> National technical assistance provider(s)
<input type="checkbox"/> Individual consultant(s)
<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
Note: <i>This response will link to the corresponding CSBG assurance, item 14.2.</i>
7.11. Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
Note: <i>This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i>
Once the 2020 U.S. Census data is available, fiscal staff will look at percentages for each agency and see if they need to be modified to better meet the needs of service areas.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 8 State Use of Funds	

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with State Accountability Measure 3Scand pre-populates the Annual Report, Module 1, Table F.1.

Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q3	Both	Other	State Office and State Association will hold annual CSBG Spring Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.
2	FY1-Q3	Both	Other	State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.).
3	FY1-Q4	Both	Other	State Office and State Association will hold annual CSBG Fall Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.
4	Ongoing / Multiple Quarters	Both	ROMA	
5	Ongoing / Multiple Quarters	Technical Assistance	Technology	
6	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	
7	Ongoing / Multiple Quarters	Both	Organizational Standards - General	

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY2-Q3	Both	Other	State Association Annual Conference (traditionally held in June). A variety of topics will be covered, with speakers ranging from CSBG State Office Personnel to national partners (e.g. Community Action Partnership, etc.).
2	FY2-Q3	Both	Other	State Office and State Association will hold annual CSBG Spring Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.
3	FY2-Q4	Both	Other	State Office and State Association will hold annual CSBG Fall Training Session for all CSBG directors and their staff. Topics will include Community Assessment/Plan, ROMA, Technology, etc.
4	Ongoing / Multiple Quarters	Both	ROMA	
5	Ongoing / Multiple Quarters	Technical Assistance	Technology	
6	Ongoing / Multiple Quarters	Training	Governance/Tripartite Boards	
7	Ongoing / Multiple Quarters	Both	Organizational Standards - General	

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

8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.

8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? Yes No

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

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

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. *[Check all that apply.]*

- CSBG eligible entities *(if checked, provide the expected number of CSBG eligible entities to receive funds)* 23
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other The Kentucky state office contracts training and technical assistance to the Kentucky state association (Community Action Kentucky).

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

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

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

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No:0970-0382 Expires:06/30/2021
<h3 style="margin: 0;">SECTION 9</h3> <h4 style="margin: 0;">State Linkages and Communication</h4>	

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

9.1. State Linkages and Coordination at the state Level:
 Describe the linkages and coordination at the state level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

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

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

All 23 CAAs submit an annual CSBG Plan and Budget proposal in which they state their plans for ensuring the coordination and non-duplication of the agency services with other service providers. In order to ensure compliance, agencies must state and demonstrate their willingness to both share client information and records within legal limitations and conduct meetings no less than twice a year with all social services agencies in their geographic service area.

9.2. State Linkages and Coordination at the Local Level:
 Describe the linkages and coordination at the local level that the state to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under Sections 676(b)(5) - (6))

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

Pursuant to KRS 273.441(1)(e), each CAA collaborates with and encourages business, labor and other private groups and organizations to undertake, together with public officials and agencies, activities in support of the community action program, which will result in the additional use of private resources and capabilities. The goal of this collaboration is to develop new employment opportunities, stimulate investment that will have a measurable impact on reducing poverty among residents of areas of concentrated poverty, and provide methods by which residents of those areas can work with private groups, firms, and institutions in seeking solutions to problems of common concern.

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination:
 Describe how the state will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

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

KRS 273.443 states that CSBG funds shall be used to coordinate and establish linkages between governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, and otherwise encourage economic development activities that would assist low-income persons to become economically productive members of the community.

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:
 Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

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

The CAAs have developed extensive information and referral networks and participate in One-Stop service centers. Pursuant to KRS 273.443, CSBG funds are used to coordinate and establish linkages between Governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, or otherwise encourage developmental activities that would assist low-income persons to become economically productive members of the community. In addition, each CAA outlines these efforts yearly in a Plan and Budget Proposal, which undergoes the Departments approval process and, upon approval, is fully incorporated within the contractual agreement between the agencies and the Cabinet and is subject to monitoring. The CAAs are required to coordinate with the Departments other human services programs and provide detail of this coordination in the annual Plan and Budget Proposal. The Department and its contractor, Community Action Kentucky, also provide technical assistance to ensure coordination and to facilitate linkages.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:
Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? Yes No

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

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

9.4b. Employment and Training Activities: If the state selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.

The CAAs have developed extensive information and referral networks and participate in One-Stop service centers. Pursuant to KRS 273.443, CSBG funds are used to coordinate and establish linkages between Governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, or otherwise encourage developmental activities that assist low-income persons to become economically productive members of the community. In addition, each CAA outlines these efforts yearly in a Plan and Budget Proposal, which undergoes the Departments approval process and, upon approval, is fully incorporated within the contractual agreement between the agencies and the Cabinet and is subject to monitoring. The CAAs are required to coordinate with the Departments other human service programs and provide detail of this coordination in the annual Plan and Budget Proposal. The Department and its contractor, CAK, also provide technical assistance to ensure coordination and to facilitate linkage.

9.5. Emergency Energy Crisis Intervention:
Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under Section 676(b)(6) of the CSBG Act).

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

Coordination with emergency energy crisis intervention programs under Title XXVI and the Low-Income Home Energy Assistance Program of the Omnibus Reconciliation Act of 1981 are described in each CAAs annual Plan and Budget Proposal. The Department is the State administering agency for these programs, in addition to CSBG. To further facilitate this coordination, the Department contracts with CAK to provide additional technical assistance, training, and other administrative functions of these programs.

9.6. Faith-based Organizations, Charitable Groups, Community Organizations:
Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

The CAAs are required to include in the Plan and Budget Proposal how the agency plans to ensure coordination and non-duplication of services with other service providers, inclusive of faith-based organizations, fatherhood programs, healthy marriage programs and One-Stop partnerships. Subcontracting is another option to further enhance the available services and their delivery. In addition to the Results Oriented Management and Assessment (ROMA) Tool, the CAAs are required to submit a Logic Model for each of the nine NASCS categories. Additionally, the CAAs and the local DCBS offices work jointly and agree upon each entities roles, services to be provided, a joint referral mechanism and the assurance that through cooperative efforts, both parties have been able to identify and address the vital service needs of the geographic area.

9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

The CAAs may develop and implement innovative community and neighborhood initiatives to meet local needs including, but not limited to, initiatives with the goal of strengthening families, addressing the local needs of immigrant populations, and encouraging effective parenting, such as the involvement of fathers and/or noncustodial parents, recruitment of foster parents, and prevention of homelessness.

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

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

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

9.9. Communication with Eligible Entities and the State Community Action Association:
In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

Communication Plan

Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Email	
State Plan Development	Annually	Meetings/Presentation	

Organizational Standards Progress	As needed	Email	
State Accountability Measures Progress	As needed	Email	
Community Needs Assessments/Community Action Plans	Annually	Email	
State Monitoring Plans and Policies	As needed	Email	
Training and Technical Assistance (T/TA) Plans	Annually	Letters/Hard Copies	
ROMA and Performance Management	Quarterly	Email	
State Interagency Coordination	Not Applicable		
CSBG Legislative/Programmatic Updates	As needed	Email	
Tripartite Board Requirements	Monthly	Email	

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	General Communication with State Association	Daily		
2	Legislative/Public Hearing	Annually		
3	Solicitation of Plan and Budget	Annually		
4	General Information	As needed		
5	Tripartite Board Requirements	Monthly		
6	ROMA	Quarterly		
7	Organizational Standards Progress	Annually		

9.10. Feedback to Eligible Entities and State Community Action Association:
Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

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

Any feedback the State has received from OCS is provided to the CAAs and State Association within 60 calendar days.

9.11. Performance Management Adjustment:
Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

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

DCBS staff and the State Association make a collaborative effort to improve communications and networking between the two offices and the eligible entities. Based on the needs of the eligible entities this may include: meetings, webinars, conference calls or emails. Once ACSI scores have been received, the state office and the state association will meet to discuss quality improvement.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

**Form Approved
OMB No: 0970-0382
Expires:06/30/2021**

SECTION 10 State Use of Funds

Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act)

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

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

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Audubon Area Community Services, Inc.	Full On-site	Onsite Review	FY1 Q4	07/22/2020	07/22/2020	
2	Bell Whitley Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q3	04/10/2020	04/10/2020	
3	Big Sandy Community Action Program, Inc.	Full On-site	Onsite Review	FY1 Q3	05/25/2020	05/25/2020	
4	Blue Grass Community Action Partnership, Inc.	Full On-site	Onsite Review	FY1 Q2	01/31/2020	01/31/2020	
5	Central Kentucky Community Action Council, Inc.	Full On-site	Onsite Review	FY1 Q3	06/11/2020	06/11/2020	
6	Community Action Council for Lexington-Fayette, Bourbon, Harrison and Nicholas Counties, Inc.	Full On-site	Onsite Review	FY1 Q3	04/22/2020	04/22/2020	
7	Community Action of Southern Kentucky	Full On-site	Onsite Review	FY1 Q3	04/09/2020	04/09/2020	
8	Daniel Boone Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q2	04/10/2020	04/10/2020	
9	Gateway Community Services Organization, Inc.	Full On-site	Onsite Review	FY1 Q1	02/27/2020	02/27/2020	
10	Harlan County Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q3	06/12/2020	06/12/2020	
11	KCEOC Community Action Partnership, Inc.	Full On-site	Onsite Review	FY1 Q2	04/16/2020	04/16/2020	
12	Kentucky River Foothills Development Council, Inc.	Full On-site	Onsite Review	FY1 Q4	11/06/2020	11/06/2020	
13	Lake Cumberland Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q2	04/16/2020	04/16/2020	
14	Licking Valley Community Action Program, Inc.	Full On-site	Onsite Review	FY1 Q1	02/12/2020	02/12/2020	
15	Leslie, Knott, Letcher, Perry Community Action Council, Inc.	Full On-site	Onsite Review	FY1 Q2	11/12/2020	11/12/2020	
16	Louisville Metro Office of Resilience and Community Services	Full On-site	Onsite Review	FY1 Q1	02/25/2020	02/26/2020	
17	Middle Kentucky Community Action Partnership, Inc.	Full On-site	Onsite Review	FY1 Q1	02/25/2020	02/26/2020	
18	Multi-Purpose Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q1	02/13/2020	02/13/2020	
19	Northeast Kentucky Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q2	04/10/2020	04/10/2020	
20	Northern Kentucky Community Action Commission, Inc.	Full On-site	Onsite Review	FY1 Q1	03/03/2020	03/04/2020	
21	Pennyrile Allied Community Services, Inc.	Full On-site	Onsite Review	FY1 Q4	11/13/2020	11/13/2020	
22	Tri County Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q1	02/24/2020	02/24/2020	
23	West Kentucky Allied Services, Inc.	Full On-site	Onsite Review	FY1 Q2	04/10/2020	04/10/2020	

	c.						
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Audubon Area Community Services, Inc.	Full On-site	Onsite Review	FY2 Q3	04/13/2021	04/13/2021	
2	Bell Whitley Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q3	04/06/2021	04/06/2021	
3	Big Sandy Community Action Program, Inc.	Full On-site	Onsite Review	FY2 Q3	04/22/2021	04/22/2021	
4	Blue Grass Community Action Partnership, Inc.	Full On-site	Onsite Review	FY2 Q1	12/03/2020	12/03/2020	
5	Central Kentucky Community Action Council, Inc.	Full On-site	Onsite Review	FY2 Q4	07/16/2021	07/16/2021	
6	Community Action Council for Lexington-Fayette, Bourbon, Harrison and Nicholas Counties, Inc.	Full On-site	Onsite Review	FY2 Q2	02/03/2021	02/03/2021	
7	Community Action of Southern Kentucky	Full On-site	Onsite Review	FY2 Q3	05/14/2021	05/14/2021	
8	Daniel Boone Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q3	04/09/2021	04/09/2021	
9	Gateway Community Services Organization, Inc.	Full On-site	Onsite Review	FY2 Q2	02/02/2021	02/02/2021	
10	Harlan County Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q3	05/11/2021	05/11/2021	
11	KCEOC Community Action Partnership, Inc.	Full On-site	Onsite Review	FY2 Q3	05/13/2021	05/13/2021	
12	Kentucky River Foothills Development Council, Inc.	Full On-site	Onsite Review	FY2 Q3	05/18/2021	05/18/2021	
13	Lake Cumberland Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q3	05/27/2021	05/27/2021	
14	Licking Valley Community Action Program, Inc.	Full On-site	Onsite Review	FY2 Q2	02/02/2021	02/02/2021	
15	Leslie, Knott, Letcher, Perry Community Action Council, Inc.	Full On-site	Onsite Review	FY2 Q4	08/05/2021	08/05/2021	
16	Louisville Metro Office of Resilience and Community Services	Full On-site	Onsite Review	FY2 Q2	02/15/2021	02/15/2021	
17	Middle Kentucky Community Action Partnership, Inc.	Full On-site	Onsite Review	FY2 Q2	02/09/2021	02/09/2021	
18	Multi-Purpose Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q2	02/15/2021	02/15/2021	
19	Northeast Kentucky Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q4	08/23/2021	08/23/2021	
20	Northern Kentucky Community Action Commission, Inc.	Full On-site	Onsite Review	FY2 Q2	02/04/2021	02/04/2021	
21	Pennyrite Allied Community Services, Inc.	Full On-site	Onsite Review	FY2 Q4	08/17/2021	08/17/2021	
22	Tri County Community Action Agency, Inc.	Full On-site	Onsite Review	FY2 Q2	02/04/2021	02/04/2021	
23	West Kentucky Allied Services, Inc.	Full On-site	Onsite Review	FY2 Q4	08/30/2021	08/30/2021	

10.2. Monitoring Policies:
Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

See attached: Kentucky's Contract Monitoring Procedures.

10.3. Initial Monitoring Reports:
According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

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

30

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

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

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

N/A
10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable.
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
1
10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
Should the State identify that an eligible entity requires a QIP through monitoring the State will draft and send a letter reporting the QIP to OCS within 30 days of the State approving the QIP
10.7. Assurance on Funding Reduction or Termination: The state assures, "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8). <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.
Kentucky Revised Statutes: KRS 273.435, Designation of Community Action Agency, http://www.lrc.ky.gov/Statutes/statute.aspx?id=13739
10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public
10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities <input checked="" type="radio"/> Yes <input type="radio"/> No
10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.
Kentucky Administrative Regulation: 922 KAR 6:040, Termination of funding and hearing procedures. http://www.lrc.ky.gov/kar/922/006/040.htm
10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public
10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? <input type="radio"/> Yes <input checked="" type="radio"/> No
10.10a. If Yes, provide the citation(s) of the law and/or regulation.
10.10b. If No, describe State procedures for re-designation of existing eligible entities. In accordance with 922 KAR 6:040, the Cabinet, should it decide to suspend or terminate funding to a CAA, will advise the CAA of the provisions for review of the termination proceedings to the Secretary of the U.S. Department of Health and Human Services pursuant of Section 676(a) of the CSBG Act.
Fiscal Controls and Audits and Cooperation Assurance
10.11. Fiscal Controls and Accounting: Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).
Each federal grant has its own Sub-function, program and program period, which allow us to track each grant separately. Contracts are monitored on an annual basis.
10.12. Single Audit Management Decisions: Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.
<i>Note: This information is associated with State Accountability Measure 4Sd.</i>
In 2014, the Department began contracting with the Office of Inspector General (OIG) to complete desk audit reviews. If there are applicable findings OIG informs the Department, where a Management Decision Letter is drafted, with input from OIG if needed. The Management Decision Letter is then issued by the Director of the Division of Administration and Financial Management (DAFM).
10.13. Assurance on Federal Investigations: The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance, Item 14.7.</i>
10.14. Performance Management Adjustment: Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
<i>Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.</i>

No adjustments to CSBG monitoring procedures since the prior State Plan. All CSBG contracts are monitored on-site. Federal Review: No issues of non-compliance were found during OCS Fiscal and Administrative analysis of DCBS. Kentucky will continue to provide services to include: quality, consistency, and timeliness of existing monitoring procedures throughout the state.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 11 State Use of Funds	

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act *[Check all that applies and narrative where applicable]*

<input type="checkbox"/>	Attend Board meetings
<input checked="" type="checkbox"/>	Organizational Standards Assessment
<input checked="" type="checkbox"/>	Monitoring
<input checked="" type="checkbox"/>	Review copies of Board meeting minutes
<input checked="" type="checkbox"/>	Track Board vacancies/composition
<input type="checkbox"/>	Other

11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member s election process, etc., *[Select one and narrative where applicable]*

<input type="radio"/>	Annually
<input type="radio"/>	Semiannually
<input type="radio"/>	Quarterly
<input type="radio"/>	Monthly
<input type="radio"/>	As it Occurs
<input checked="" type="radio"/>	Other The Kentucky State Office requires all CAAs to submit a Tripartite Board Tracking Form with each set of board minutes submitted. Board minutes are submitted thirty days after CAA approval The form requires agencies to indicate the total number of board members by sector (Low Income, Private, Public), the total number of vacancies, and how the agency plans to fill the vacancy (including a timeframe) should a vacancy occur. Should board composition change, agencies must also include an updated board roster with the board minutes and tracking form.

11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act

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

The CAAs administer the CSBG program through a tripartite board that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities, in accordance with 42 U.S.C. 9902(1)(A) and 9910 and KRS 273.437. Members of the board are selected by the entity. The board is composed in a manner to ensure that at least one-third (1/3rd) of the members of the administering board shall be persons chosen in accordance with democratic selection procedures adequate to assure that they represent the poor in the area served by the agency. Additionally, each member of the board is to represent a specific geographic area within a community and resides in the area of representation. The CAAs are required to include a list of the members of the board of directors in the Plan and Budget Proposal. The information to be provided includes the name, address, and telephone number of the members of the board and their representation as an elected public official, low-income individuals who are members representing the specific community in the area of the agency, and other remaining members of business, industry, labor, religious, welfare, education, or other major groups and shall be interested in the community (Retrieved on May 19, 2015 at: <http://www.lrc.state.ky.us/krs/273-00/CHAPTER.HTM>) The Cabinet ensures that each county within the Commonwealth will be served by an eligible entity and that each entity provides services in an equitable manner in accordance with the approved Plan and Budget Proposal. During the contract monitoring process, the CAAs are monitored to determine if the CAA has complied with the approved Plan and Budget, contractual agreement, and applicable state and federal regulations and laws. Agencies complete a tripartite board tracking tool whenever a vacancy occurs on their board. The agency ensures the vacancy is filled within 90 days and provides documentation demonstrating its attempts to fill vacancies. The tool and board roster is monitored by the State Office for compliance. A monitoring process for ensuring CAA tripartite board compliance was developed as a result of OCS monitoring and recommendation.

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

11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 12 Individual and Community Income Eligibility Requirements	
12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. <i>[Check one item below.]</i>	
<input type="radio"/> 125% of the HHS poverty line <input checked="" type="radio"/> X% of the HHS poverty line (fill in the threshold) <input type="radio"/> Varies by eligible entity	
200%	% <i>[Response Option: numeric field]</i>
12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.	
992 KAR 6:010 Section 5: Income Eligibility, Validation, and Determination. (1) To be eligible to participate in services and programs funded with CSBG funds, an individual's or family's income shall be at or below: (a) 200 percent of the current poverty level issued each year by the U.S. Department of Health and Human Services and published in the Federal Register through September 30, 2010, in accordance with Pub.L. 111-5; or (b) 125 percent of the current poverty level issued each year by the United States Department of Health and Human Services and published in the Federal Register after September 30, 2010. (2) Information and referral services shall be provided to an individual or family without regard to income. (3) If screening for programs where the eligibility factor is higher, the factor for that other program applies. (4) The individual or family head shall sign a document attesting to the amount of declared income and eligibility to receive services. (5) A community action agency or its worker shall require that a client produce proof of income eligibility in which a dated copy of the client's documentation shall be placed in the client's file. (6) Initial eligibility shall be: (a) Determined within thirty (30) days of application; (b) Redetermined if there is a change in circumstance; and (c) Redetermined at least annually, if there is not a change in circumstance.	
12.2. Income Eligibility for General/Short-Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.	
For services with limited in-take procedures such as emergency food assistance, it is generally up to the CAA how they verify income. Self-declaration or signing a sheet saying they received the service (food) is the most common verifications used.	
12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).	
The Cabinet requires each CAA to submit a CSBG Plan and Budget Proposal, including a community needs assessment for the agency's designated area. Based on the needs of the community, the CAAs must address causes of poverty and mobilize community resources in a plan to address those challenges. The community needs assessment describes: The agency's community needs assessment process and procedures, including who in the community is involved and how they are involved; Methods utilized to assure community and consumer representation in the needs assessment process, including survey summaries, meeting minutes, and other tools utilized to obtain input from the community and consumers; Collaboration with other community service organizations; The community strengths and needs, including other service agencies that provide services meeting the community needs as described in KRS 273.443; A plan to ensure the coordination and non-duplication of the CAAs services with other service providers, including a description of the agency's coordination and consultation with the Cabinet to avoid duplication of services and ensure effective service delivery; Efforts to address the needs of youth in the low-income communities through youth development programs that support the primary role of the family, with priority given to the prevention of youth problems and crime and increased community coordination and collaboration in meeting the needs of low-income youth; Services directed towards community participation and economic development; and Coordination with emergency energy crisis intervention programs under Title XXVI and the Low-Income Energy Assistance Program of the Omnibus Budget Reconciliation Act of 1981.	

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 13 Results Oriented Management and Accountability (ROMA) System	
13.1. Performance Measurement System: Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module I, Item I.1.</i>	
<input checked="" type="radio"/> The Results Oriented Management and Accountability (ROMA) System	
<input type="radio"/> Another performance management system that meets the requirements by Section 678E(b) of the CSBG Act	
<input type="radio"/> An alternative system for measuring performance and results	
13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.	
Written procedures are provided in the contract with each CAA. Per contractual agreement, CAAs report performance measures applicable to each agency. Results of services are reported by the CAA on a quarterly basis that is compiled into a statewide report by CAK and submitted to the State Office on a quarterly basis. The CSBG Manual includes the ROMA cycle and National Performance Indicators. Each year the CSBG manual is reviewed and approved by the Cabinet.	
13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.	
13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
Agencies are required to submit within their CSBG Plan and Budget Proposals: family logic models, FNPI targets and the services which will be used to promote self-sufficiency, family stability and community revitalization. Kentucky's CAAs collect pertinent information at intake (income, demographics, etc.), services offered and outcomes achieved, and can create Family Goal Plans (Case Management Plans) for individuals and families. The agencies generate and submit quarterly NPI and Services reports documenting their results. Each agency chooses FNPIs based on the programs which they operate. Agencies utilize the full ROMA Cycle (Assessment, Planning, Implementation, Achievement of Results and Evaluation). They closely monitor their successes or failures using their outcome/results (FNPI) data and use this knowledge to evaluate the effectiveness of programs and to realign services within their community to promote self-sufficiency.	
13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.	
<i>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</i>	
Community Action Kentucky, the State Association, is the Cabinet's contract agent for providing ROMA training and technical assistance to the CAAs and to compile ROMA statewide reporting to the Cabinet. Annually, the CSBG Program Director and representatives from the CAAs attend a workgroup session to determine the ROMA goals and milestones for the upcoming fiscal year. Once the goals and milestones are determined, they are submitted to CAK to the Department for review and final approval. The Community Action Network utilizes computerized software, CASTiNET. The CASTiNET system is used for the purpose of data collection, reporting, and other related needs. The new ROMA National Performance Indicators will be included in the data collection and reporting. Kentucky prepares ROMA data reports on a State Fiscal Year, rather than a Federal Fiscal Year.	
13.4. Eligible Entity Use of Data: Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
CAAs are required to submit an explanation with their Plan and Budget Proposal of how they used the previous years ROMA data results to improve service delivery. Plans are reviewed by the Department and CAK to ensure the entities improve service delivery.	
Community Action Plans and Needs Assessments	
13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
The state develops a solicitation packet outlining requirements for each year's Plan and Budget Proposal. The Department distributes the packet to all eligible entities. Therefore, in order to receive a contract for funding, each agency must have submitted a plan and received an approval letter from the State.	
13.6. Community Needs Assessment: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.	

b)(11) of the CSBG Act.

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

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

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:06/30/2021
SECTION 14 State Use of Funds	

14.1 Use of Funds Supporting Local Activities

CSBG Services

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

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

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

Kentucky will follow state statutes: KRS 273.443 and KRS 273.446. See attached.

Needs of Youth

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

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

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

Coordination of Other Programs

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

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

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

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."

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

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

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The state describes this assurance in the state linkages and communication section, item 9.3b.

The CAAs have developed extensive information and referral networks and participate in One-Stop service centers. Pursuant to KRS 273.443, CSBG funds are used to coordinate and establish linkages between Governmental and other social programs to ensure effective delivery of services to low-income individuals. The CAAs encourage the entities in the private sector of the community to participate in efforts to ameliorate poverty in the community. The CAAs develop, promote, or otherwise encourage developmental activities that would assist low-income persons to become economically productive members of the community. In addition, each CAA outlines these efforts yearly in a Plan and Budget Proposal, which undergoes the Departments approval process and, upon approval, is fully incorporated within the contractual agreement between the agencies and the Cabinet and is subject to monitoring. The CAAs are required to coordinate with the Departments other human services programs and provide detail of this coordination in the annual Plan and Budget Proposal. The Department and its contractor, Community Action Kentucky, also provide technical assistance to ensure coordination and to facilitate linkages.

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

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

Note: The state describes this assurance in the state linkages and communication section, item 9.7.

The CAAs may develop and implement innovative community and neighborhood initiatives to meet local needs including, but not limited to, initiatives with the goal of strengthening families, addressing the local needs of immigrant populations, and encouraging effective parenting, such as the involvement of fathers and/or noncustodial parents, recruitment of foster parents, and prevention of homelessness.

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

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

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

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

Eligible Entity Emergency Food and Nutrition Services

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

Pursuant to KRS 273.433, CSBG funds may be utilized to provide on an emergency basis supplies and services to meet immediate essential needs of low-income persons, including the elderly poor. Eligible entities provide information about nutrition services and make referrals to community programs. Short-term or one-time counseling may be provided to individuals or groups about nutrition, diet and food preparation. CSBG resources may be used to store and distribute surplus United States Department of Agriculture (USDA) agricultural commodities and other federally provided emergency food to low-income persons. Persons will be assisted by receiving benefits from food banks. Assistance may be provided to improve the diet of low-income families through neighborhood or community gardens, operation of community canneries or other projects to assist low-income families with preserving fruits, vegetables, and meats. Comprehensive training may be provided in the areas of nutrition principles, home economics, child and infant nutrition and guidance in consumer behavior. The utilization of CSBG resources may be maximized by supplementation of services through the Special Supplemental Nutrition Programs for Women, Infants and Children (WIC), summer feeding programs for children and provisions of transportation to nutrition project participants. Interagency planning and coordination includes measures to prevent starvation and malnutrition, mobilization of community resources to meet nutritional needs of low-income families and efforts to increase local awareness of identified nutrition needs of low-income groups.

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

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

Note: The state describes this assurance in the state linkages and communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

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

Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the state will permit and cooperate with Federal investigations undertaken in accordance with section 678D." Yes

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

Funding Reduction or Termination

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

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

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

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

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

Eligible Entity Tripartite Board Representation

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

Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

The CAAs administer the CSBG program through a tripartite board that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities, in accordance with 42 U.S.C. 9902(1)(A) and 9910 and KRS 273.437. Members of the board are selected by the entity. The board is composed in a manner to ensure that at least one-third (1/3rd) of the members of the administering board shall be persons chosen in accordance with democratic selection procedures adequate to assure that they represent the poor in the area served by the agency. Additionally, each member of the board is to represent a specific geographic area within a community and resides in the area of representation. The CAAs are required to include a list of the members of the board of directors in the Plan and Budget Proposal. The information to be provided includes the name, address, and telephone number of the members of the board and their representation as an elected public official, low-income individuals who are members representing the specific community in the area of the agency, and other remaining members of business, industry, labor, religious, welfare, education, or other major groups and shall be interested in the community (Retrieved on May 19, 2015 at: <http://www.lrc.state.ky.us/krs/273-00/CHAPTER.HTM>) The Cabinet ensures that each county within the Commonwealth will be served by an eligible entity and that each entity provides services in an equitable manner in accordance with the approved Plan and Budget Proposal. During the contract monitoring process, the CAAs are monitored to determine if the CAA has complied with the approved Plan and Budget, contractual agreement, and applicable state and federal regulations and laws. Agencies complete a tripartite board tracking tool whenever a vacancy occurs on their board. The agency ensures the vacancy is filled within 90 days and provides documentation demonstrating its attempts to fill vacancies. The tool and board roster is monitored by the State Office for compliance. A monitoring process for ensuring CAA tripartite board compliance was developed as a result of OCS monitoring and recommendation.

Eligible Entity Community Action Plans and Community Needs Assessments

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

Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

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

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

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the state will carry out the assurances described in this section."

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



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

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:06/30/2021

SECTION 15 Federal Certifications

15.1. 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.

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

15.1. Lobbying

After assurance select a check box:



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

15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

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

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

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

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

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

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

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

ered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



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

15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

**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 at the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

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

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

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

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

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

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

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

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.

15.3. Debarment

After assurance select a check box:



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

15.4. 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.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

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 an
Voluntary Exclusion--Lower Tier Covered Transactions

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

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

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

DocuSigned by:

Marta Miranda-Straub

8A72BE89C475443...

Signature

Commissioner

Title

Cabinet for Health and Family Services

Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

DocuSigned by:

Marta Miranda-Straub

8A72BF89C475443

Signature

Commissioner

Title

Cabinet for Health and Family Services

Organization

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

DocuSigned by:
Marta Miranda Straub
8A72BE89C475443...

Signature

Commissioner
Title

Cabinet for Health and Family Services
Organization

ANDY BESHEAR
GOVERNOR



GERINA D. WETHERS
SECRETARY

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

MEMORANDUM

PERSONNEL MEMO 20-18

TO: Constitutional Officers
Cabinet Secretaries
Agency Heads
HR Administrators

FROM: Gerina D. Wethers, Secretary

DATE: October 1, 2020

**RE: Annual State Certification for Drug-Free Workplace Federal Grants
October 1, 2020 - September 30, 2021**

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 2020. Your agency may be required to submit a copy of this certification when applying for federal funding. The certification is valid from October 1, 2020 through September 30, 2021.

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.

Thank you for your continued cooperation.

Attachments: Annual Certification for Drug-Free Workplace Federal Grants
Agency Federal Funding Source 2020-2021

**Kentucky State Government
Annual Multiple Agency Certification Regarding
Drug-Free Workplace Requirements
Federal Fiscal Year 2020/2021
October 1, 2020 - September 30, 2021**

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

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

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

Commonwealth of Kentucky, State Government

Organization Name

Gerina D. Whethers - Personnel Cabinet

Name and Title of Authorized Representative



Signature

October 1, 2020

Date



PAUL E. PATTON
GOVERNOR

EXECUTIVE ORDER

96-611

May 15, 1996

Secretary of State
Frankfort
Kentucky

RELATING TO DRUG-FREE WORKPLACE POLICY
COMMONWEALTH OF KENTUCKY

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

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

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

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

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

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

This Order is effective upon execution.

PAUL E. PATTON
Governor

JOHN Y. BROWN III
Secretary of State

APPENDIX A



Employee Handbook



Issued by:



August 2020

Table of Contents

GENERAL INFORMATION	6
About State Government	6
The Merit System	6
Equal Employment Opportunity (EEO).....	7
EMPLOYMENT/POSITION INFORMATION	10
Classification Plan	10
Compensation (Pay) Plan.....	10
Records and Files	12
BENEFITS OF EMPLOYMENT	13
Adoption Benefit Program	13
Deferred Compensation	13
Employee Discount Program.....	14
Employee Performance Management System	144
Benefits Schedule/Overview.....	14
Insurance.....	17
Optional Coverage	17
Health	17
Holidays.....	19
Leave.....	20
Annual (Vacation) Leave.....	20
Blood Donation Leave.....	21
Compensatory Leave Time & Overtime Pay	21
Court Leave	22
Family and Medical Leave Act (FMLA)	23
Funeral and Bereavement Leave.....	28
Living Organ Donor Leave Program	28
Military Leave.....	28
Military, Spousal Leave	29
Parental Leave: Maternity/Paternity/Adoption/Foster.....	29
Sick Leave	30
Special Leave of Absence/Educational	32
Voting and Election Leave	32
Weather, Adverse	33
Transferring Months of Service/Leave Balances with No Break in Service.....	33
Leave Sharing Programs.....	35
Ridesharing	37

Retirement.....	38
Unemployment Insurance.....	39
RESPONSIBILITIES OF EMPLOYMENT	39
Ethics Code for the Executive Branch	39
Use of State Materials and Equipment.....	41
Outside Employment	41
Political Activities	41
Travel Regulations: Employees.....	43
Use of Information Technology Resources.....	44
Work Schedules	48
EMPLOYEE SERVICES/RECOGNITION	48
Communications.....	48
Kentucky Employee Suggestion System (KESS).....	49
Kentucky Employees Charitable Campaign (KECC).....	49
Kentucky Human Resource Information System (KHRIS): Self-Service Center.....	50
MyPURPOSE	50
Training and Development Services.....	50
EMPLOYEE RELATIONS	52
Appeals to the Personnel Board.....	52
Grievance Process	52
Kentucky Employee Assistance Program (KEAP).....	53
Kentucky Employee Mediation Program (KEMP).....	54
Workers' Compensation	54
WORKPLACE	55
Americans with Disabilities Act (ADA).....	55
Dress Code	55
Drug-Free Workplace	56
Drug Testing.....	56
HIV and AIDS in the Workplace	57
Kentucky Safety Program.....	59
Pregnant Workers Act	59
Tobacco-Free Policy	59
Violence in the Workplace	60

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.
- 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, the Personnel Cabinet Office of Legal Services at (502) 564-7430, or the Kentucky Employee Assistance Program at (502) 564-5788. Refer to the [Personnel Cabinet's Substance Abuse website](#) for more information.

LEGAL REFERENCES:

[KRS 18A.043](#)
[41 U.S.C. § 8103](#)

Drug Testing

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

ANDY BESHEAR
GOVERNOR



GERINA D. WHETHERS
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 20-16

TO: All State Employees
FROM: Gerina D. Whethers, Secretary
DATE: August 19, 2020
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 Rosemary Holbrook, Assistant General Counsel, Personnel Cabinet, Office of Legal Services at (502) 564-7430 with any questions concerning this directive.

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



Title

Secretary

Organization

Cabinet for Health and Family Services



COMMONWEALTH OF KENTUCKY
OFFICE OF THE GOVERNOR

Andy Beshear
GOVERNOR

Capitol Building, Suite 100
700 Capitol Avenue
Frankfort, KY 40601
(502) 564-2611
Fax: (502) 564-2517

July 8, 2020

Lauren Christopher, Director
Office of Community Services
Division of Energy Assistance
330 C Street, SW
Washington, DC 20201

Dear Ms. Christopher:

As Governor of the Commonwealth of Kentucky, I delegate authority to the Secretary of the Cabinet for Health and Family Services to serve as the official signatory for the Community Services Block Grant (CSBG) State Plan and Application, the Low Income Home Energy Assistance Program (LIHEAP) State Plan, and associated federal assurances, reports, and other submittals requiring my signature.

This letter also serves as notification that the state administrating agency for CSBG and LIHEAP in Kentucky is the Cabinet for Health and Family Services, Department for Community Based Services.

If you have questions regarding this matter, please contact Jason Dunn at Jason.Dunn@ky.gov.

Sincerely,

A handwritten signature in blue ink, appearing to read "AB", with a long horizontal stroke extending to the right.

Andy Beshear
Governor

BLOCK GRANT PROGRAM STATUS REPORT

July 1, 2020 – December 31, 2020

Department: Community Based Services (DCBS) Block Grant: Community Services Block Grant (CSBG)

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: Marta Miranda-Straub 2/1/2021
 8A72BE99C47E443...
 Marta Miranda-Straub Date
 Commissioner

1. FINANCES	Federal Funds	General Funds	Trust/Local Match	Total
CSBG Annual Budget	\$12,425,343.00	\$104,268.00	\$0.00	\$12,529,611.00
CSBG Actual Expenditures	\$4,837,396.32	\$67,157.96	\$0.00	\$4,904,554.28
CSBG Encumbrances	\$0.00	\$0.00	\$0.00	\$0.00
CSBG Available Balance	\$7,587,946.68	\$37,110.04	\$0.00	\$7,625,056.72

FINANCES	Federal Funds	General Funds	Trust/Local Match	Total
CSBG-CARES Annual Budget	\$16,856,592.00	\$0.00	\$0.00	\$16,856,592.00
CSBG-CARES Actual Expenditures	\$3,372,624.19	\$0.00	\$0.00	\$3,372,624.19
CSBG-CARES Encumbrances	\$0.00	\$0.00	\$0.00	\$0.00
CSBG-CARES Available Balance	\$13,483,967.81	\$0.00	\$0.00	\$13,483,967.81

2. RESULTS BUDGETED/ACHIEVED

OBJECTIVES	ACHIEVEMENTS
1. Provide, through contracts with 23 local Community Action Agencies (CAAs), needed services to clients whose income meets poverty guidelines on a statewide basis.	1. DCBS implemented contracts with all twenty-three (23) CAAs, serving one hundred and twenty (120) counties of the Commonwealth, for provision of appropriate required services based on their approved plans and budgets. Some agencies had carryforward monies remaining from the previous SFY contract period that was put on their current SFY contract

BLOCK GRANT PROGRAM STATUS REPORT**July 1, 2020 – December 31, 2020****Department: Community Based Services (DCBS) Block Grant: Community Services Block Grant (CSBG)**

	during the time period in question.
2. Conduct an annual fiscal audit under auspices of the Cabinet for Health and Family Services with actual audits being conducted by certified public accountant firms and approved by DCBS-Division of Administration and Financial Management (DAFM).	2. DAFM maintains contractual arrangements for personnel responsible for these duties.
3. Monitor CAAs for compliance with Standards of Performance as promulgated in Kentucky Administrative Regulation for Community Action Agencies and in accordance with plan and budget instructions and federal and state statutes.	3. For the period of July 1, 2020 – December 31, 2020, fifteen (15) CAAs CSBG contracts were monitored. Fourteen (14) of the agencies monitored had no findings for non-compliance. One (1) of the agencies monitored (Licking Valley CAA) had a finding and the agency's Corrective Action Plan (CAP) has been accepted/resolved. The CAP from July 1, 2020 – December 31, 2020, has been submitted and accepted.
4. Monitor CAAs for compliance with the Organizational Standards as determined by the Office of Community Services and promulgated in the Kentucky Administrative Regulation in accordance with state and federal statutes.	4. The Division of Family Support (DCBS) and Community Action Kentucky perform onsite organizational standard monitoring and desk reviews for each of the 23 local CAAs each fiscal year. Fourteen (14) of twenty-three (23) agencies were monitored from July 1, 2020 – December 31, 2020. All monitoring was conducted via desk review. One corrective action plan was issued and resolved in the allotted timeframe.
5. Obtain contract service reports to use for training and technical assistance.	5. Service and fiscal reports from each CAA are reviewed on a quarterly basis year-to-date. Information is maintained on the DCBS data system and reported as required to federal and state officials.
6. Provide training and technical assistance based on input from all contract agencies.	Community Action Kentucky (CAK) and DCBS provide training and technical assistance through different venues, including work sessions, annual conference, and regional trainings. Trainers or consultants with expertise in their fields are often selected to facilitate these sessions. CAK, in collaboration with DCBS, held the 2020 CSBG Fall Work Session on September 15-16, 2020. All twenty-three (23) CAAs were represented. The training included the following: Opening Session (welcome, CSBG Annual Report in Review, Cabinet Updates/Questions and Answers); Racial Equity – How to Start a Community Conversation; 2Gen and Whole Family Approach; and CSBG and Multiple Funding Streams (Head Start) Leveraged Funding. CAK staff conducted one-on-one trainings for several

BLOCK GRANT PROGRAM STATUS REPORT

July 1, 2020 – December 31, 2020

Department: Community Based Services (DCBS) **Block Grant:** Community Services Block Grant (CSBG)

CAAs from January through December, 2020. Training topics included: ROMA, National Performance Indicators (NPIs) and services, CSBG Plan and Budget Proposals, CASTiNET (statewide software), etc. Due to the COVID-19 pandemic, all training and technical assistance was conducted virtually (calls, email, Microsoft Teams, etc.). These calls primarily centered around the allocation of CARES funding, programmatic requirements, and implementation.

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

The Coronavirus Aid, Relief, and Economic Security (CARES) Act was signed into law March 27, 2020, granting the state of Kentucky an additional \$16.8 million in Community Services Block Grant (CSBG) funding. CSBG funds are allocated to each of Kentucky's 23 Community Action Agencies (CAAs) in order to alleviate the causes and conditions of poverty throughout their communities. These additional CARES funds have been divided proportionately to CAAs and will be used to address a variety of needs created by the COVID-19 pandemic including, but not limited to, rent/mortgage and utility assistance payments, grocery vouchers, employment related assistance, and medical assistance (copays, transportation, PPE, etc.).

DCBS filed Ordinary and Emergency amendments for 922 KAR 6:010 on May 21, 2020, and the Ordinary amendment went into effect on October 28, 2020, in response to receiving CARES Act funding and federal guidance. CSBG Information Memorandum (1) 2020-157 authorized states to, "revise the income limit for eligibility ceiling from 125 to 200 percent of the federal poverty level for CSBG services furnished during fiscal years 2020 and 021, including services furnished with the state's regular CSBG appropriations during those years," via the CARES Act. In addition to raising the eligibility, the regulation amendment also granted the Cabinet the flexibility to waive the twenty percent in-kind match requirement for additional CSBG funds provided federally, in this instance for CSBG-CARES funds.

4. EVALUATION OF RESULTS

Using a compliance monitoring instrument based on state statutes, contractual requirements, minimum program and management standards, DCBS performed contract monitoring for 15 of the 23 CAAs from of July 1, 2020, through December 31, 2020. 14 of the agencies had zero findings. One agency was issued a Corrective Action Plan, which has been resolved.

DAFM based the federal award number on what was given in FFY19. The expenditures represent July 1, 2020, through December 31, 2020.

Implementation of uniform service definitions and a client service report/evaluation document have enabled Kentucky to compile service statistics consistent with both federal and state laws. Use of the data, as compiled by each of the CAAs on a monthly basis, enables the individual agencies to better evaluate their services and develop plans for service delivery.

5. ALTERNATIVES FOR IMPROVED SERVICE DELIVERY

Improved service delivery is continually sought primarily through ongoing training and technical assistance provided and planned for CAA staff. Contract requirements include a mandate for local CAA coordination with DCBS and other area service providers in order to avoid duplication of services.

Additionally, CAA Boards are responsible for an ongoing process to evaluate local needs and assure that needs are met.